

Using the NEPCon Sourcing Hub – a workshop for Competent Authorities

Activity: Inspection of an operator

Introduction & Objectives

The purpose of this activity is to help you to familiarise yourself with the tools and resources available on the Sourcing Hub. This may include how these resources could assist an operator to conduct due diligence as well as how they could help an enforcement officer of a Competent Authority to evaluate the due diligence system implemented by an operator.

Case Study

You are an Enforcement Officer for a Competent Authority responsible for enforcing the EU Timber Regulation. You have been assigned an Operator to inspect.

You have scheduled a date to visit the Operator and requested to that they send you their Due Diligence System (DDS) in advance.

You will work in small groups to evaluate key elements of the due diligence system implemented by the Operator. Each part of the activity addresses a different element of the DDS.

Part 1: Getting started - review of DDS documented procedures & supply chain mapping

Time:

45 mins total (30 minutes preparation and work, 15 minutes presentation and discussion).

Instructions

1. Read the information provided to you by the Operator:
 - Email
 - DDS procedures manual
 - Supplier management form (TR-05)
2. Note where you see any significant gaps in the DDS documented procedures.
3. Prepare a supply chain map based on the information provided.

Be ready to discuss your initial findings with the whole class.

Tools

- NEPCon Sourcing Hub Due Diligence template documents DD-01 to DD-15

Part 2: Preparation for onsite visit - risk identification

Time:

60 mins (40 minutes preparation and work, 20 minutes presentation and discussion).

Instructions

In your group, complete an initial evaluation of the Operator's due diligence for a product. Each group will focus on one product:

Group 1 = Storage box

Group 2 = Bedside table

Group 3 = Dining table

NOTE: If time allows, please feel free to select additional products.

Risk identification

1. Evaluate the (limited) supply chain information and risk description contained in the simplified Supplier Management Form, for the product.
2. Decide whether the level of information regarding the following is satisfactory:
 - a. Product type
 - b. Species
 - c. Origin of the material
3. Evaluate and conclude whether you find the existing risk assessment conclusions and justifications appropriate. Be prepared to justify your answer.
4. [OPTIONAL] If you have time, prepare your own risk description (and justification) for one of the supply chains. The tool DD-08 Risk Identification Checklist provides a comprehensive list of topics/questions for doing this.
5. Prepare a set of questions you would like to ask the Operator during the onsite visit.
6. Decide which member of your group will lead the onsite visit and/or divide topics and questions among team-members.

Be ready to discuss your findings 2 – 4 with the whole class.

Tools

- NEPCon Sourcing Hub country pages
- DD-04 Supplier Management Form
- DD-08 Risk Identification Checklist

Part 3: Risk specification and mitigation

Time:

105 mins (60 minutes preparation and work, 45 minutes presentation and discussion).

Instructions

Conduct the interview which forms part of the on-site inspection – to verify and gather further information where possible.

Based on all information gathered - and using the tools from the Sourcing Hub as described below – address the following questions:

1. Which specific risks apply to the supply chain you have evaluated?

2. Which of these risks are addressed by the Risk Mitigation Action implemented/proposed by the operator?
3. Do you consider the Risk Mitigation Action implemented/proposed by the operator has/will mitigated the risks?
 - a. (Consider actual/possible weaknesses in the Risk Mitigation Action implemented by the company).
4. Can your group consider any alternative, effective, Risk Mitigation Actions that may be worth considering?

Be ready to present a summary of your findings above, with the whole class.

Consider any questions/comments or other uncertainties that may be of interest to other groups, that you may wish to raise, with regards to the Sourcing Hub tools and/or the Operator in question.

Tools

- NEPCon Sourcing Hub (<http://www.nepcon.org/sourcinghub>)
 - Country pages
 - Risk assessments
 - Risk mitigation guides
 - Document guides

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