Roles and Responsibilities of Observers in C.A.F.E. Practices Verifications and Audits

As the C.A.F.E. Practices program allows observers to be present during verifications or audits, the intent of this document is to clarify the role and responsibilities of observers attending a C.A.F.E. Practices inspection or audit carried out by SCS Global Services (SCS). Audit types include check, shadow, unannounced or office audits.

An observer is defined as an individual that accompanies SCS auditors or C.A.F.E. Practices inspectors during audits and/or inspections to witness activities on site and who is not part of the inspection/audit team. Observers may include aspiring C.A.F.E. Practices inspectors or other representatives of the responsible verification organization, SCS staff, representatives of the Producer Support Organization (PSO) or entity inspected/audited, of exporting and/or trading companies, and Starbucks partners (e.g., agronomists, Farmer Support Center (FSC) members, etc.).

During the opening meeting, the observer will be informed of the agenda including the proposed schedule. Even if they were listed as observers in the audit plan and the report, they shall be introduced, and their role explained.

If the inspector/auditor agrees, observers may review documentation to add context to their observer role but shall not participate in worker interviews\(^1\) or dictate the terms of the inspection or audit (considerations listed below). Since inspection/audit evidence are based on objective and independent sources, the observer’s presence cannot influence the process or conclusions on findings.

Any observer shall sign an agreement to maintain confidentiality of any information obtained during the audit/verification. They shall also disclose any potential conflict of interest.

If an observer believes that a topic has not been sufficiently considered by the SCS auditor or C.A.F.E. Practices inspector, this should be discussed discreetly with the auditor/inspector during the audit/verification or following the completion of the field work. In any case, this should be done before the closing meeting and, if not possible, before the completion of the report. Questions should only be responded after the inspection/auditing activities have been concluded.

\(^1\) Starbucks employees might observe in rare occasions.
If an observer appears to be influencing the SCS audit or the verification (e.g., posing questions to management about practices on the farm), and/or interfering (e.g., distracting the auditor with questions, recommendations, and/or conversing), the observer may be requested to leave the audit/inspection to safeguard the integrity of the auditing activities. Observers must also ensure to not engage in any negative behavior including nonverbal communication and body language towards an inspector, farmers, and/or workers. Examples include intimidating behavior such as invading personal space, staring from far away, or gesturing. Observers must leave a sensible distance between themselves and the inspectors, farmers, and workers. Observers may be requested to further distance themselves at any time during the inspection at inspectors or SCS auditor’s discretion. Inspectors or SCS auditors reserve the right to not disclose any information on their evaluations.

The number of observers may be capped during the inspection and/or audit to avoid disrupting the flow of the verification / audit and their presence will be communicated in the audit plan.

**Terminology**

**Check Audit**: The process by which an SCS auditor checks the veracity of C.A.F.E. Practices verification reports by independently conducting inspections at the farm, processor, and/or supplier level following the initial inspection by the verification organization.

**Inspection**: The evaluation of an individual C.A.F.E. Practices entity against the C.A.F.E. Practices Generic Scorecard and/or C.A.F.E. Practices Smallholder Scorecard

**Shadow audit**: The process of evaluating the performance of a verification organization by which SCS auditors accompany verifiers and inspectors during a C.A.F.E. Practices verification.

**Unannounced audit**: The unannounced evaluation of a supply chain’s overall performance and compliance with C.A.F.E. Practices by an SCS auditor outside of a verification process conducted by a verification organization.

**Office audit**: The process of evaluating verification organizations on the overall quality control of their organization through document review of verification records, quality management system and procedures, personnel records, and other materials as requested by the SCS auditor.