



# Questionnaire Administration and Response Interpretation Guidance

---

Companion Tool for the Assessment Questionnaire for Cocoa Farmer  
Organization Leadership

July 2025

# Acknowledgements

---

The First Mile Toolkit is a publication of the Verité Farm Labor Due Diligence Initiative (FLDDI), which develops practical human rights due diligence guidance and associated tools tailored to global agricultural supply chains.



Schweizerische Eidgenossenschaft  
Confédération suisse  
Confederazione Svizzera  
Confederaziun svizra

**Swiss Agency for Development  
and Cooperation SDC**

Verité is grateful to have received financial support from the Swiss Agency for Development and Cooperation (SDC) of the Federal Department of Foreign Affairs (FDFA) through the Protecting Migrant Workers in the Cocoa Sector of Côte d'Ivoire and Ghana project to develop and pilot the Embed and Assess elements of Verité's Farm Labor Due Diligence (FLDD) Toolkit and First Mile Toolkit in the West African cocoa sector.

# Questionnaire Administration

---

This guidance document was developed to accompany the *First Mile Embedding Human Rights in Business Management Systems [Assessment Questionnaire for Cocoa Farmer Organization Leadership](#)* tool to help users of the Farm Labor Due Diligence First Mile Toolkit effectively administer the assessment questionnaire at the cooperatives and communities they source from and to provide directional guidance for interpreting the responses.

Once the assessment questionnaire is administered, completed by the necessary stakeholders, and any supporting documentation is collected, the administrator of the questionnaire should undertake the analysis of the responses in order to understand what human rights policies and practices are in place, how mature those systems are, and what gaps exist. This is called a gap analysis.

The [Interpretation Guidance](#) section below contains general interpretive guidance for each question and response option; however, the administrator of the assessment will need to review the participants' responses and supporting documentation to fully determine gaps and formulate next steps tailored to the specific cooperative and context.

## ▷ Who should administer this assessment questionnaire?

The [First Mile Assessment Questionnaire for Cocoa Farmer Organization Leadership](#) tool can be used either as a self-assessment or as an external assessment conducted by a third party of a cooperative's or farmer organization's human rights due diligence management systems. In either case, the administrator of the assessment questionnaire is likely to be:

- **A staff person of the cooperative/farmer organization itself** if they are using the questionnaire to assess their own operations; or
- **A supplier or commodity aggregating body** that the cooperative/farmer organization(s) being assessed are affiliated with or organized by; or
- **A third-party human rights due diligence organization** that is commissioned by the supplier affiliated with the cooperative/farmer organization being assessed or that is commissioned by the customer of the supplier.

### ▷ Who should be interviewed or engaged to complete the assessment?

- **The cooperative/farmer organization's leadership staff.** These are the primary stakeholders to be interviewed with this assessment questionnaire. Key roles to interview include the president or head of the cooperative/farmer organization's leadership group and any leadership positions responsible for human right due diligence performance.
- **The cooperative/farmer organization's human rights and community engagement staff.** These are personnel who are involved with implementing the cooperative/farmer organization's human rights agenda, policies, and practices.

In the case of a farmer organization where there is no central leadership structure, the assessment should be administered to the key human rights and community engagement personnel of the supplier that sources from the farmer organization.

### ▷ How should the questionnaire be administered?

The questionnaire can be administered via:

- Printed paper surveys, or
- Digital interactive .pdf saved to the administrator's device, or
- Digital survey such as Google Forms, Alchemer, or other digital survey tool

When deciding which format to use, consider:

- **The location of interviews.** Consider whether there will be internet connectivity or access to a charging source, if carrying an electronic device would be cumbersome, etc.
- **The comfort of interviewees.** Using printed paper copies can often help make the interview feel more conversational and approachable for participants, compared to when a laptop or other large electronic device is used.
- **Efficiencies in data analysis.** Using a digital format such as survey tool can make analysis of the results more efficient and streamlined, as many services allow responses to be aggregated for reporting.

The administrator of the assessment questionnaire should also decide whether to read the questions out loud and transcribe the participants' responses or to have the participants

complete the assessment questionnaire themselves. Factors that inform this decision include conducting individual interviews versus focus group discussions, the participants' comfortability with reading and writing, timing constraints, etc.

▷ **Are there additional tools for verifying information collected from the assessment?**

Many of the response options that indicate the cooperative/farmer organization *does* have a policy or practice in place requires either the provision of supporting documentation and/or further elaboration. This supporting information will be key for validating policies and practices exist and for understanding how developed they are.

Additionally, Verité has developed an additional assessment questionnaire to gather information from key stakeholders for validation:

- [Assessment Questionnaire for Cocoa Farmer Organization Farmer Members and Workers](#)

Assessors can use this supporting questionnaire to understand whether a farmer organization's human rights policies and expectations are being effectively implemented and cascaded down to the farm level.

# Questionnaire Response Interpretation Guidance

Table A below provides directional guidance for interpreting the responses for each question of the [First Mile Assessment Questionnaire for Cocoa Farmer Organization Leadership](#) tool.

Note: Options in the Answer column that have an asterisk (\*) indicate response options in the assessment questionnaire that ask for further elaboration by the participant.

**Table A. Questionnaire Response Interpretation**

SAQ Question	Answer	Suggested Action Steps
<b>a. Labor and Human Rights Policies and Procedures</b>		
1. Does the cooperative/farmer organization have a policy or commitment statement on labor/human rights issues? <i>(Select all that apply)</i>	Yes, we have a labor/human rights policy*	<ul style="list-style-type: none"> <li>Review the labor/human rights policy, checking for alignment with topics identified in Question 2.</li> <li>If any topics from Question 2 are missing, make note of this for inclusion in future iterations of the policy.</li> </ul>
	Yes, we have an assess-and-address commitment statement*	<ul style="list-style-type: none"> <li>Review the assess-and-address commitment statement checking for elaboration of the salient human rights risks and elaboration of how the cooperative/farmer organization commits to identify and assess risk, respond and remediate risks and harms, and prevent and mitigate such issues from arising.</li> <li>If the cooperative/farmer organization(s) only has an assess-and-address commitment, consider using it as a basis for drafting a labor/human rights policy.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	No, we do not have a labor or human rights policy or an assess-and-address commitment statement	<ul style="list-style-type: none"> <li>■ This response option indicates a gap in the cooperative/farmer organization's human rights due diligence practice.</li> <li>■ Whether it is fitting for the cooperative/farmer organization to develop a labor/human rights policy or assess-and-address commitment themselves or to adopt those of the supplier they are affiliated with can depend on the formality and level of organization of the cooperative/farmer organization.</li> </ul>
2. What human rights issues are covered in this labor/human rights policy or commitment statement?	<ul style="list-style-type: none"> <li>■ Compliance with national labor law</li> <li>■ Compliance with international labor standards</li> <li>■ Prohibition on forced labor and human trafficking</li> <li>■ Responsible recruitment of migrant workers</li> <li>■ Minimum age of work / prohibition on child labor</li> <li>■ Discrimination and equality</li> <li>■ Freedom of association and collective bargaining</li> <li>■ Harassment and abuse</li> </ul>	<ul style="list-style-type: none"> <li>■ All options are important issues to be covered in a human rights policy and/or assess-and-address commitment. Though some topics must be included, such as compliance with national labor law, the other issues are strongly recommended – and often required – by upstream supply chain actors implement human rights due diligence agenda.</li> <li>■ A policy or commitment statement that only includes some of the issues listed indicates a gap in the cooperative/farmer organization's human rights due diligence practice. The policy or commitment statement should be updated to encompass most, if not all, of the topics on this list. To be sure, updates to the cooperative/farmer organization's human rights due diligence business management systems and programming will subsequently need to be reviewed and updated so that the cooperative/farmer organization actions align with their policy or commitment.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	<ul style="list-style-type: none"> <li>■ Freedom of association and collective bargaining</li> <li>■ Harassment and abuse</li> <li>■ Health and safety</li> <li>■ Living conditions</li> <li>■ Grievance mechanisms</li> <li>■ Staff training and awareness raising</li> </ul>	
3. When did the cooperative/farmer organization finalize this labor/human rights policy or commitment statement?	Within the past (1) year	<ul style="list-style-type: none"> <li>■ No action needed.</li> </ul>
	Between 1-3 years ago	<ul style="list-style-type: none"> <li>■ Consider reviewing the policy or commitment to see if it is still up to date.</li> </ul>
	More than 3 years ago	<ul style="list-style-type: none"> <li>■ Review policy or commitment and make updates as necessary</li> </ul>
4. Do you think the cooperative/farmer organization labor/human rights policy or commitment statement needs any updates or adjustments?	Yes*	<ul style="list-style-type: none"> <li>■ Review the updates or adjustments suggested in the open response line and consider if and how they should be included in the labor/human rights policy or commitment statement.</li> </ul>
	No	<ul style="list-style-type: none"> <li>■ Take this response into account, but also be sure to review the responses to questions #2 and #3 to verify that the policy or commitment is comprehensive and up to date.</li> </ul>



SAQ Question	Answer	Suggested Action Steps
5. Is the cooperative/farmer organization labor/human rights policy or commitment statement aligned with its customers' policies and standards on human rights issues?	Yes	<ul style="list-style-type: none"> <li>■ If desired, the assessor can compare the appropriate policies or commitments to verify alignment.</li> </ul>
	No	<ul style="list-style-type: none"> <li>■ Review both the cooperative/farmer organization's current policy or commitment statement and the appropriate customers' policies to identify where there are gaps.</li> <li>■ Where the cooperative/farmer organization's policy or commitment statement is less protective of labor/human rights than the customers' policies, and where the human rights written in the customers' policies are applicable to the context, the cooperative/farmer organization should update the policy.</li> </ul>
	Unsure, or I do not know	<ul style="list-style-type: none"> <li>■ This response indicates there is a knowledge gap in the cooperative/farmer organization's understanding of its customers' labor/human rights expectations.</li> <li>■ First, review both the cooperative/farmer organization's current policy or commitment statement and the appropriate customers' policies to identify whether there are gaps. Address these gaps by updating the cooperative/farmer organization's policy or commitment statement.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
		<ul style="list-style-type: none"> <li>Next, consider ways to improve communication of the labor/human rights policy or commitment statement and, where relevant, customers' expectations. This could include knowledge-building training or other awareness-raising efforts. These efforts should primarily target stakeholders responsible for maintaining and implementing the cooperative/farmer organization's policy or commitment statement.</li> </ul>
<p>6. Does the cooperative/farmer organization have any documented procedures for how to implement its labor/human rights policy or commitment statement?</p>	<p>Yes, we have documented procedures*</p>	<ul style="list-style-type: none"> <li>Review the procedure document(s) provided and any additional information provided in the space for elaboration and make note of any areas where the procedures are unclear or lacking.</li> <li>The assessor or the cooperative/farmer organization may wish to have focus group discussions with key personnel responsible for implementing the labor/human rights policy or commitment statement to gain their perspectives on the strengths and weakness of the procedures in order to inform updates to it.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	No, we do not have documented procedures	<ul style="list-style-type: none"> <li>■ The cooperative/farmer organization should make a plan to document the necessary procedures. To get started, assign this responsibility to someone involved with the cooperative/farmer organization's human rights efforts and gather information from key staff responsible for implementing the labor/human rights policy or commitment statement on how they currently carryout their responsibilities. Next, assemble the collected information into a draft procedure and circulate the document to key stakeholders for feedback. Integrate feedback as necessary and formalize the procedure document.</li> <li>■ As part of this process cooperative/farmer organization should also create a plan to socialize and train all relevant stakeholders on the formalized procedures.</li> </ul>
7. Does cooperative/farmer organization have a budget for implementing its labor/human rights policy or commitment statement?	The cooperative/farmer organization does not have a budget for implementing its labor/human rights policy or commitment statement	<ul style="list-style-type: none"> <li>■ This response indicates that there is a gap in the cooperative/farmer organization's ability to implement its policy and take action on due diligence. To enable the cooperative/farmer organization to implement its labor/human rights policy, a specific budget for these activities should be established.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
		<ul style="list-style-type: none"> <li>■ To get started, identify and prioritize key activities necessary to begin implementing the labor/human rights due diligence and develop a directional budget based on staff time and resources needed. Once a budget range is calculated, this can inform strategy for findings financial resources (either internal or external) to cover the expense.</li> <li>■ As the cooperative/farmer organization matures in its human rights due diligence practices, the budget needs are likely to grow proportionally to its programming. This should be taken into account in any quarterly or yearly budget planning.</li> <li>■ The cooperative/farmer organization should seek to secure funding from a source(s) that can sustain its labor/human rights policy implementation on an ongoing basis.</li> </ul>
	The budget for implementing the labor/human rights policy or commitment statement is combined with the budget for other topics	<ul style="list-style-type: none"> <li>■ During the next budget review opportunity, the cooperative/farmer organization should delineate the budget lines for its policy implementation efforts so that it is clear what portion of the budget is available. This will serve to inform implementation planning and execution and to better identify whether there is a shortfall in the budget to support implementation efforts.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	There is a specific budget but it only partially covers the implementation of the cooperative/farmer organization's labor/human rights policy or commitment statement*	<ul style="list-style-type: none"> <li>■ Conduct an internal review of the budget, what implementation efforts it has been able to support, and which activities the cooperative/farmer organization needs or wants to pursue, but the budget doesn't currently support.</li> <li>■ Develop a directional budget for the prioritized activities not currently supported in order to identify the size of the budget shortfall. Once a budget range is calculated, this can inform strategies for finding financial resources (either internal or external) to bridge the funding gap.</li> </ul>
	There is a specific budget for this, and it fully covers the implementation of the cooperative/farmer organization's labor/human rights policy or commitment statement*	<ul style="list-style-type: none"> <li>■ No action needed.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
8. Has your cooperative/farmer organization sought any external support to help cover the costs of implementing its labor/human rights policy or commitment statement, such as with customers, NGOs, or community groups?	Yes, and we receive support*	<ul style="list-style-type: none"> <li>■ Review the additional information provided in the space for elaboration.</li> <li>■ If information on external support received is not formally tracked, consider making an active list where information on source of support, type and amount of support received, requirements tied to the support, contact information for the support source, and any additional notes can be maintained for future reference.</li> </ul>
	Yes, but we have not received such support	<ul style="list-style-type: none"> <li>■ Determine if following up with any of the external support organizations is worthwhile.</li> <li>■ Consider doing a scan of the support landscape for any new potential support organizations. Make note of these organizations then determine which ones to reach out to and develop any materials necessary to showcase the cooperative/farmer organization's needs, goals, and plan to achieve those goals.</li> </ul>
	No, we have not sought support for this	<ul style="list-style-type: none"> <li>■ If it is determined during the budget review process that additional financial support is necessary and there is no internal support available, the cooperative/farmer organization should develop a plan to seek out support.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
		<ul style="list-style-type: none"> <li>■ To get started, do desk research to identify organizations that provide funding or support aligned with the labor/human rights implementation priority efforts. From this list, determine which ones to reach out to and develop any materials necessary to showcase the cooperative/farmer organization's needs, goals, and plans to achieve those goals.</li> </ul>
<b>b. Personnel and Capabilities to Implement Human Rights Due Diligence Policy or Commitment Statement</b>		
9. Does the cooperative/farmer organization have a person, team, or committee in charge of labor and human rights issues? <i>(Select all that apply)</i>	There is a person in charge of labor and human rights issues*	<ul style="list-style-type: none"> <li>■ No action needed</li> <li>■ Note that this person is a key stakeholder in implementation and development of the cooperative/farmer organization's human rights due diligence efforts.</li> </ul>
	There is a team/committee of people addressing labor and human rights issues, but they do not have decision-making power*	<ul style="list-style-type: none"> <li>■ Having a team or committee established for addressing labor and human rights issues is an important milestone, but to be effective, this group needs to have decision-making power. The relevant cooperative/farmer organization staff, including those who currently have decision making power and those on the labor/human rights committee, should collaborate to establish decision-making power and structure.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	There is a team/ committee of people addressing labor and human rights issues that is structured and has decision-making power*	<ul style="list-style-type: none"> <li>■ No action needed.</li> <li>■ Note that the committee members are key stakeholders in implementation and development of the cooperative/ farmer organization's human rights due diligence efforts.</li> </ul>
	We have the assess-and-address committee*	<ul style="list-style-type: none"> <li>■ No action needed.</li> <li>■ Note that the committee members are key stakeholders in implementation and development of the cooperative/ farmer organization's human rights due diligence efforts.</li> </ul>
	Our cooperative/ farmer organization does not have a person, team, or committee dedicated to addressing human and labor rights issues	<ul style="list-style-type: none"> <li>■ This response indicates a gap in the cooperative/farmer organization's ability to implement its labor/human rights policy or commitment statement.</li> <li>■ The cooperative/farmer organization should assign a person(s) to this role and define responsibilities and accountabilities. Resources should be allocated to enable the person(s) to carry out their mandate.</li> </ul>
10. Do the committee members have human rights knowledge and capabilities?	All team members are very familiar with relevant labor/human rights issues in the geographic area and community and know the appropriate ways to address these issues	<ul style="list-style-type: none"> <li>■ No action needed.</li> <li>■ Ensure that the committee members have access to regular training to ensure their knowledge is up to date</li> </ul>



SAQ Question	Answer	Suggested Action Steps
	Some of the team members have labor/human rights knowledge and the capabilities to address these issues	<ul style="list-style-type: none"> <li>■ Determine which members are in need of knowledge and capability building and ensure they are trained in the appropriate topics.</li> <li>■ Ensure that the committee members have access to regular training to ensure their knowledge is up to date.</li> </ul>
	None of the team members have labor/human rights knowledge or capabilities to address these issues	<ul style="list-style-type: none"> <li>■ Administer or seek out external support in administering the necessary knowledge and capability building trainings.</li> </ul>
11. What are the core responsibilities of each member of the committee?	Open response question	<ul style="list-style-type: none"> <li>■ Note that members listed here are key stakeholders in implementation and development of the cooperative/farmer organization's human rights due diligence efforts.</li> <li>■ If members are listed but no responsibilities are defined, this can indicate a lack of structure and/or decision-making power. Efforts should be made to resolve this (see recommendations under Question #9).</li> </ul>
<b>c. Communication of the Labor/Human Rights Policy or Commitment Statement</b>		
12. Has the cooperative/farmer organization communicated its labor/human rights policy or commitment statement and expectations to member farmers?	Yes, we have communicated these expectations to member farmers*	<ul style="list-style-type: none"> <li>■ Review the explanation provided in the space for elaboration, paying particular attention to whether all farmer members have been or are able to be reached.</li> <li>■ Consider what the strengths and weaknesses of the communication approach are, noting any opportunities to improve this process.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
		<ul style="list-style-type: none"> <li>■ If there are ways to improve the approach, develop a plan to incorporate these updates.</li> </ul>
	Yes, but not fully; some member farmers are aware and some are not*	<ul style="list-style-type: none"> <li>■ This response indicates some gaps in the cooperative/farmer organization's ability to fully implement its labor/human rights policy or commitment statement.</li> <li>■ Review the explanation provided in the space for elaboration.</li> <li>■ Consider what the strengths and weaknesses of the communication approach are, noting any opportunities to improve this process with particular attention paid to ensuring all farmer members are reached.</li> <li>■ Develop a plan to incorporate updates and execute the plan.</li> </ul>
	No, we have not communicated these expectations to member farmers	<ul style="list-style-type: none"> <li>■ This response indicates a gap in the cooperative/farmer organization's ability to fully implement its labor/human rights policy or commitment statement.</li> <li>■ Identify the reason(s) why the labor/human rights policy or commitment statement has not been communicated to farmers, including resource and infrastructure challenges. From this exercise, determine opportunities to overcome the challenges. Identify any resources needed to do so and develop a plan to communicate the labor/human rights policy or commitment statement to all farmer members.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
13. Has the cooperative/farmer organization its labor/human rights policy or commitment statement and expectations to the workers that work for member farmers?	Yes, we have communicated these expectations to workers	<ul style="list-style-type: none"> <li>See recommendations under Question #12 and apply the approach in consideration of workers.</li> </ul>
	Yes, but not fully; some workers are aware and some are not	<ul style="list-style-type: none"> <li>See recommendations under Question #12 and apply the approach in consideration of workers.</li> </ul>
	No, we have not communicated these expectations to workers	<ul style="list-style-type: none"> <li>See recommendations under Question #12 and apply the approach in consideration of workers.</li> </ul>
14. Does the cooperative/farmer organization require farmer members to sign any agreements, or otherwise formally make commitments to your labor/human rights policy or commitment statement?	Yes, we require a formal commitment*	<ul style="list-style-type: none"> <li>Review provided materials/supporting documentation and the explanation provided in the space for elaboration.</li> <li>Consider whether any updates are needed to the process or agreement documents.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	No, we do not have a formal agreement or commitment process	<ul style="list-style-type: none"> <li>■ Though a formal written agreement is not always a good fit in smallholder farming context, particularly in contexts where literacy rates are low, they can serve as an important tool for policy implementation by maintaining a record of which farmers have agreed to abide by the policy.</li> <li>■ If a written agreement is not a reasonable tool, the cooperative/farmer organization should identify a culturally and contextually relevant way to ensure all farmer members are aware of and commit to the labor/human rights policy.</li> </ul>
15. Does the cooperative/farmer organization support its farmer members with guidance on how to implement the human rights policy or commitment statement?	Yes, we provide comprehensive support*	<ul style="list-style-type: none"> <li>■ Review provided materials/supporting documentation and the explanation provided in the space for elaboration.</li> <li>■ Consider whether any updates or additional support are needed.</li> </ul>
	Somewhat, but we could provide more such support*	<ul style="list-style-type: none"> <li>■ This response indicates some gaps in the cooperative/farmer organization's ability to fully implement its labor/human rights policy or commitment statement.</li> <li>■ Review provided materials/supporting documentation and the explanation provided in the space for elaboration.</li> <li>■ Consider what the strengths and weaknesses of the approach to providing are, noting any opportunities to improve this process with particular attention paid to ensuring all farmer members are reached.</li> <li>■ Develop a plan to incorporate updates and execute the plan.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	No, we do not provide such support*	<ul style="list-style-type: none"> <li>■ This response indicates a gap in the cooperative/farmer organization's ability to fully implement its labor/human rights policy or commitment statement.</li> <li>■ Review the explanation provided in the space for elaboration.</li> <li>■ Brainstorm solutions to the challenges and limitations noted in the explanation and identify any resources needed to achieve the prioritized solutions. Then develop a plan to take action and provide the necessary support to all farmer members.</li> </ul>
16. Has the cooperative/farmer organization received any feedback from member farmers on your labor/human rights policy or commitment or on the support you provide them to implement the policy and expectations?	Yes, we have received feedback*	<ul style="list-style-type: none"> <li>■ Review the feedback provided in the space for elaboration.</li> <li>■ Determine whether the feedback received should be incorporated into the cooperative/farmer organization's policy, commitment statement, or farmer member support services and make updates as appropriate.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	We have not requested any feedback *	<ul style="list-style-type: none"> <li>Review the explanation provided in the space for elaboration.</li> <li>Depending on the explanation, this response could indicate a gap in the cooperative/farmer organization's human rights due diligence process.</li> <li>Feedback on the policy or commitment statement should be sought periodically, particularly when there are changes made to it that are likely to have material impact on farmer members.</li> </ul>
	We requested feedback but we have not received it	<ul style="list-style-type: none"> <li>Depending on how long ago feedback was requested, consider whether it is appropriate to try again.</li> </ul>
i. <i>Has the cooperative/farmer organization made any changes to its labor/human rights policy or commitment statement, procedures, or communications based on farmer feedback?</i>	Yes*	<ul style="list-style-type: none"> <li>No action needed.</li> <li>Review the explanation provided in the space for elaboration.</li> </ul>
	No changes have been made based on feedback received	<ul style="list-style-type: none"> <li>Determine whether the feedback received should be incorporated into the cooperative or farmer organization's policy, commitment statement, or farmer member support services and make updates as appropriate.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
17. Has the cooperative/farmer organization communicated its labor/human rights policy or commitment statement to any other actors, such as labor recruiters, community members, local leaders, or other stakeholders?	Yes*	<ul style="list-style-type: none"> <li>■ No action needed.</li> <li>■ Note that the list of stakeholders provided in the space for elaboration are potential collaborators in carrying out human rights due diligence.</li> </ul>
	No, we do not see a need to do so*	<ul style="list-style-type: none"> <li>■ These response options indicate a potential gap in the cooperative/farmer organization's knowledge of key stakeholders in the area and/or level of maturity in stakeholder engagement.</li> <li>■ It is a positive sign, however, if the cooperative/farmer organization recognizes a need to communicate with other actors/stakeholders.</li> </ul>
	Not yet, but we recognize a need to do so*	<ul style="list-style-type: none"> <li>■ Review the explanation provided in the space for elaboration.</li> <li>■ Depending on the explanation, next steps could include conducting stakeholder mapping to identify which stakeholder could be engaged; conducting outreach to stakeholders to develop relationships; developing awareness or knowledge building materials for dissemination; etc.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
ii. <i>Have any of these stakeholders (labor recruiters, community members, local leaders, or other stakeholders) made any formal commitments to support implementation of the labor/human rights policy or commitment statement?</i>	Yes, at least some have*	<ul style="list-style-type: none"> <li>See recommendations under Question #14 and apply the approach in consideration of these stakeholders.</li> </ul>
	No, we do not see a need for them to make any formal commitments*	<ul style="list-style-type: none"> <li>See recommendations under Question #14 and apply the approach in consideration of these stakeholders.</li> </ul>
	Not yet, but we recognize a need to do so*	<ul style="list-style-type: none"> <li>See recommendations under Question #14 and apply the approach in consideration of these stakeholders.</li> </ul>
iii. <i>Does the cooperative/farmer organization provide any support to such stakeholders to help them understand and support the labor/human rights policy or commitment statement?</i>	Yes, we provide some such support*	<ul style="list-style-type: none"> <li>See recommendations under Question #15 and apply the approach in consideration of these stakeholders</li> </ul>
	Somewhat, but we could use more such support*	<ul style="list-style-type: none"> <li>See recommendations under Question #15 and apply the approach in consideration of these stakeholders</li> </ul>
	No, we do not provide this*	<ul style="list-style-type: none"> <li>See recommendations under Question #15 and apply the approach in consideration of these stakeholders</li> </ul>



SAQ Question	Answer	Suggested Action Steps
<b>d. Evaluation of Human Rights Policy or Commitment Statement Implementation</b>		
18. Does the cooperative/farmer organization periodically evaluate how well it is doing in implementing the labor/human rights policy or commitment statement?	Yes*	<ul style="list-style-type: none"> <li>Review the explanation provided in the space for elaboration.</li> <li>Determine if any updates to the frequency or process of evaluation need to be made. If updates would be beneficial, take action as necessary.</li> </ul>
	No, we do not see a need to do so*	<ul style="list-style-type: none"> <li>These response options indicate a potential gap in the cooperative/farmer organization's ability to ensure their labor/human rights policy or commitment statement is being implemented effectively.</li> <li>It is a positive sign, however, if the cooperative/farmer organization recognizes a need to evaluate its policy or commitment statement.</li> <li>Review the explanation provided in the space for elaboration.</li> <li>Depending on the explanation, next steps include creating internal buy-in for periodic reviews, establishing responsible parties, timelines, and guidance for conducting the evaluation, and carrying it out.</li> </ul>
	Not yet, but we recognize a need to do so*	

SAQ Question	Answer	Suggested Action Steps
19. Does the cooperative/farmer organization periodically evaluate how well its farmer members are doing in implementing the labor/human rights policy or commitment statement?	Yes*	■ See recommendations under Question #18 and apply the approach in consideration of farmer members.
	We do not see a need to do so*	■ See recommendations under Question #18 and apply the approach in consideration of farmer members.
	We recognize a need, but we have not yet done so*	
e. Awareness of Forced Labor		
20. Has your cooperative/farmer organization received any trainings on forced labor or human trafficking?	Yes, we have received training*	■ Review the explanation provided in the space for elaboration. ■ Consider investing in further training if the last training occurred more than two years ago and/or new staff have joined the cooperative/farmer organization since the last one was delivered.
	No, we do not see a need to do so*	■ These response options indicate a gap in the cooperative/farmer organization's knowledge of forced labor and human trafficking, limiting their ability to effectively identify, assess, and address these risks and issues despite them core principles in any labor/human rights policy or commitment statement. ■ It is a positive sign, however, if the cooperative/farmer organization recognizes a need to receive training.
	Not yet, but we recognize a need to do so*	

SAQ Question	Answer	Suggested Action Steps
		<ul style="list-style-type: none"> <li>Review the explanation provided in the space for elaboration.</li> <li>Depending on the explanation, next steps could include identifying an organization that can provide training on these topics, engaging them to administer the training(s); engaging the cooperative/ farmer organization's customer(s), affiliated supplier, and/or human rights certification body to request training; Finding free online training resources particularly if there are budget constraints.</li> </ul>
21. Which of the following options do you consider to be the correct definition of forced labor?	All hard work performed under difficult conditions	<ul style="list-style-type: none"> <li>This response indicates a gap in knowledge of forced labor.</li> </ul>
	Work done by any person under threat or penalty and for which the person has not offered himself or herself voluntarily	<ul style="list-style-type: none"> <li>This is the correct response. Any other response chosen indicates a gap in knowledge of forced labor.</li> </ul>
	Work that takes more time than planned	<ul style="list-style-type: none"> <li>This response indicates a gap in knowledge of forced labor.</li> </ul>
	All work that the individual is not willing to perform and forces himself or herself to conduct	<ul style="list-style-type: none"> <li>This response indicates a gap in knowledge of forced labor.</li> </ul>
	I do not know	<ul style="list-style-type: none"> <li>This response indicates a gap in knowledge of forced labor.</li> </ul>
22. What would you consider a "threat or menace of penalty"?	When a worker is asked to provide something to offset a loan	<ul style="list-style-type: none"> <li>This response indicates a gap in knowledge of forced labor.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
	A wide range of penalties used to compel a worker to work	<ul style="list-style-type: none"> <li>■ This is the correct response. Any other response chosen indicates a gap in knowledge of forced labor.</li> </ul>
	I do not know	<ul style="list-style-type: none"> <li>■ This response indicates a gap in knowledge of forced labor.</li> </ul>
23.What is an example of "involuntary work"?	The worker has a debt he/she owes to someone, and he/she has to continue working so he can pay off the loan	<ul style="list-style-type: none"> <li>■ This response indicates a gap in knowledge of forced labor.</li> </ul>
	The worker is doing a type of work that he/she has been deceived about or uninformed about the conditions of the work	<ul style="list-style-type: none"> <li>■ This is the correct response. Any other response chosen indicates a gap in knowledge of forced labor.</li> </ul>
	The worker volunteered to do the work because he/she was in need of a job	<ul style="list-style-type: none"> <li>■ This response indicates a gap in knowledge of forced labor.</li> </ul>
	I do not know	<ul style="list-style-type: none"> <li>■ This response indicates a gap in knowledge of forced labor.</li> </ul>

SAQ Question	Answer	Suggested Action Steps
24. Which of the following training and communication programs does the cooperative/farmer organization have regarding forced labor prevention and response? <i>(Select all that apply)</i>	Awareness raising/training for cooperative/farmer organization employees	<ul style="list-style-type: none"> <li>■ All of these response options are good practice.</li> <li>■ As a cooperative/farmer organization advances in human rights due diligence maturity, it is expected that they would have all these training and communication programs in place.</li> </ul>
	Awareness raising/training for all farmer members	
	Awareness raising/training for workers on members' farms	
	Communication campaigns for local communities and/or other actors in the supply chain	
	We do not have any ongoing training, communication or awareness-raising programs regarding forced labor prevention and response	<ul style="list-style-type: none"> <li>■ This response option indicates a gap in the cooperative/farmer organization's ability to effectively implement their labor/human rights due diligence policy or commitment statement.</li> <li>■ See recommendations under Questions #12, #15, #17, and #20</li> </ul>

# Analysis of HRDD Maturity Levels

---

Drawn from the Verité Farm Labor Due Diligence First Mile Toolkit, the below tables provide guidance for determining which level of maturity the assessed cooperative or farmers organization’s business management systems are in terms of embedding human rights. Information gained from conducting the gap assessment and using the interpretation guidance in the table above will help the assessor determine maturity level.

Table B provides maturity level guidance for each section of the assessment questionnaire, focusing on specific practices that the cooperative or farmer organization has in places related to embedding human rights in business management systems. Assessing the maturity level of the sections in Table B will be informative for determining the overall Element-level maturity via Table C.

Table C provides maturity level guidance at the Element level and takes into consideration the cooperative or farmer organization’s policies and practices for embedding human rights as a whole. Determinations made in Table A, based on the gap assessment process, will inform the overall Element-level maturity of the cooperative or farmer’s organization.

## Table B. Section-level Assessment of HRDD Maturity

Circle or otherwise mark the appropriate cell for each row.

Category	Basic	Established	Leadership
<b>Labor/Human Rights Policy</b>	<ul style="list-style-type: none"> <li>■ No policy</li> <li>■ A policy exists, but it does not mention child labor or forced labor, and/or other relevant issues</li> </ul>	<ul style="list-style-type: none"> <li>■ A policy exists, but it does not mention key salient issues, needs to be aligned with supplier expectations, and/or needs to be aligned with relevant laws</li> </ul>	<ul style="list-style-type: none"> <li>■ A policy exists, and it refers to the relevant salient issues, is aligned with customer codes/expectations and relevant laws</li> </ul>
<b>Responsibility for Implementation</b>	<ul style="list-style-type: none"> <li>■ No specific person/people are assigned responsibility for implementing the policy</li> <li>■ Specific person/people are assigned, but they are not aware of it</li> </ul>	<ul style="list-style-type: none"> <li>■ Specific person/people are assigned, and they are aware, but do not have knowledge/ training on human/labor rights topics</li> <li>■ Specific person/people are assigned, but do not have decision-making power</li> </ul>	<ul style="list-style-type: none"> <li>■ Specific person/people are assigned, they are familiar with relevant labor/human rights issues in the geographic area and community, and know the appropriate ways to address these issues</li> </ul>
<b>Resources for Implementation</b>	<ul style="list-style-type: none"> <li>■ There are no financial resources available for implementation of the policy</li> <li>■ There are no written procedures for implementation of the policy</li> </ul>	<ul style="list-style-type: none"> <li>■ There are some financial resources available for implementation of the policy, but insufficient</li> <li>■ There are some written procedures for implementation of the policy</li> </ul>	<ul style="list-style-type: none"> <li>■ There are sufficient financial resources available for implementation of the policy</li> <li>■ There are sufficient written procedures for implementation of the policy</li> </ul>

Category	Basic	Established	Leadership
<b>Communication with Farmers</b>	<ul style="list-style-type: none"> <li>■ The policy has not been communicated to farmers who are members of the cooperative</li> <li>■ No training or support has been provided to farmer members for implementation</li> </ul>	<ul style="list-style-type: none"> <li>■ The policy has been communicated to some farmers but many do not seem to be aware of it</li> <li>■ Some training or support has been provided to farmer members for implementation, but insufficient</li> </ul>	<ul style="list-style-type: none"> <li>■ The policy has been fully communicated to farmers who are members of the cooperative and they demonstrate awareness of it</li> <li>■ Training or support is regularly provided to farmer members for implementation</li> </ul>
<b>Communication with Others</b>	<ul style="list-style-type: none"> <li>■ The policy has not been communicated to others (labor recruiters, community members, local leaders, workers)</li> </ul>	<ul style="list-style-type: none"> <li>■ The policy has been communicated to some of these stakeholders but many do not seem to be aware of it</li> <li>■ Some training or support has been provided to these stakeholders members for implementation, but insufficient</li> </ul>	<ul style="list-style-type: none"> <li>■ The policy has been fully communicated to these stakeholders and they demonstrate awareness of it</li> <li>■ Training or support is regularly provided to stakeholders for implementation</li> </ul>



**Table C. FLDD Element-level Assessment of  
HRDD Maturity**

Component	Maturity Level		
	Basic	Established	Leadership
<b>Embedding Human Rights in First Mile Operations</b>	The first mile operation has a human rights policy in place, has assigned accountability and responsibility for implementing it, and has communicated it to its supplier farms.	In addition to “Basic,” the first mile operation has documented procedures relating to the implementation of the policy and formalized a process to monitor its own performance in meeting the policy. It has clarified expectations and provided support to its supplier farms to promote compliance.	In addition to “Established,” the first mile operation is holding first mile actors, such as labor recruiters, crew leaders, and field supervisors, accountable for their roles in implementing the human rights policy and procedures. It has identified gaps in practices internally and in the first mile, and is addressing them through targeted training, guidance, and tools. It routinely evaluates the effectiveness of its interventions and adjusts for continual improvement