

BETTER COTTON ASSURANCE PROGRAM

EXTERNAL ASSESSMENT FIELD BOOK On IMPROVEMENT REQUIREMENTS

SMALLHOLDERS

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| **ORIENTATION** | *This field book supports BCI in collecting the necessary information while doing an external assessment on Improvement Requirements in the field (BCI needs to conduct credibility checks on the 10% highest PU performers at a national level). It indicates to Producer Unit the type of questions that the person conducting the assessment will ask to the PU manager, to farmers or workers, the documents that will be reviewed and what will be looked at during visual inspection. It should be printed and filled during the visit. The information collected will support the preparation of the external assessment report on improvement requirements for smallholders that presents the information from the visit in a summarised form.*  |

1. **General Information about the visit**

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| Assessment Reference Number (the ref number should be country/state/PU Unit name/organisation conducting assessment/month-year of the visit |   |
| Assessment conducted by | BCI |
| Name of the person conducting the assessment (s):  |
| Email:  |
| Tel:  |
| Date of assessment (dd/mm/yyyy) - start date |   |
| Date of assessment (dd/mm/yyyy) - end date |   |
| Country  |   |
| State |   |
| Name of the Implementing Partner  |  |
| Name of the Producer Unit |   |
| Names of the 3 Learning Groups visited |  |
| Names of the 15 farmers visited |  |
| Exact location |   |

1. **Producer Unit manager interview & Documentation review (at PU level)**

Please refer to the smallholders self assessment report (to see the answers given by the Producer Unit on each question) to inform the discussion. Each question and answer should be discussed together with the PU manager and the associated documentation.

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| N° | Improvement requirement questionnaire | Documents | Comments |
| P1 | Number of best practices (validated locally) related to crop protection shared with farmers/pesticide applicators through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2 | Dissemination material in local language on best practices |  |
| P2 | Estimated number of farmers adopting the 5 principles of IPM, in accordance with the list of practices defined in the locally adapted and time-bound plan based on agro-ecosystem analysis ( ) a few ( ) some ( ) most ( ) all100% adoption on the 5 principles of IPM is expected to be achieved within: ( ) already in place ( ) one year ( ) 2 years ( ) more than 2 years | IPM policy/instructions covering the 5 principlesPest and beneficial organisms monitoring protocolManagement of resistance protocolPU records on estimated level of adoptionTraining/awareness raising material for farmers |  |
| P3 | In the Producer Unit, the use of pesticides listed in WHO Class 1a and 1b and Annex III of the Rotterdam Convention is: ( ) common ( ) limited ( ) Nil/banned If applicable the time period for phasing out is ( ) within the next year ( ) within the next 2-3 years ( ) 3 years or longer | Rotterdam convention and WHO class 1a and 1b list of pesticides available at PU level? List of pesticides used in the unitPhasing out plan if applicable? PU policy on the use of dangerous pesticides |  |
| P4 | Estimated number of farms where pesticides are prepared and applied by persons who correctly use appropriate protective and safety equipment ( ) none ( ) a few ( ) some ( ) most ( ) all | Training records on PPE equipmentDistribution records of PPEPU records on estimated level of adoptionTraining/awareness raising material for farmers |  |
| P5 | Estimated number of farms with separate and safe storage & cleaning sites available ( ) none ( ) a few ( ) some ( ) most ( ) all | PU records on estimated level of adoptionInternal policies and proceduresTraining/awareness raising material for farmers |  |
| P6 | Estimated number of farms applying pesticides in appropriate weather conditions, according to label directions with appropriate and well-maintained equipment ( ) none ( ) a few ( ) some ( ) most ( ) all  | PU records on estimated level of adoptionInternal policies and proceduresTraining/awareness raising material for farmers |  |
| P7 | Estimated number of farms that dispose of pesticide containers safely( ) none ( ) a few ( ) some ( ) most ( ) all | PU records on estimated level of adoptionInternal policies and proceduresTraining/awareness raising material for farmers |  |
| P8 | Number of best practices (validated locally) related to water management shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2  | Dissemination material in local language on best practices |  |
| P9 | Estimated number of farms adopting recommended management practices to ensure that water extraction does not cause adverse effects on groundwater or water bodies in accordance with continuous improvement plan( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable | PU records on estimated level of adoptionRecommended Management practices on water extractionTraining/awareness raising material for farmers |  |
| P10 | Number of best practices (validated locally) related to soil health management shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2  | Dissemination material in local language on best practices |  |
| P11 | Estimated number of farms adopting recommended soil management practices to maintain and enhance the structure and fertility of the soil in line with continuous improvement plan( ) none ( ) a few ( ) some ( ) most ( ) all | PU records on estimated level of adoptionRecommended soil management practices on soil fertilityTraining/awareness raising material for farmers |  |
| P12 | Estimated number of farms with nutrient application based on soil test results( ) none ( ) a few ( ) some ( ) most ( ) all | PU records on estimated level of adoptionSoil test results |  |
| P13 | Estimated number of farms adopting recommended soil management practices to minimise erosion ( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable | PU records on estimated level of adoptionRecommended soil management practices to minimise erosionTraining/awareness raising material for farmers |  |
| P14 | Number of best practices (validated locally) to enhance biodiversity on and surrounding the farm shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2 | Dissemination material in local language on best practices |  |
| P15 | Estimated number of farms adopting recommended practices to enhance biodiversity in line with continuous improvement plan ( ) none ( ) a few ( ) some ( ) most ( ) allIncrease in number and diversity of species can be demonstrated( ) yes ( ) no | PU records on estimated level of adoptionBiodiversity assessment reportRecommended practices on biodiversityTraining/awareness raising material for farmers |  |
| P16 | Number of best practices (validated locally) to maximise fibre quality shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2 | Dissemination material in local language on best practices |  |
| P17 | Estimated number of farms adopting recommended practices to maximise fibre quality in line with continuous improvement plan( ) none ( ) a few ( ) some ( ) most ( ) all | PU records on estimated level of adoptionRecommended practices to maximise fibre qualityTraining/awareness raising material for farmers |  |
| P18 | Number of alliances / partnerships established by the Producer Unit with local organisations on Decent Work( ) none ( ) 1 ( ) 2 | MoU, partnership agreement between partners |  |
| P19 | Number of outreach activities to specific target groups beyond farmers (e.g. women, children, casual workers, migrant workers, local authorities, school teachers, pesticide applicators, cotton pickers, etc.) ( ) none ( ) 1 ( ) 2 ( ) more than 2  | Records of outreach activitiesAwareness raising material |  |
| P20 | Estimated number of Learning Groups with specific person or groups in place to actively promote Decent Work within their communities (e.g. Decent Work committees, child labour monitoring committees, local pressure group, lead farmer, etc.) ( ) none ( ) a few ( ) some ( ) most ( ) all | Meeting records, statutes of committees established, etc. PU records on estimated level of adoption |  |
| P21 | Estimated number of farms with drinking and washing water facilities placed within reasonable proximity to the workplace and accessible to all( ) none ( ) a few ( ) some ( ) most ( ) all | PU records on estimated level of adoption |  |
| P22 | The Producer Unit is able to demonstrate the following: 1. Procedures in place for checking the age of the workers including record keeping at farm level ( ) yes ( ) no 2. Written code of conduct/child labour policy communicated to farmers/workers making explicit under which circumstances children can or cannot work and why ( ) yes ( ) no 3. Estimated number of child labourers appropriately transferred to education ( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable4. Estimated number of family members of child labourers provided with alternative sources of income (through local partnerships initiatives)( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable5. Establishment of child protection/monitoring committees( ) yes ( ) no ( ) not applicable6. The complete elimination of child labour in accordance with ILO convention 138 ( ) yes ( ) no | Procedures for checking the age of the workersWritten code of conduct/child labour policySchool recordsTraining/awareness raising material for farmers and workersChild protection committees recordsPU records on the elimination of child labourExample of alternative sources of income providedResearch reports |  |
| P23 | The Producer Unit is able to demonstrate the following: 1. Written code of conduct/non-discrimination policy communicated to farmers/workers ( ) yes ( ) no2. Existence of women facilitators for specific outreach to women farmers and workers( ) yes ( ) no3. Access to training for women ( ) never ( ) seldom ( ) sometimes ( ) often ( ) always4. Inexistence of gender-based wage discrimination? ( ) yes ( ) no5. Inexistence of other form of discrimination (based on age, ethnicity, nationality or social origin, religion, etc.)( ) yes ( ) no | Written code of conduct/non-discrimination policyEmployment contracts for women facilitatorsTraining recordsWage recordsResearch reports |  |
| P24 | The Producer Unit has a program in place (or is part of a program) to develop effective producer organisation and/or strengthen existing ones( ) yes ( ) no | Producer Organisation program |  |
| P25 | Estimated number of farms in the Producer Unit that are members of producer organisation( ) none ( ) a few ( ) some ( ) most ( ) all  | Producer organisation records |  |
| P26 | Estimated number of producer organisations with women holding a position of responsibility (e.g. decision making position, board membership, etc.)( ) none ( ) a few ( ) some ( ) most ( ) all | Producer organisation records |  |
| P27 | Number of basic services provided by the producer organisation to their members (e.g. marketing, inputs, extension, storage, credit, market information, processing, etc.) ( ) none ( ) 1 ( ) 2 ( ) 3 ( )more than 3 | List of basic services provided |  |

1. **Farmer Interview (at Learning Group/Farmers level)**

(Reminder: 3 Learning Groups and 5 farmers in each Learning Group need to be interviewed – so a total of 15 farmers per visit. If necessary this section can be printed for each individual interview and then summarised in the external assessment report)

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| N° | Improvement requirement questionnaire | Farmers interview | Comments |
| P1 | Number of best practices (validated locally) related to crop protection shared with farmers/pesticide applicators through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2 | Did you receive any documentation in local language on best practices related to crop protection?  |  |
| P2 | Estimated number of farmers adopting the 5 principles of IPM, in accordance with the list of practices defined in the locally adapted and time-bound plan based on agro-ecosystem analysis ( ) a few ( ) some ( ) most ( ) all100% adoption on the 5 principles of IPM is expected to be achieved within: ( ) already in place ( ) one year ( ) 2 years ( ) more than 2 years | Have you been trained on IPM? How do you decide when to use pesticides? What kind of specific practices do you use? How do you observe/monitor your cotton crop for pests and beneficial insects? Did you use genetically modified seed this season? If yes, how did you manage resistance?  |  |
| P3 | In the Producer Unit, the use of pesticides listed in WHO Class 1a and 1b and Annex III of the Rotterdam Convention is: ( ) common ( ) limited ( ) Nil/banned If applicable the time period for phasing out is ( ) within the next year ( ) within the next 2-3 years ( ) 3 years or longer | What pesticides did you use this season? How do you select your pesticides?  |  |
| P4 | Estimated number of farms where pesticides are prepared and applied by persons who correctly use appropriate protective and safety equipment ( ) none ( ) a few ( ) some ( ) most ( ) all | How do you prepare your pesticides?How does pesticides get applied on your farm? What kind of protective and safety equipment do you have access to on your farm? How do you know what type of safety and protective equipment you should be using?  |  |
| P5 | Estimated number of farms with separate and safe storage & cleaning sites available ( ) none ( ) a few ( ) some ( ) most ( ) all | Where do you keep your pesticides? Where do you keep your pesticide application equipment? Do you clean the application equipment after spraying? If yes how/where?  |  |
| P6 | Estimated number of farms applying pesticides in appropriate weather conditions, according to label directions with appropriate and well-maintained equipment ( ) none ( ) a few ( ) some ( ) most ( ) all  | What weather conditions are important for spraying? Are there weather conditions in which you do not apply pesticides? Why? What type of instructions do you find on pesticide containers? What time do you spray?  |  |
| P7 | Estimated number of farms that dispose of pesticide containers safely( ) none ( ) a few ( ) some ( ) most ( ) all | How do you dispose of your empty pesticide containers?  |  |
| P8 | Number of best practices (validated locally) related to water management shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2  | Did you receive any documentation in local language on best practices related to water management? |  |
| P9 | Estimated number of farms adopting recommended management practices to ensure that water extraction does not cause adverse effects on groundwater or water bodies in accordance with continuous improvement plan( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable | Do you need a licence to extract water? What conditions are attached to the licence? How does the water you extract for irrigation affect ground water or water bodies? How much do you extract? What problems are you facing?  |  |
| P10 | Number of best practices (validated locally) related to soil health management shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2  | Did you receive any documentation in local language on best practices related to soil health management? |  |
| P11 | Estimated number of farms adopting recommended soil management practices to maintain and enhance the structure and fertility of the soil in line with continuous improvement plan( ) none ( ) a few ( ) some ( ) most ( ) all | What techniques do you use to manage your soil? When do you cultivate the soil? What equipment do you sue? What is your rotation schedule?  |  |
| P12 | Estimated number of farms with nutrient application based on soil test results( ) none ( ) a few ( ) some ( ) most ( ) all | How do you decide which fertilisers to use? How do you decide the amount of fertilisers? How do you decide when to use fertilisers? What tests are you able to do? Have done?  |  |
| P13 | Estimated number of farms adopting recommended soil management practices to minimise erosion ( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable | What erosions problems do you have on your farms? What do you do to manage erosion? What do you do to stop water leaving your farm/ to protect off farm water bodies?  |  |
| P14 | Number of best practices (validated locally) to enhance biodiversity on and surrounding the farm shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2 | Did you receive any documentation in local language on best practices related to biodiversity? |  |
| P15 | Estimated number of farms adopting recommended practices to enhance biodiversity in line with continuous improvement plan ( ) none ( ) a few ( ) some ( ) most ( ) allIncrease in number and diversity of species can be demonstrated( ) yes ( ) no | What invasive species (weeds and animals) are present on your farm? What areas of significant biodiversity exist on or around your farm? What practices do you use to enhance biodiversity on your farm? Around your farm?  |  |
| P16 | Number of best practices (validated locally) to maximise fibre quality shared with farmers through appropriate dissemination material in local language( ) none ( ) 1 ( ) 2 ( ) more than 2 | Did you receive any documentation in local language on best practices related to fibre quality? |  |
| P17 | Estimated number of farms adopting recommended practices to maximise fibre quality in line with continuous improvement plan( ) none ( ) a few ( ) some ( ) most ( ) all | What do you do to ensure that you grow good quality fibre? What variety did you plant? When did you obtain the seed? How did you decide on which variety? When did you plan? When did you harvest? |  |
| P20 | Estimated number of Learning Groups with specific person or groups in place to actively promote Decent Work within their communities (e.g. Decent Work committees, child labour monitoring committees, local pressure group, lead farmer, etc.) ( ) none ( ) a few ( ) some ( ) most ( ) all | Do you have in your Learning Group a specific person in place to promote Decent Work? What types of committees have been established on decent work?  |  |
| P21 | Estimated number of farms with drinking and washing water facilities placed within reasonable proximity to the workplace and accessible to all( ) none ( ) a few ( ) some ( ) most ( ) all | Where do persons working on the farm get drinking water from? Where do persons working on the farm wash after work?  |  |
| P22 | The Producer Unit is able to demonstrate the following: 1. Procedures in place for checking the age of the workers including record keeping at farm level ( ) yes ( ) no 2. Written code of conduct/child labour policy communicated to farmers/workers making explicit under which circumstances children can or cannot work and why ( ) yes ( ) no 3. Estimated number of child labourers appropriately transferred to education ( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable4. Estimated number of family members of child labourers provided with alternative sources of income (through local partnerships initiatives)( ) none ( ) a few ( ) some ( ) most ( ) all ( ) not applicable5. Establishment of child protection/monitoring committees( ) yes ( ) no ( ) not applicable6. The complete elimination of child labour in accordance with ILO convention 138 ( ) yes ( ) no | What is child labour?What kind of work do young workers/children do on your farm? How do you decide what tasks are acceptable? How do you check the age of your workers? What proportion of the children/young people working on the farm attend school? What has happened this season to remove child labour from the farm?Did you receive any information on child labour from the Producer Unit?   |  |
| P23 | The Producer Unit is able to demonstrate the following: 1. Written code of conduct/non-discrimination policy communicated to farmers/workers ( ) yes ( ) no2. Existence of women facilitators for specific outreach to women farmers and workers( ) yes ( ) no3. Access to training for women ( ) never ( ) seldom ( ) sometimes ( ) often ( ) always4. Inexistence of gender-based wage discrimination? ( ) yes ( ) no5. Inexistence of other form of discrimination (based on age, ethnicity, nationality or social origin, religion, etc.)( ) yes ( ) no | How do you understand the issue of discrimination? Have you received any information on discrimination from the Producer Unit? What are you doing to improve the position of disadvantaged groups? What is the difference of wage paid to workers according to gender? To minorities? Do women receive training from the Producer Unit in the village/Learning group?  |  |
| P25 | Estimated number of farms in the Producer Unit members of producer organisation( ) none ( ) a few ( ) some ( ) most ( ) all  | Are you a member of a Producer organisation?  |  |
| P26 | Estimated number of producer organisations with women holding a position of responsibility (e.g. decision making position, board membership, etc.)( ) none ( ) a few ( ) some ( ) most ( ) all | In your organisation are women holding a position of responsibility?  |  |
| P27 | Number of basic services provided by the producer organisation to their members (e.g. marketing, inputs, extension, storage, credit, market information, processing, etc.) ( ) none ( ) 1 ( ) 2 ( ) 3 ( )more than 3 | What types of services are provided by the Producer Organisation?  |  |

**IV. Workers Interview**

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| Production Principles | What to ask? | Comments |
| Crop protection | *For workers that work directly with crop protection (e.g. pesticide applicators)*Did you receive awareness raising material from the Producer Unit on Integrated Pest management, pesticide application, storage, cleaning, protective equipment, etc.?How long time have you been working with pesticides? Have you been trained for it? How old are you? Where do you prepare pesticides? What kind of protective and safety equipment do you use? Where are the pesticides kept? What do you do with empty pesticide containers? How do you clean them? Where are they disposed of? How do you clean the pesticide equipment after usage?  |  |
| Decent work | Did you receive awareness-raising material from the Producer Unit on Decent Work (health and safety, child labour, non discrimination, gender issues)? Do you have access to potable and washing water? Has someone checked your age when you were hired? How old are you? Is there anyone available in the community to promote decent work (e.g. decent work committee, child labour monitoring committees, local pressure group)? Is there a child labour policy/code of conduct on the farm you are working in? Is there a non-discrimination policy/ code of conduct on the farm you are working in? Are women and men paid the same wages for equal work? Have you felt any discrimination here as compared to other workers? Are you well treated here? How has the situation improved or deteriorated recently? Are you from the area or you migrated to work here?  |  |

#  VISUAL INSPECTION

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| Improvement Requirements | Key issues to be addressed during visual inspection | Comments/description – (Remember to take photos) |
| Crop protection | Integrated pest management specific practices on the 5 principles (e.g. traps, field monitoring for pests and beneficial insects, resistance management, etc.) |  |
|  | Work practices that may affect the health and safety of the farmers/workers (e.g. preparation and application of pesticides, personal protective equipment usage and conditions, re-entry periods for treated areas, etc.) |  |
|  | Type of pesticides used |  |
|  | Storage and disposal of pesticides, recycling of pesticides used (dedicated areas, pesticide containers, contamination risks, etc. ) |  |
| Water | Water management practices observed on water extraction |  |
| Soil | Soil management techniques observed in the farm and fertiliser used |  |
| Natural Habitat | Natural habitat management observed on the farm (biodiversity, control of invasive species, wildlife, etc.) |  |
| Fibre Quality | Management practices to maximise fibre quality observed on the farm |  |
| Decent Work | Type of labour used in the farm (children/young persons, permanent, temporary, migrant workers, ethnic minorities) and work performed by each of them – relationship between farmer and workers in the field |  |
|  | Access to drinking and washing water facilities places within reasonable proximity to the workplace |  |
|   | Existence of specific group/person to promote decent work (e.g. decent work committees, child labour monitoring committees, local pressure group, lead farmer, etc.) |  |