
Opening Meeting – Checklist

- ☐ Introduction
- ☐ Confidentiality statement
- ☐ Inspection plan
- ☐ Role of guides & observers
- ☐ Cannot give recommendations
- ☐ Photography authorization
- ☐ Documents for review
- ☐ Worker interviews
- ☐ Agricultural site visits
- ☐ Questions

Closing Meeting – Checklist

- ☐ Confidentiality statement
- ☐ Cannot give recommendations
- ☐ Initial findings explained
- ☐ ZT-NCs reported
- ☐ Documents not available noted
- ☐ Last opportunity to present additional evidence
- ☐ Next steps & reporting
- ☐ Questions



Starbucks Coffee Company

COCOA Practices

Version 3.3

Field Notes for Suppliers

Applicant Information

Application number (ID):

Entity name:

Entity code:

Name of owner:

Gender: ☐ Male
☐ Female

Address:

Town/Region/Country:

Email:

Telephone:

GPS Latitude:

____° ____' ____" (N) (S)

GPS Longitude:

____° ____' ____" (E) (W)

Verifier Information

Name of verification
organization:

Inspector(s) for this
verification:

Date(s) of the verification:

Person responsible for
completing this report:

Supplier information

Type of business: _____

Contact name and title: _____

Address: _____

Email: _____

Telephone: _____

Total annual volume purchased (Kgs) based on inspection:

Dry Cocoa: _____

Note: the annual purchased volume should represent the **real** volume from the most recent completed harvest.

Flow:

The name(s) of the entity(ies) to which the COCOA Practices cocoa is sent:

Total volumes sent to each entity (dry cocoa, Kgs): _____

Type of worker	Total Number	Number of workers employed directly by the entity	Number of workers employed by labor agencies	Number of workers employed by labor agencies
Full time workers:				
Part time/ seasonal workers:				

[illegible][illegible]

V3.3
September 2018

V3.3
September 2018

EA-IS2: Equity of Financial Transactions

Indicators	C/ NC/ NA	Evidence/Justification
EA-IS2.3 Entity has price setting documentation and this is made available to producers.	C	
	NC	
	NA	
EA-IS2.4 If the entity distributes premium payments, receipts for COCOA Practices Sustainability Premium payments (if awarded) are maintained by the entity and these receipts are provided to producers. Premium payments are distributed to producers according to COCOA Practices program requirements.	C	
	NC	
	NA	

Source of Evidence:

☐ Documentation: _____

☐ Interview: _____

☐ Observation: _____

Source of Evidence:

☐ Documentation: _____

☐ Interview: _____

☐ Observation: _____

--

Worker name:			Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:	Payment period:		
Pay per day:	Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:				

Worker name:			Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:	Payment period:		
Pay per day:	Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:				

Worker name:			Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:	Payment period:		
Pay per day:	Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:				

Indicators	C/ NC/ NA	Evidence/Justification
EA-IS2.8 If the entity distributes premium payments, the entity has an accounting system for the COCOA Practices Sustainability Premium payments that it makes.	C	<u>Source of Evidence:</u> <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
EA-IS2.9 If the entity distributes premium payments, premium payments can be demonstrated to correspond to the correct amount of COCOA Practices cocoa that was delivered to the entity.	C	<u>Source of Evidence:</u> <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
EA-IS2.10 The entity does not retain any portion of the COCOA Practices Sustainability Premium payment.	C	<u>Source of Evidence:</u> <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

EA-FV1: Financial Viability		
Indicators	C/ NC/ NA	Evidence/Justification
EA-FV1.3 The entity has a mechanism to provide credit to producers.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

Subject Area: Internal Control System

IC-IP1: Product Tracking System		
Indicators	C/ NC/ NA	Evidence/Justification
IC-IP1.3 The entity is able to document the product flow of cocoa from each production unit to the collection point and during handling and transport to the warehouse, even when these processes are outsourced.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

Worker name:				Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:		Payment period:		
Pay per day:		Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:					

Worker name:				Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:		Payment period:		
Pay per day:		Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:					

Worker name:				Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:		Payment period:		
Pay per day:		Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:					

Worker Interviews

Worker name:			Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:	Payment period:		
Pay per day:	Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:				

Worker name:			Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:	Payment period:		
Pay per day:	Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:				

Worker name:			Age:	
<input type="checkbox"/> permanent <input type="checkbox"/> temporary	Hours per day:	Payment period:		
Pay per day:	Overtime? <input type="checkbox"/>	Overtime Pay? <input type="checkbox"/>	Total Pay per Day:	
Comments:				

Indicators	C/ NC/ NA	Evidence/Justification
IC-IP1.4 Entity is able to track and confirm volumes of COCOA Practices cocoa received and sold using a Segregation system.	C	<u>Source of Evidence:</u> <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

IC-MM1: Management and Monitoring System

Indicators	C/ NC/ NA	Evidence/Justification
IC-MM1.2 Entity has a written description of the Management and Monitoring System that includes job titles and job descriptions of the persons responsible for the traceability of the cocoa. These persons are identified on an organizational chart and can explain how the system works and provide examples.	C	<u>Source of Evidence:</u> <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
IC-MM1.7 The Management and Monitoring System described in IC-MM1.2 is implemented. The System clearly identifies the total quantity of cocoa delivered by the COCOA Practices declared producers and includes purchase and sale prices.	C	<u>Source of Evidence:</u> <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

Subject Area: Social Responsibility

SR-HP1: Wages and Benefits		
Indicators	C/ NC/ NA	Evidence/Justification
SR-HP1.1 <u>ZERO TOLERANCE:</u> 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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
SR-HP1.2 <u>ZERO TOLERANCE:</u> 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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

SR-MS1: Management Systems		
Indicators	C/ NC/ NA	Evidence/Justification
SR-MS1.1 <u>ZERO TOLERANCE:</u> 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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
SR-MS1.2 <u>ZERO TOLERANCE:</u> Money and/or gifts of any type are not offered to Starbucks or its designated third party.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

SR-WC2: Access to Education		
Indicators	C/ NC/ NA	Evidence/Justification
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.	C	Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
	NC	
	NA	
SR-WC4: Worker Safety and Training		
Indicators	C/ NC/ NA	Evidence/Justification
SR-WC4.1 <u>CRITERIA REQUIREMENT:</u> Employer provides personal protective equipment to all applicable workers at no cost.	C	Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
	NC	
	NA	

Indicators	C/ NC/ NA	Evidence/Justification
SR-HP1.3 <u>ZERO TOLERANCE:</u> Wages are paid regularly to all workers in cash, cash equivalent, (check, direct deposit), or through in-kind payments (e.g., food), if legally permissible.	C	Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
	NC	
	NA	
SR-HP1.4 Management maintains complete written earning records for at least the past year, which itemize all: wages, overtime worked and deductions.	C	Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
	NC	
	NA	
SR-HP1.5 Workers have access to their earning records, which itemize all wages, overtime and deductions.	C	Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
	NC	
	NA	

Indicators	C/ NC/ NA	Evidence/Justification
SR-HP1.7 Employer pays for any national, legally required benefits (social security, vacation, disability) for permanent workers .	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
SR-HP1.8 Employer pays for any national, legally required benefits (social security, vacation, disability) for temporary and seasonal workers .	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

Indicators	C/ NC/ NA	Evidence/Justification
SR-HP4.3 ZERO TOLERANCE: Employer enforces a policy of prohibiting discrimination on the basis of gender, race, ethnicity, age, or religion (ILO Convention 111). <i>Written policy required for entities (large/medium farms, producer organizations, suppliers) with more than 5 employees.</i>	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
SR-HP4.4 ZERO TOLERANCE: Employer enforces a policy that prohibits the use of forced, bonded, indentured, convict or trafficked labor (ILO Conventions 29, 97, 105 and 143). <i>Written policy required for entities (large/medium farms, producer organizations, suppliers) with more than 5 employees.</i>	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
SR-HP4.5 ZERO TOLERANCE: The workplace is free from physical, sexual and verbal harassment and abuse.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

Indicators	C/ NC/ NA	Evidence/Justification
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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

**SR-HP4: Child Labor/
Non-Discrimination/
Forced Labor**

Indicators	C/ NC/ NA	Evidence/Justification
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).	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

Indicators	C/ NC/ NA	Evidence/Justification
SR-HP1.13 Time spent by workers in any required trainings and meetings is considered working time and workers are compensated at their normal rate.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
SR-HP1.14 Financial disciplinary penalties are not assessed against workers.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
SR-HP1.16 Workers are not required to pay a recruitment fee as a condition for employment.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

SR-HP2: Freedom of Association/ Collective Bargaining		
Indicators	C/ NC/ NA	Evidence/Justification
SR-HP2.1 Workers have either direct communication or a designated representative to communicate with management or employer.	C	
	NC	
	NA	
SR-HP2.2 Workers are able to talk about workplace grievances with management or employer with no fear of reprisal.	C	
	NC	
	NA	

SR-HP3: Hours of Work		
Indicators	C/ NC/ NA	Evidence/Justification
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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	