

# The ETI Risk Assessment Project

## Methodology and lessons for 1-day assessments

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# Background

- January 2002 - February 2004
- Tripartite group:
  - 7 companies
  - 7 NGOs
  - 1 trade union

## Group Members

- Corporates: The Cooperative group, Fisher Foods, Marks & Spencer, Safeway, Sainsbury's, Somerfield Stores, Tesco
- Trade Unions: The TUC
- NGOs: Anti-Slavery Int, CAFOD, CAWN, OXFAM, Quaker Peace & Service, Traidcraft, WWW

# Aims

- to test and improve a 1-day, 1-person, single site risk inspection process looking at the gap between labour practice and the ETI Base Code
- to establish the circumstances under which the use of the process is credible.

# Why did the project start?

- ETI corporate members needed a tool to consider huge and complex supply chains to prioritise areas of greatest risk of non-compliance
- An additional stage between desk based and multi-person, multi-day audits
- It was felt there was merit in developing an approach with the involvement and input of trade unions and NGOs

## How the group worked

- NGOs and unions shadowed assessments and provided feedback
- group reviewed and refined existing documentation
- group developed new supporting documents
- group publishing a toolkit and project report

# What does the toolkit contain?

- Application Framework
- Critical path
- Worker Information Leaflet
- Client Information Form
- Risk Assessment Report Template

# The ETI Risk Assessment Process

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trading  
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## The methodology

- A series of steps – ALL of which are necessary
  - Identify which suppliers can be assessed by 1-Person 1-Day
    - Limitations noted in the Application Framework
  - Follow critical path in planning assessment
  - Planning through Client Information Form
  - Notify workers with Workers Information Leaflet
  - Site assessment using standardised reporting format
  - Follow-up and corrective action

## How it should be used

- Follow the path as developed
  - Application framework
  - Critical path to site assessment with planning and worker information
- Planning through Client Info is essential
  - To decide if 1-P, 1-D is appropriate
  - To plan day, select auditor, prepare local knowledge

# Application framework

- Potentially restrict use where:
  - Known high-risk countries or industries
  - Lack of prior information
  - Size of unit
    - Physical size
    - Presence of off-site facilities
    - Size of workforce (>250)
  - Operational complexity
    - Especially shift patterns
  - Absence of worker involvement (though interviews)

## Key lessons

- This is NOT a full audit
- The full toolkit must be used to be effective
- There are limitations on use
- Auditor selection is vital
- Still need to cover all aspects of the Basecode
- Tight reporting structures can be restrictive
- Beware of use in high risk cases

## Broader lessons

- Communication between all parties is vital
- Planning and preparation is crucial
  - Site info
  - Local issues
  - Advance communication
- Involve workers, Unions, NGOs
- Ensure follow-up

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