

## Risk Assessment Checklist

Date: \_\_\_\_\_

Evaluator's name: \_\_\_\_\_

Group name: \_\_\_\_\_

### Risk factor No.1: Production scale and complexity

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>Small scale farms</li> <li>No hired labor</li> <li>Simple production system</li> <li>Low use of agrochemicals</li> </ul>	<ul style="list-style-type: none"> <li>Large scale farms</li> <li>Existence of hired labor</li> <li>Complex production system</li> <li>High use of agrochemicals</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?

**Risk factor No.2: Surrounding environment**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>Surrounded by organic farms</li> <li>Surrounded by certified farms</li> <li>Surrounded by fallow lands</li> </ul>	<ul style="list-style-type: none"> <li>Surrounded by farms with high application of agrochemicals (: risk of getting contaminated by them)</li> <li>Surrounded by High Value Ecosystems (: risk of contaminating them)</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?

**Risk factor No.3: Traceability system**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>The group's packhouse/ factory/ mill handles only certified products.</li> </ul>	<ul style="list-style-type: none"> <li>The group's packhouse/ factory/ mill handles products from non-certified farms.</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?

**Risk factor No.4: Marketing system**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>All the members commercialize their product through the group.</li> </ul>	<ul style="list-style-type: none"> <li>There are a lot of informal sales or individual sales to other buyers by the members.</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?

**Risk factor No.5: Training**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>The members are well trained.</li> <li>The IMS staff is well trained.</li> </ul>	<ul style="list-style-type: none"> <li>The members are poorly trained.</li> <li>The IMS staff is poorly trained.</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?

**Risk factor No.6: IMS staff**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>The IMS staff is well qualified, well staffed and well resourced.</li> </ul>	<ul style="list-style-type: none"> <li>The IMS staff is under qualified, poorly staffed or poorly resourced.</li> </ul>

Describe the general condition of the group on this factor
Empty space for description

Any member with higher risk and its reasons
Empty space for member details

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk
<input type="checkbox"/>	<input type="checkbox"/>

If any risk is detected, what actions are taken to mitigate the risk?
Empty space for mitigation actions

**Risk factor No.7: Recordkeeping**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>Records at the farm level are well kept.</li> <li>Records at the group level are well kept.</li> </ul>	<ul style="list-style-type: none"> <li>There missing or deficient records at the farm or at the group level.</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?

**Risk factor No.8: Characteristics of the members**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>The member is committed.</li> <li>The member is financially and technically competent.</li> <li>The member has been part of the group for many years.</li> </ul>	<ul style="list-style-type: none"> <li>The member is not motivated.</li> <li>The member is poor.</li> <li>The member is poorly educated.</li> <li>The member is new.</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?



**Risk factor No.9: Internal inspections and external audits**

Description of low risk condition	Description of high risk condition
<ul style="list-style-type: none"> <li>The member has passed the previous internal inspection/ external audit.</li> <li>The member has not had a non-compliance with a critical criterion.</li> <li>The member had an excellent result of an internal inspection/ external audit.</li> </ul>	<ul style="list-style-type: none"> <li>The member did not pass the previous internal inspection/ external audit.</li> <li>The member has had a non-compliance with a critical criterion.</li> <li>The member had a poor result of an internal inspection/ external audit.</li> </ul>

Describe the general condition of the group on this factor

Any member with higher risk and its reasons

Groups' overall risk level (Tick ✓)	
Low Risk	High Risk

If any risk is detected, what actions are taken to mitigate the risk?