

GLOBALG.A.P. Risk Assessment on Social Practice (GRASP)

Country Risk Classification Concept and Interview Rules

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The GLOBALG.A.P. Secretariat has decided to include the concept of country risk levels as a core system in the application of GRASP.

EXPLANATORY PREFACE

To date, there is no point of reference in the form of a single national score, index, or ranking directly related to levels of agricultural labor risks by country. GLOBALG.A.P. has therefore decided to classify country risk levels using the Worldwide Governance Indicators (WGI) developed and maintained by the World Bank.

1 THE WORLD BANK'S WORLDWIDE GOVERNANCE INDICATORS

For over 200 countries, the WGI project reports governance indicators, produced by the analysis of publicly available data sources, NGOs, international organizations, survey institutes, and private-sector firms. It takes this data and transforms it into quantitative variables, aggregates those variables, and provides analysis on a country-by-country basis. In this context, the indicators provide information about the institutions and authority within a country, its stability, citizen participation, and the prevalence of corruption. GLOBALG.A.P. will use the final ranking report, which lists countries with a final overall ranking from 1 to 100.

For more details on the calculation of the index, the ranking report, and changes in the methodology, please refer to <https://www.worldbank.org/en/publication/worldwide-governance-indicators>.

2 DEFINITION OF THE GLOBALG.A.P. COUNTRY RISK LEVELS

GLOBALG.A.P. has grouped countries into three different levels depending on their overall ranking: low-risk, medium-risk, and high-risk countries.

To calculate the ranking for each country risk level, the following mathematical method was applied: Under the assumption that the WGI are statistically normally distributed, the mean of all the indicators was calculated.

As a result, an overall mean ranking of 50 was found. It is assumed that countries with a ranking between 0 and 50 pose a greater risk than those with a ranking between 50 and 100 (since lower rankings mean less governance as defined by the WGI). The mean ranking of countries that pose less of a risk (i.e., countries with rankings between 50 and 100) was then calculated. As a result, an overall mean ranking of 80 was found to differentiate countries with less risk exposure.

Based on these rankings, each country risk level was assigned a range in the ranking: Rankings between 0 and 49 are considered high risk, rankings between 50 and 79 medium risk, and rankings between 80 and 100 low risk. Countries in each range are therefore assigned the corresponding country risk level's method for collecting evidence.

The current list of countries with their country risk level is available on the GLOBALG.A.P. GRASP [web page](#).

3 GENERAL

The GRASP country risk classification (GRASP CRC) will serve as the main reference document for current and upcoming changes to the GRASP add-on. Reference will always be made to this document.

- a) The GRASP CRC will be based on the latest WGI developed by the World Bank (see explanatory preface and section 1 at the beginning of this document).
- b) Due to the limited scope of some topics in the WGI, the GLOBALG.A.P. Secretariat will

be advised by the GRASP Technical Committee to use other sources of information to complement the GRASP CRC.

- c) The use of the GRASP CRC is mandatory for the certification bodies (CBs) and assessors assessing GRASP worldwide.

3.1 Application

The GRASP CRC will assign countries to three different categories:

- a) *High-risk countries*: countries with a WGI rating between 0 and 49
- b) *Medium-risk countries*: countries with a WGI rating between 50 and 79
- c) *Low-risk countries*: countries with a WGI rating between 80 and 100

3.2 Publication

- a) The GRASP CRC will be reviewed every year by the GLOBALG.A.P. Secretariat based on the most recent WGI publication.
- b) After revision, the GRASP CRC will be communicated to all CBs by the GLOBALG.A.P. Secretariat in a timely manner.
- c) The application of the rules derived from the GRASP CRC to a specific farm, geographic region, or country can be modified by the GLOBALG.A.P. Secretariat based on the advice of the GRASP Technical Committee.

4 ASSESSMENT METHODOLOGY

GRASP assessors shall use the following assessment methods to collect evidence of compliance: interviews, document review, and visual inspection during the GRASP assessments. Interviews shall be conducted with the management, the management GRASP liaison, the worker representation, the trade union representative(s) if working on the farm and present during the assessment, and a sample of the workers present during the assessment.

4.1 Assessment methodology and presence of workers by country risk classification

The method for collecting evidence shall follow the rules indicated in this document. Any non-conformance to these rules shall result in sanctions as indicated in the current "[GLOBALG.A.P. general regulations – Rules for certification bodies](#)," section 10.

The application of the GRASP country risk classification concept and interview rules requires the presence of the worker representation or the management GRASP liaison at all times, on the day of the GRASP assessment. The presence of workers on the day of the GRASP assessment is required in the following cases:

- **Low-risk country**: requires the presence of workers on the farms *only* if interviews are requested by the producer
- **Medium-risk country**: requires the presence of workers on the farms
- **High-risk country**: requires the presence of workers on the farms

The list of countries assigned to each of the three categories is available on the GLOBALG.A.P. website and will be updated regularly – following the revision periods of the World Bank.

CBs shall inform individual producers and producer groups seeking GRASP assessment in advance about which case applies, i.e., whether workers need to be present on the farm.

For Option 1 and Option 3 individual producers, the absence of workers in cases in which

interviews are required or requested and this requirement has been communicated, shall result in an immediate GRASP assessment rescheduling. The producer shall bear the responsibility and costs arising from such rescheduling. This also applies to Option 1 and Option 3 multisite producers with a quality management system (QMS).

For Option 2 and Option 4 producer groups, the complete absence of workers in the farm sample shall be considered a lack of necessary controls in the GRASP QMS activities and shall result in a non-compliance with the respective principles and criteria in the checklist. This shall not apply to producer group members without workers or if workers are shared among producer group members or the product handling unit (PHU). If workers are shared in any operation, evidence of the various employment conditions shall be checked.

4.2 Guidance for the application of methods by country risk classification – Interview rules

4.2.1 Low-risk countries

In **low-risk countries** the GRASP assessors shall conduct:

- a) An interview with the management (or its representative(s))
- b) An interview with the farm’s worker representation and/or the management GRASP liaison as applicable
- c) An interview with the trade union representative(s) if they work on the assessed farm and are present during the assessment. If this situation applies, please include this in the field referring to “Individual presence during assessment” indicating “trade union representative” in the GRASP checklist.
- d) Group interview(s) with a sample of the workers on the farm only if
 - i. Requested by the producer (prior to the assessment, the producer shall have arranged for workers to be present and available for interviews) or
 - ii. The assessor considers it necessary to maintain the credibility of the assessment and workers other than the worker representation are present on the farm during the assessment
- e) A document review of the workers who were interviewed and who are considered for document sampling based on the rules in this document
- f) A document review related to farm operations (as indicated in the checklist)

4.2.2 Medium-risk countries

In **medium-risk countries** the GRASP assessors shall conduct:

- a) An interview with the management (or its representative(s))
- b) An interview with the farm’s worker representation and/or the management GRASP liaison as applicable
- c) An interview with the trade union representative(s) if they work on the assessed farm and are present during the assessment. If this situation applies, please include this in the field referring to “Individual presence during assessment” indicating “trade union representative” in the GRASP checklist.
- d) Group interview(s) with a sample of workers on the farm
 - Individual worker interviews shall be conducted whenever group interviews are not appropriate (due to specific conditions, e.g., related to culture, gender, or religion).

This shall be indicated in the remarks for the respective principle for which interviews are required.

- e) A document review of the workers who were interviewed and who are considered for document sampling based on the rules in this document
- f) A document review related to farm operations (as indicated in the checklist)

4.2.3 High-risk countries

In **high-risk countries** the GRASP assessors shall conduct:

- a) An interview with the management (or its representative(s))
- b) An interview with the farm's worker representation and/or the management GRASP liaison as applicable
- c) An interview with the trade union representative(s) if they work on the assessed farm and are present during the assessment. If this scenario applies, please include this in the field referring to "Individual presence during assessment" indicating "trade union representative" in the GRASP checklist.
- d) A combination of individual and group interview(s) with a sample of workers on the farm
- e) A document review of the workers who were interviewed and who are considered for document sampling based on the rules in this document
- f) A document review related to farm operations (as indicated in the checklist)

5 SAMPLE SIZE CALCULATION

5.1 Sample size for worker interviews under Option 1 and Option 3 without QMS

The sample size for worker interviews shall be

- a) For producers in low-risk countries with interviews: **50% of the square root of the number of workers present** on the farm during the assessment
- b) For producers in medium-risk countries: the **square root of the number of workers present** on the farm during the assessment
- c) For producers in high-risk countries: the **square root of the number of workers present** on the farm during the assessment

5.2 Sample size for worker interviews under Option 2 and Option 4/Option 1 and Option 3 with QMS

The sample size for worker interviews shall be

- a) For producer groups or multisite producers with QMS in low-risk countries who request interviews: **50% of the square root of the number of workers present** on the farm during the assessment, out of all producer group members/production sites who were included in the external assessment
- b) For producer groups or multisite producers with QMS in medium-risk countries: the **square root of the number of workers present** on the farm during the assessment, out of all producer group members/production sites who were included in the external assessment

- c) For producer groups or multisite producers with QMS in high-risk countries: the **square root of the number of workers who are present** on the farm during the assessment, out of all producer group members/production sites who were included in the external assessment.

5.2.1 Sample calculation

The sample shall be calculated by the CB for each production site/producer group member included in the external assessment on the day of the assessment, considering the number of workers present at the specific production site/producer group member when visited by the auditor on the day of the assessment.

If product handling is included in the IFA certification scope, subcontracted product handling shall be covered by GRASP. The sample of the PHU workers is calculated the same way, using the square root of all the PHUs included in the external assessment, considering the number of workers present when visited by the auditor on the day of the assessment.

5.3 Sample size for the document review of the workers

The assessors shall include in the sample for the document review, the documents of at least half of the workers included in the interview sample using the following variations:

- a) In high-, medium-, and low-risk countries where interviews are conducted: **at least 50% of the interviewed workers**
- b) In low-risk countries without interviews: **at least 50% of the square root of the total number of workers** registered in the “Number of workers” field in the GRASP checklist

5.4 Composition of the sample

5.4.1 General

Every sample (for interviews or document reviews) shall include all the categories of types of employment, migratory status, and gender present on the day of the assessment.

The proportion of these categories shall be represented in percentages.

- a) In each case, the samples shall include every type of employment (also considering the definitions in the GRASP glossary) and migratory status (temporary/permanent/subcontracted and national/foreign) that is present on the farm during the assessment distributed by gender.
- b) In any sample, the different types of employment present during the assessment shall be proportionally represented, also considering the above definitions and the migratory status of those workers who are present during the assessment.
- c) In low-risk countries without interviews, the sample shall proportionally represent (in percentages) the types of employment and migratory status of those workers who are registered in section 2 of the master data “Structure of employment” in the GRASP checklist.
- d) In high-, medium-, and low-risk countries with interviews, the sample shall also consider interviewed producers in document reviews, allowing evidence for the same topics obtained using different methods to be cross-checked.
- e) If subcontracted workers are present during the assessment, they shall be available for the interviews, and be considered in the sampling. This shall be reported in the comments section of the GRASP checklist.

- f) To cover all types of employment and the migratory status, the sample size shall be increased or amended as needed.

Example: Four workers are present; the sample size contains two. However, if the four workers have four different kinds of contract and migratory status, the sample shall be extended to include all four.

5.4.2 Worker documents to be reviewed

- a) The producer shall provide access to the documents of the workers who have been interviewed for assessment purposes.
- b) The following documents of the individual workers shall be reviewed:
- i. Workers' contracts (principle 6)
 - ii. Workers' pay slips/pay register (principle 8)
 - Document(s) for the verification of the wages paid to the worker (principle 7)
 - iii. Workers' time records (principle 11)
 - In the report, the verification of the worker's hours and breaks (principle 12)

5.5 Examples

A farm has 102 subcontracted workers for harvest, 64 temporary workers and 19 permanent workers. The total number of workers is 185.

The assessor shall check what proportion of the workers are made up of national and foreign workers.

The assessor then calculates the percentage of all the types of employment and the migratory status that results in the following matrix (with 0.5 or higher rounded up):

Type of employment	Sample distribution				Total	Percentage rate			
	Foreign		National			Foreign		National	
	Male	Female	Male	Female		Male	Female	Male	Female
Subcontracted	102				102	55%			
Temporary	40		12	12	64	22%		6.5%	6.5%
Permanent			19		19			10%	
Total workers (100%)	142		31	12	185	77%		16.5%	6.5%

During the assessment, 160 workers are present, so the sample is the square root of 160 = 13 workers who shall be interviewed. According to the percentages in the company, the following matrix shows the necessary sample:

Type of employment	Percentage rate				Total	Sample distribution			
	Foreign		National			Foreign		National	
	Male	Female	Male	Female		Male	Female	Male	Female
Subcontracted	55%					7			
Temporary	22%		6.5%	6.5%		3		1	1
Permanent			10%					1	
Total workers (100%)	77%		16.5 %	6.5%	10		2	1	

The sample distribution for the foreign temporary workers shall include at least 3 interviewees – to ensure that the workers are represented in correct proportions. The assessor shall interview 10 foreign workers – 7 subcontracted and 3 temporary workers, all male – as well as 3 national workers – 2 temporary and 1 permanent, 2 male and 1 female.

The assessor shall review the documents of 50% of this sample. In this example, half of the square root is 7:

Type of employment	Percentage rate				Total	Sample distribution			
	Foreign		National			Foreign		National	
	Male	Female	Male	Female		Male	Female	Male	Female
Subcontracted	55%					3			
Temporary	22%		13%			2		1	
Permanent			10%					1	
Total sample					7	5		2	

Type of employment	Percentage rate				Total	Sample distribution			
	Foreign		National			Foreign		National	
	Male	Female	Male	Female		Male	Female	Male	Female
Subcontracted	55%					3			

Type of employment	Percentage rate				Total	Sample distribution			
	Foreign		National			Foreign		National	
Temporary	22%		6.5%	6.5%		2			1
Permanent			10%					1	
Total workers (100%)	77%		16.5%	6.5%		5		1	1

In the calculations of the sample, the assessor shall amend the sample in order to proportionally represent the percentages of the types of employment and migratory status. Thus, in this case, the larger sample of subcontracted foreign labor was reduced in order to keep 1 permanent national and 1 temporary national worker in the sample.

6 TIME MANAGEMENT

6.1 Expected minimum duration of individual interviews

Each individual interview shall last at least 15 minutes. **Regardless of country risk level, in all assessments** individual interviews shall be conducted with the management (or its representative(s)), with the management GRASP liaison, with the worker representation, and with the trade union representative(s) – if the latter works on the farm and is present during the assessment.

If requested by the producer, the interview with the management (or its representative(s)) and the management GRASP liaison can be conducted as a group interview, provided:

- Both are available at the same time for the interview
- The management GRASP liaison is part of management, not of the hired workforce

If worker representation consists of a council or a group of representatives, assessors shall apply the group interview methodology.

6.2 Expected minimum duration of group interviews

The minimum duration of group interviews depends on the number of people included in the sample, and on the group dynamics.

(Workers) Sample size	Minimum duration of group interviews in minutes
1	15
2	20
3	40
4	

(Workers) Sample size	Minimum duration of group interviews in minutes
5 6	
7 8 9 10	60
10+	Divide the sample into groups and apply the minimum duration (limit group size to 10 people)

If there are more than 10 workers in a sample for group interviews, then the sample shall be divided, so that one interview session includes 10 workers and all others are grouped in subsequent sessions or so that all groups have fewer than 10 workers.

For example, the sample exists of 12 workers. The assessor can divide the sample into a session of 10 workers for 60 minutes and another session with 2 workers for 20 minutes. Alternatively, it can be divided into two sessions with 6 workers for 40 minutes.

In group interviews, the minimum duration of 60 minutes applies to the whole range of sample sizes, whether there are 7 or 10 workers in the group being interviewed.

6.3 Combination of individual and group interviews (only applies in high-risk countries)

If interviews are conducted in a high-risk country on a farm with 42 or fewer workers ($\sqrt{42}=7$), the assessor shall always conduct individual interviews with the workers in the sample. Up to a sample size of 7 workers, individual interviews shall be conducted with each of the workers.

If the sample consists of more than 6+1 workers, group interview(s) shall be conducted with the rest of the sample, following the minimum duration as indicated below.

(Workers) Sample Size	Minimum interview duration in minutes
1	15
2	30
3	45
4	60
5	75
6	90
	Farms with 43 or more workers: The assessor shall continue sampling using group interview durations and methods

(Workers) Sample Size	Minimum interview duration in minutes
7	(6 individual) 90 minutes + (1 person) 15 minutes
8	(6 individual) 90 minutes + (2 people group) 20 minutes
9	(6 individual) 90 minutes + (3 people group) 40 minutes
10	(6 individual) 90 minutes + (4 people group) 40 minutes
10+	7 people in 90 minutes (15 each) + Divide the sample into groups and apply the minimum duration (limit group size to 10 people)

Example: A company in a high-risk country has 60 workers. The sample size is 8 people. The assessor shall conduct 6 individual interviews (90 minutes) and a group interview session of 20 minutes with two workers.

Matrix of the minimum interview duration by country risk profile:

	Low-risk countries	Medium-risk countries	High-risk countries
Management/Management GRASP liaison	15 minutes for each or 20 minutes for 2	15 minutes for each or 20 minutes for 2	15 minutes for each or 20 minutes for 2
Worker representation	15 minutes for an individual; otherwise, group interview	15 minutes for an individual; otherwise, group interview	15 minutes for an individual; otherwise, group interview
Trade union representative if present and employed	15 minutes	15 minutes	15 minutes
Workers	If requested, group interview	Group interview	Up to 6 people 15 minutes each, above this group interview

6.4 Basic conditions for interviews with workers

- During the opening meeting, assessors shall **request a list of all workers present** on the farm that day, including workers in all types of employment and every migratory status (i.e., national and foreign).
- The sample shall **always be selected by the assessor** and never by the management (or its representative).
- Although the assessor's selection is random, **the sample shall include workers in all types of employment and both migratory statuses – of the workers who are present at the moment of the assessment.**

- d) Interviews shall be conducted without the presence of company management, supervisors, or any other person that could interfere with the process.
- e) The company management shall provide **appropriate facilities** for the interviews:
 - The place shall be away from the place of work to avoid food safety and hygiene contamination risks.
 - It shall be a place that provides protection (visual and acoustic) to the workers and is not associated by workers with a place of disciplinary hearings or management operations.
- f) Interviews shall be conducted by the assessors in the **language in which work instructions are given and commonly understood by the worker(s)**.
- g) It is the responsibility of the management to provide facilities, resources, and means for the assessor to bridge language limitations. Any third party that is called in shall be objective (i.e., when calling in a facilitator, translator, or interpreter, they shall be independent from the company management).
- h) During the assessment, the assessors can take notes of **names, initials, or internal staff/register numbers of the interviewed workers in their audit logs, which are kept confidential**.

6.5 Expected duration of the assessment

The total assessment duration depends on the size of the company and the number of workers, as well as the country risk level. The assessment shall last at least:

Activity	Minimum expected duration	
1. Opening meeting with management (or its representative(s)), producer if present, and the worker representation	10–15 minutes	
2. Interview with the management (or its representative) and the person responsible for GRASP	15 minutes (one) or 20 minutes (if group interview)	
3. Interview with the worker representation If group interview	15 minutes	Follow group interview rules
4. Interview with trade union representative, if present	15 minutes	
5. Interviews with workers Sample size = Square root of the total number of workers present on the farm (includes all types of employment and migratory status, except those of management)	Medium risk and low risk requesting interviews	High risk
	Based on group sample 2 persons = 20	Based on sample Individual

Activity	Minimum expected duration	
	minutes 3–6 persons = 40 minutes 7–10 persons = 60 minutes 10+ Divide into groups, e.g., 12 workers = two sessions of 6 people for 40 minutes each or one for 60 minutes with 10 persons and one for 20 minutes with 2.	1 person = 15 minutes 2 persons = 30 minutes 3 persons = 45 minutes 4 persons = 60 minutes 5 persons = 75 minutes 6 persons = 90 minutes <u>From here group interviews</u> In samples of more than 6 workers continue with group interviews.
6. Site assessment for GRASP	20–30 minutes	
7. Document review Sample size = 50% of sample of interviewed workers	(Depends on sample size)	
8. Closing meeting with management and worker representation	10–15 minutes	