



Starbucks Coffee Company

C.A.F.E. Practices Version 3.4

Self-evaluation for Smallholders

Applicant Information

Application number (ID): _____

Entity name: _____

Entity code: _____

Contact person: _____ Gender: ☐ Male ☐ Female

Age of farm owner: _____

Address: _____

Email: _____

Telephone: _____

GPS Latitude: _____ ° _____ ' _____ " (N) (S) **Note:** If farm has multiple plots, enter GPS data on next page.

GPS Longitude: _____ ° _____ ' _____ " (E) (W)

Entity supported the costs of the verification? ☐ Yes, paid directly for the cost ☐ Yes, paid indirectly for the cost (e.g., deductions from sales of coffee; logistical support) ☐ No

Evaluation Information

Name of evaluator: _____

Date(s) of evaluation: _____

Person responsible for reviewing the report: _____

Date(s) of previous verification(s) of this entity: _____

Evaluated during harvest? ☐ Yes ☐ No

Farm Information

Producer Support Organization (PSO): _____

Farm consists of multiple plots? ☐ Yes ☐ No If so, number of plots: _____

Name of Plot	Size (ha)	GPS (if inspected)	Inspected?
		° ' " (N) (S) ° ' " (E) (W)	<input type="checkbox"/> Yes <input type="checkbox"/> No
		° ' " (N) (S) ° ' " (E) (W)	<input type="checkbox"/> Yes <input type="checkbox"/> No
		° ' " (N) (S) ° ' " (E) (W)	<input type="checkbox"/> Yes <input type="checkbox"/> No
		° ' " (N) (S) ° ' " (E) (W)	<input type="checkbox"/> Yes <input type="checkbox"/> No

Total hectares (including all plots): _____

Total hectares of coffee production: _____

Conservation area hectares: _____

Number of water bodies: _____

Average distance between coffee trees (meters): _____

Average distance between rows (meters): _____

Total annual production volume (Kg) based on inspection:

2 years prior to most recent completed harvest

1 year prior to most recent completed harvest

Most recent completed harvest*

Crop year (e.g., 2013/2014)

☐ Not Available

☐ Not Available

*required field

Cherry: _____

Parchment: _____

Green: _____

Note: Annual production volume should represent the **actual** volume of the most recent completed harvest.

If "Not Available" selected above, please include an explanation for why the information was missing (e.g., new entity, data unreliable etc.): _____

Flows:

Farm sells coffee: ☐ directly to mill/warehouse ☐ to collector(s) Name of collector (if applicable): _____

Farm sends coffee outside of C.A.F.E. Practices supply chain? ☐ Yes ☐ No

Note: Farm must send at least a portion of its coffee to an entity listed in the C.A.F.E. Practices application in order to be considered as part of the supply chain.

Name(s) of mill(s) or warehouse(s) where coffee is sent: _____

Number of kilograms (green coffee) sent to each entity: _____

Workers:

Entity uses labor intermediaries? ☐ Yes ☐ No

Type of intermediary (if applicable): ☐ External subcontracting agency ☐ Informal worker group leader/agent ☐ Other: _____

Worker Type	Total Number	Number of workers hired directly by entity	Number of workers contracted through labor intermediaries	Number of workers living onsite
Permanent workers:				
Temporary/seasonal workers:				

Number of children living on site: _____

Number of children of primary school age: _____ Number of children of secondary school age: _____

In the past 12 months, were there months in which the producer did not have enough food to meet their family's needs? ☐ Yes ☐ No

If yes, which were the months (in the past 12 months) that the producer did not have enough food to meet their family's needs?

☐ January ☐ April ☐ July ☐ October
☐ February ☐ May ☐ August ☐ November
☐ March ☐ June ☐ September ☐ December

Pest and Disease Information. Are any of the following present?

Rust? ☐ Yes ☐ No Rust incidence (if present): ☐ lower than 10% ☐ higher than 10%

Coffee Berry Borer? ☐ Yes ☐ No CBB infestation (if present): ☐ lower than 2% ☐ higher than 2%

Other? ☐ Yes ☐ No % of farm (if present): _____

If other pest/disease, please specify: _____

Which coffee varieties are grown on the farm? Check all that apply:

☐ Blue Mountain ☐ Geisha ☐ N39 ☐ Tabi
☐ Bourbon ☐ Icatu ☐ Pacamara ☐ Tekisisc
☐ Castillo ☐ Jackson ☐ Pacas ☐ Typica
☐ Catimor ☐ Java ☐ Pache Colis ☐ Venecia
☐ Catuai ☐ Kent ☐ Ruiru 11 ☐ Villa Sarchi
☐ Catuai 44 ☐ Lempira ☐ Sarchimor ☐ Villalobos
☐ Caturra ☐ Maragogipe ☐ SL28 ☐ Other: _____
☐ Colombia ☐ Mondo Novo ☐ SL34
☐ Garnica ☐ Montecristo ☐ Sumatra

What other certifications does the farm have? Check all that apply:

☐ 4C ☐ Fair Trade ☐ Rainforest Alliance
☐ AAA ☐ Organic ☐ UTZ
☐ Other: _____

Subject Area: Economic Accountability

Criterion EA-IS1: Demonstration of Financial Transparency	
Indicators	Evidence/Justification
<p>EA-IS1.3 Entity keeps receipts or invoices for the coffee (cherry, parchment, green) it buys or sells.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	
<p>EA-IS1.4 Presented documents indicate: date, names of buyer and seller, unit of measure (volume or weight), price per unit, quantity, type of coffee (cherry, parchment or green).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Receipts for: <input type="checkbox"/> coffee purchased <input type="checkbox"/> coffee sold</p> <p>Documents include: <input type="checkbox"/> dates <input type="checkbox"/> names of entities buying and selling <input type="checkbox"/> units of measure <input type="checkbox"/> price per unit <input type="checkbox"/> quantity of coffee <input type="checkbox"/> type of coffee <input type="checkbox"/> all of the above</p> <p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>

Subject Area: Social Responsibility

Criterion SR-HP1: Wages and Benefits	
Indicators	Evidence/Justification
<p>SR-HP1.1 ZERO TOLERANCE: All permanent workers are paid the nationally or regionally established minimum wage. If minimum wages for permanent workers have not been established, all permanent workers are paid the local industry standard wage. If workers are paid by production, wages meet the nationally or regionally established minimum wage, or, where minimum wage has not been established, the local industry standard wage.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>SR-HP1.10 EXTRA POINT: All permanent workers are paid MORE than the nationally or regionally established minimum wage. If minimum wages for permanent workers have not been established, all permanent workers are paid MORE than the local industry standard wage. If workers are paid by production, wages are higher than the nationally or regionally established minimum wage, or, where minimum wage has not been established, the local industry standard wage.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Low-High range of payments per hr/day/wk:</u></p> <p>Lowest payment: _____ per _____</p> <p>Highest payment: _____ per _____</p> <p><u>National wage/industry standard:</u></p> <p>_____ per _____</p> <p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>

<p>SR-HP1.2 ZERO TOLERANCE: All temporary and seasonal workers are paid the nationally or regionally established minimum wage. If minimum wages for temporary/seasonal workers have not been established, all temporary/seasonal workers are paid the local industry standard wage. If workers are paid by production, wages meet the nationally or regionally established minimum wage, or, where minimum wage has not been established, the local industry standard wage.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>SR-HP1.11 EXTRA POINT: All temporary and seasonal workers are paid MORE than the nationally or regionally established minimum wage. If minimum wages for temporary/seasonal workers have not been established, all temporary/seasonal workers are paid MORE than the local industry standard wage. If workers are paid by production, wages are higher than the nationally or regionally established minimum wage, or, where minimum wage has not been established, the local industry standard wage.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Low-High range of payments per hr/day/wk:</u></p> <p>Lowest payment: _____ per _____</p> <p>Highest payment: _____ per _____</p> <p><u>Pay by Productivity?</u> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Payment per activity: _____ per _____</p> <p><u>National wage/industry standard:</u></p> <p>_____ per _____</p> <p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>
<p>SR-HP1.3 ZERO TOLERANCE: Wages are regularly to all workers in cash, cash equivalent (check, direct deposit), or through in-kind payments (e.g., food), if legally permissible.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Type of payment:</u> <input type="checkbox"/> cash <input type="checkbox"/> check <input type="checkbox"/> other: _____</p> <p><u>Frequency of payment:</u> <input type="checkbox"/> daily <input type="checkbox"/> weekly <input type="checkbox"/> biweekly <input type="checkbox"/> monthly</p> <p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>

<p>SR-HP1.7 Employer pays for any national, legally required benefits (social security, vacation, disability) for permanent workers.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>
<p>SR-HP1.8 Employer pays for any national, legally required benefits (social security, vacation, disability) for temporary and seasonal workers.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>
<p>SR-HP1.9 Overtime pay meets national requirements. If workers are paid by production, overtime wages meet the local/regional/national requirements. If overtime pay has not been established by law, overtime is calculated at 150% of regular pay. If workers are paid by production, wages meet the above requirements.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Overtime worked? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><u>Overtime wages:</u> _____ per _____</p> <p><u>National requirement:</u> _____ per _____</p> <p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>

<p>SR-HP1.17 ZERO TOLERANCE: Labor intermediaries are only used where legally permissible. Legal status of the intermediary can be demonstrated at the time of inspection. All necessary documentation from the labor intermediary is made available at the time of the inspection to support evaluation of relevant Social Responsibility indicators.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____</p>
<p align="center">Criterion SR-HP3: Hours of Work</p>	
<p align="center">Indicators</p>	<p align="center">Evidence/Justification</p>
<p>SR-HP3.1 All workers do not work more regular hours (before overtime) per day or week than allowed by local law. If regular hours are not established, regular hours are considered as 8 hours per day, 48 hours per week.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>SR-HP3.3 All workers must not work more total hours (including overtime) in one day or week than allowed by local laws. If total hours have not been established by law, workers do not work more than 60 hours per week, except where a written agreement exists between workers and management.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Regular hours per day/week/month/year:</u> ____ hrs per ____ for full-time workers ____ hrs per ____ for temporary workers <u>Total hours per day/week/month/year:</u> ____ hrs per ____ for full-time workers ____ hrs per ____ for temporary workers</p> <p>Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____</p>

<p>SR-HP3.2 All permanent workers must have, as a minimum, the equivalent of one continuous 24 hour period off in each 7 day period, or longer if required by law, whichever is greater.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p># of days off per 7 day period:____ Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____</p>
<p>SR-HP3.5 Hours worked on potentially hazardous activities (e.g., pesticide exposure, very heavy labor, etc.) are limited according to the law. If hours have not established by law, the activities are limited to six hours per day.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p># of hours worked per day on potentially hazardous activities:____ Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____</p>
<p align="center">Criterion SR-HP4: Child Labor/Non-Discrimination/Forced Labor</p>	
<p align="center">Indicators</p>	<p align="center">Evidence/Justification</p>
<p>SR-HP4.1 ZERO TOLERANCE: Employer does not directly or indirectly employ any persons who are under the age of 14 or the legal working age (ILO Conventions 10 and 138).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Age of youngest worker:____ Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____</p>

<p>SR-HP4.2 <u>ZERO TOLERANCE:</u> Employment of authorized minors follows all legal requirements, including, but not limited to, work hours, wages, education, working conditions, and does not conflict with or limit their access to education (ILO Convention 10).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Evidence of authorization:</u> <input type="checkbox"/> note from parents/guardians <input type="checkbox"/> verbal agreement <input type="checkbox"/> other _____</p> <p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>SR-HP4.4 <u>ZERO TOLERANCE:</u> Employer enforces a policy that prohibits the use of forced, bonded, indentured, convict or trafficked labor (ILO Conventions 29, 97, 105 and 143).</p> <p><i>Written policy required for large/medium farms, mills, and warehouses with more than 5 employees.</i></p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>SR-HP4.6 <u>ZERO TOLERANCE:</u> Workers do not surrender their identity papers or other original personal documents or pay deposits as a condition of employment.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

<p>Criterion SR-WC1: Access to Housing, Potable Water and Sanitary Facilities</p>	
Indicators	Evidence/Justification
<p>SR-WC1.1 Permanent and temporary/seasonal workers living onsite have habitable housing.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><input type="checkbox"/> adequate ventilation <input type="checkbox"/> impermeable roof <input type="checkbox"/> lighting <u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>SR-WC1.2 Employer provides workers with convenient access to safe drinking water.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><input type="checkbox"/> water testing <input type="checkbox"/> water boiled <input type="checkbox"/> spring/well with concrete cap <input type="checkbox"/> other method of purification: _____</p> <p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>SR-WC1.4 Workers have convenient access to sanitary facilities that do not contaminate the local environment.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Criterion SR-WC2: Access to Education	
Indicators	Evidence/Justification
<p>SR-WC2.1 <u>ZERO TOLERANCE</u>: Children of legal school age who live onsite or accompany family members who are working onsite attend school.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
Criterion SR-WC4: Worker Safety and Training	
Indicators	Evidence/Justification
<p>SR-WC4.1 Employer provides appropriate Personal Protective Equipment (PPE) to all applicable workers at no cost.</p> <ul style="list-style-type: none"> • For farms: respirators with filters, goggles, rubber boots, water-proof gloves, impermeable clothing • For dry mills: goggles, ear plugs, masks <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>PPE for farm includes: <input type="checkbox"/> respirators with filters <input type="checkbox"/> goggles <input type="checkbox"/> rubber boots <input type="checkbox"/> water-proof gloves <input type="checkbox"/> impermeable clothing</p> <p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

<p>SR-WC4.2 Anyone handling or applying agrochemicals and operating machinery uses the appropriate protective equipment.</p> <ul style="list-style-type: none"> • When applying pesticides, workers use respirators with filters, goggles, rubber boots, water-proof gloves, and impermeable clothing (SR-WC4.1). • When applying chemical fertilizers, workers use rubber boots, and if appropriate, gloves and protective goggles. <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>SR-WC4.9 Authorized minors (minors older than 14) and pregnant women are prohibited from handling or applying agrochemicals, operating heavy machinery and/or heavy lifting.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>SR-WC4.10 Entrance is prohibited to areas where pesticides were applied 48 hours prior without protective equipment.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Criterion SR-MS 1: Management Systems	
Indicators	Evidence/Justification
<p>SR-MS1.1 ZERO TOLERANCE: Entity provides transparency into their operations, policies, processes, and relevant records to Starbucks or its designated third party. Payroll records and time cards provided by management are true and accurate.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>SR-MS1.2 ZERO TOLERANCE: Money and/or gifts of any type are not offered to Starbucks or its designated third party</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Subject Area: Environmental Leadership - Coffee Growing

Criterion CG-WR1: Water Body Protection	
Indicators	Evidence/Justification
<p>CG-WR1.1 Buffer zones exist next to more than 50% of permanent water bodies; buffers are at least 5 meters in width (measured horizontally from the high water mark to the base of any coffee tree), exclude all cultivation and are composed of vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>CG-WR1.2 Buffer zones exist next to all permanent water bodies; buffers are at least 5 meters in width (measured horizontally from the high water mark to the base of any coffee tree), exclude all cultivation and are composed of vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p># of buffer zones < 5 meters: _____ # of buffer zones ≥ 5 meters: _____ % of water bodies with adjacent buffer zones: _____ Source of Evidence: <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

<p>CG-WR1.3 Buffer zones exist next to more than 50% of seasonal and intermittent (temporary) water bodies; buffers are at least 2 meters in width (measured horizontally from the high water mark to the base of any coffee tree), exclude all cultivation and are composed of vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>CG-WR1.4 Buffer zones exist next to all seasonal and intermittent (temporary) water bodies; buffers are at least 2 meters in width (measured horizontally from the high water mark to the base of any coffee tree), exclude all cultivation and are composed of vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p># of buffer zones < 2 meters: _____ # of buffer zones ≥ 2 meters: _____ % of water bodies with adjacent buffer zones: _____ <u>Source of Evidence:</u> <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-WR1.5 Farm has a plan to restore native vegetation within the buffer zones.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

<p>CG-WR1.6 More than 50% of permanent water body buffer zones are composed of native woody vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>% of permanent water body buffer zones composed of native woody vegetation: _____ <u>Source of Evidence:</u> <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-WR1.7 All permanent water body buffer zones are composed of native woody vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>CG-WR1.9 No agrochemicals are applied within 5 meters of any permanent water body.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Distance of permanent water body from agrochemical application: _____ meters <u>Source of Evidence:</u> <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-WR1.11 Farm waste or garbage sites are located at least 100 meters from any water body.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Distance of water body from farm waste or garbage site: _____ meters <u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Criterion CG-SR1: Controlling Surface Erosion	
Indicators	Evidence/Justification
<p>CG-SR1.1 Farm managers demonstrate knowledge of farm areas at risk to erosion and are able to communicate and/or identify on a map areas at high risk of erosion (considering such factors as slope, soil type, and concavity).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-SR1.3 At least 50% of productive area with slopes of less than 20% is covered by shade trees and/or cover crops/vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>CG-SR1.4 All productive area with slopes of less than 20% is covered by shade trees and/or cover crops/vegetation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>% of productive area with slopes of less than 20% with shade trees and/or cover crops/vegetation: _____ <u>Source of Evidence:</u> <input type="checkbox"/> Observation: _____</p>

<p>CG-SR1.5 In addition to the soil erosion prevention measures included in CG-SR1.3-1.4, contour lines and/or bench terraces are established on at least 50% of productive area with slopes between 20% and 30%.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>CG-SR1.6 In addition to the soil erosion prevention measures included in CG-SR1.3-1.4, contour lines and/or bench terraces are established on all productive area with slopes between 20% and 30%.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>% of productive area with slopes between 20% and 30% with contour lines and/or bench terraces: _____ Contour lines and bench terraces established at intervals appropriate for site conditions? <input type="checkbox"/> Yes <input type="checkbox"/> No <u>Source of Evidence:</u> <input type="checkbox"/> Observation: _____</p>
<p>CG-SR1.7 In addition to the soil erosion prevention measures included in CG-SR1.3-1.6, physical barriers (e.g., pruned branches, rocks) and/or living barriers (e.g., grasses, shrubs) are established on at least 50% of productive area with slopes over 30%.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>CG-SR1.8 In addition to the soil erosion prevention measures included in CG-SR1.3-1.6, physical barriers (e.g., pruned branches, rocks) and/or living barriers (e.g., grasses, shrubs) are established on all productive area with slopes over 30%.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>% of productive area with slopes over 30% with physical and/or living barriers: _____ <u>Source of Evidence:</u> <input type="checkbox"/> Observation: _____</p>

<p>CG-SR1.9 Herbicides are not used to control ground vegetation or cover crops and are only used in spot applications for aggressive weeds.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-SR1.11 All roads or frequently used trails or footpaths are protected from erosion by proper drainage ditches and/or other control measures (including cover vegetation, etc.).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>% of roads or frequently used trails or footpaths that are protected from erosion: _____</p> <p><u>Source of Evidence:</u> <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-SR1.12 <u>EXTRA POINT:</u> Areas in which the risk of landslides is very high (consider factors such as slope, soil, and including slopes greater than 60%) are not cultivated and are restored with native vegetation where possible.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p><u>Source of Evidence:</u> <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

<p>Criterion CG-SR2: Maintaining Soil Productivity</p>	
Indicators	Evidence/Justification
<p>CG-SR2.1 At least 25% of the productive area is covered by a layer of organic matter (dead and decaying biomass - mulch, grass, leaves, branches, etc.) and/or nitrogen-fixing cover crops.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	
<p>CG-SR2.2 At least 50% of the productive area is covered by a layer of organic matter (dead and decaying biomass - mulch, grass, leaves, branches, etc.) and/or nitrogen-fixing cover crops.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	
<p>CG-SR2.3 All of the productive area is covered by a layer of organic matter (dead and decaying biomass - mulch, grass, leaves, branches, etc.) and/or nitrogen-fixing cover crops.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>% of productive area covered by organic matter layer and or/nitrogen-fixing cover crops: _____</p> <p><u>Source of Evidence:</u> <input type="checkbox"/> Observation: _____</p>

<p>CG-SR2.4 Pruned branches, twigs, leaves and other live barrier materials are mulched and/or left as a soil amendment.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Observation: _____</p>
<p>CG-SR2.5 At least 25% of the productive area is planted with nitrogen-fixing, leguminous trees.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	
<p>CG-SR2.6 At least 50% of the productive area is planted with nitrogen-fixing, leguminous trees.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	
<p>CG-SR2.7 All of the productive area is planted with nitrogen-fixing, leguminous trees.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>% of area planted with nitrogen-fixing, leguminous trees: _____ Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Observation: _____</p>

<p>Criterion CG-CB1: Maintaining a Coffee Shade Canopy</p>	
Indicators	Evidence/Justification
<p>CG-CB1.1 Native trees are removed only when they constitute a human hazard or when they significantly compete with coffee plants.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-CB1.4 At least 10% of the farm (including productive AND non-productive area) has canopy cover.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	
<p>CG-CB1.9 EXTRA POINT: At least 40% of the productive area of the farm has canopy cover.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>% of farm with canopy cover: _____ % of productive area with canopy cover: _____ Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-CB1.5 Canopy cover in the productive area has a diversity of tree species.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p># tree species in canopy cover: _____ Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

<p>CG-CB1.6</p> <p>Invasive species are not used for canopy cover in the productive area.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	
<p>CG-CB1.7</p> <p>Where conditions permit, locally native epiphytes, lianas and woody vines are retained in the canopy cover in the productive area.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	
<p>CG-CB1.10</p> <p>EXTRA POINT: At least 75% of the canopy cover in the productive area is comprised of locally native species and/or the canopy consists of at least 10 species that are locally native or can be shown to contribute to the conservation of native biodiversity.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>% of canopy cover comprised of native species: _____</p> <p>Source of Evidence:</p> <p><input type="checkbox"/> Documentation: _____</p> <p><input type="checkbox"/> Interview: _____</p> <p><input type="checkbox"/> Observation: _____</p>
<p>CG-CB1.8</p> <p>EXTRA POINT: Canopy cover in the productive area is kept at biologically significant levels (i.e., the level of canopy cover changes the farm's micro-climate, produces a noticeable leaf layer on the ground and creates an obvious habitat for a range of plant and animal species, etc.).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence:</p> <p><input type="checkbox"/> Documentation: _____</p> <p><input type="checkbox"/> Interview: _____</p> <p><input type="checkbox"/> Observation: _____</p>

<p>CG-CB1.11</p> <p>EXTRA POINT: Shade canopy in the productive area consists of at least 2 identifiable canopy layers.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence:</p> <p><input type="checkbox"/> Documentation: _____</p> <p><input type="checkbox"/> Interview: _____</p> <p><input type="checkbox"/> Observation: _____</p>
<p>CG-CB1.12</p> <p>Cavity trees and standing and/or fallen dead trees are left in the field to naturally decay.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence:</p> <p><input type="checkbox"/> Documentation: _____</p> <p><input type="checkbox"/> Interview: _____</p> <p><input type="checkbox"/> Observation: _____</p>
<p>Criterion CG-CB2:</p> <p>Protecting Wildlife</p>	
<p>Indicators</p>	<p>Evidence/Justification</p>
<p>CG-CB2.1</p> <p>Hunting threatened or rare wildlife species and unauthorized collection of flora and fauna are not allowed on the property.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence:</p> <p><input type="checkbox"/> Documentation: _____</p> <p><input type="checkbox"/> Interview: _____</p> <p><input type="checkbox"/> Observation: _____</p>

Criterion CG-CB3: Conservation Areas	
Indicators	Evidence/Justification
<p>CG-CB3.1 ZERO TOLERANCE: No conversion of natural forest to agricultural production since 2004.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
Criterion CG-EM1: Ecological Pest and Disease Control	
Indicators	Evidence/Justification
<p>CG-EM1.1 ZERO TOLERANCE: Farm does not use pesticides that are listed by the World Health Organization as Type 1A or 1B, or that are banned according to national, regional, or local laws.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-EM1.3 Agrochemicals are stored in a locked place with controlled access and separate from food products and living and social areas.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>See next page for related indicator.</p>

<p>CG-EM1.4 Agrochemical storage site has adequate ventilation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Agrochemical storage: <input type="checkbox"/> locked place <input type="checkbox"/> controlled access <input type="checkbox"/> separate from food and living areas <input type="checkbox"/> adequately ventilated site <input type="checkbox"/> safeguards to control spills Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-EM1.11 Farm takes physical action to control sources of infestation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-EM1.12 Pesticides (not including herbicides) are applied only on a spot-application basis, depending on the type and severity of infestation.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

<p>CG-EM1.13 Pesticides (not including herbicides) are only applied as a last resort (after cultural and physical controls have failed).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CG-EM1.18 Empty chemical containers are rinsed and punctured, or as required by local regulations, and appropriately disposed of to prevent further use or injury.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p align="center">Criterion CG-EM3: Long Term Productivity</p>	
<p align="center">Indicators</p>	<p align="center">Evidence/Justification</p>
<p>CG-EM3.1 The farm implements a coffee pruning program to promote new tissue generation (intended to contribute to increased productivity and coffee quality).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Subject Area: Environmental Leadership - Coffee Processing (Wet)

<p align="center">Criterion CP-WC1: Minimizing Water Consumption</p>	
<p align="center">Indicators</p>	<p align="center">Evidence/Justification</p>
<p>CP-WC1.1 The total volume of water used for pulping, washing, and sorting for coffee processing operations is tracked and recorded, documenting the annual total water used and volume per Kg of coffee cherry processed.</p> <p><i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i></p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Records include: <input type="checkbox"/> annual total quantity of water used <input type="checkbox"/> annual volume per kg of coffee cherry processed</p> <p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____</p>
<p>CP-WC1.4 The amount of water used (liters of water per Kg green coffee) shows a decrease over time (until the ratio in CP-WC1.5 is achieved).</p> <p><i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i></p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CP-WC1.5 The ratio between water (used for pulping and washing) and coffee cherry is no more than 1:1 ratio (volume of water to volume of cherry).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Ratio of coffee cherry and water: _____</p> <p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Criterion CP-WC2: Reducing Wastewater Impacts	
Indicators	Evidence/Justification
<p>CP-WC2.1 Wastewater from pulping and washing is managed in a way that does not contaminate the environment, including water bodies.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CP-WC2.3 If wastewater is discharged into a water body or a drainage system, the following wastewater tests are conducted at all exit points (and meet established environmental regulatory norms) and are recorded on a monthly basis during operations. In the absence of environmental regulatory norms, the following parameters must be met:</p> <ul style="list-style-type: none"> • Biological oxygen demand (1000 mg/L or ppm) • Chemical oxygen demand (1500 mg/L or ppm) • pH (5.0-9.0) <p><i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i></p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply <input type="checkbox"/> Not Applicable</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Criterion CP-WM1: Waste Management	
Indicators	Evidence/Justification
<p>CP-WM1.1 Processing wastes are managed in such a way as to not contaminate the local environment.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CP-WM1.2 Skin, pulp, mucilage, and unacceptable cherries are composted or processed by worms.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence: <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>
<p>CP-WM1.3 Organic processing byproducts are used as soil amendments by the farm or, in the case of an independent processor, distributed to local farmers.</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Organic byproducts are: <input type="checkbox"/> used as soil amendments by the farm <input type="checkbox"/> distributed to local farmers Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____</p>

Criterion CP-EC1: Energy Conservation	
Indicators	Evidence/Justification
<p>CP-EC1.2</p> <p>At least 25% of parchment coffee is patio (sun) dried or dried in other energy efficient ways (e.g., greenhouses, raised beds, radiant solar drying systems).</p> <p><input type="checkbox"/> Comply <input type="checkbox"/> Not Comply</p>	<p>Source of Evidence:</p> <p><input type="checkbox"/> Documentation: _____</p> <p><input type="checkbox"/> Interview: _____</p> <p><input type="checkbox"/> Observation: _____</p>

Self-evaluation

Self-evaluation

Self-evaluation

☐ Written contract

☐ Identification card

☐ Other: _____

☐ Yes ☐ No ☐ Not Applicable

If yes, please explain how (e.g., training, meeting, etc.): _____

Has FSC worked with producer to track farm activities and improvements in GRI 12.1 practices?
☐ Yes ☐ No
 If so, please provide detail: _____

☐ Erosion controls: _____
☐ Biological controls or traps for pest infestation: _____
☐ Shade trees and/or seedlings _____
☐ Coffee plants and/or seedlings _____
☐ Agrochemicals: _____
☐ Other: _____

☐ Foliar

☐ Soil

☐ Other:

- ☐ Legal practices, including: legal minimum wage, age verification, and access to education.
- ☐ Forced, bonded, indentured or involuntary convict labor or trafficked labor.
- ☐ Health and safety including use of personal protective equipment (PPE)
- ☐ Correct procedures, storage conditions, and appropriate application of agrochemicals.
- ☐ Shade management
- ☐ Wildlife diversity (animals and birds) and the prohibition of hunting
- ☐ Integrated pest control and disease management including correct pesticide container disposal
- ☐ Pruning, weeding and general agricultural practices
- ☐ Coffee processing and drying