

Opening Meeting – Checklist

	Application	PO
Introduction	<input type="checkbox"/>	<input type="checkbox"/>
Confidentiality statement	<input type="checkbox"/>	<input type="checkbox"/>
Inspection plan	<input type="checkbox"/>	<input type="checkbox"/>
Role of guides & observers	<input type="checkbox"/>	<input type="checkbox"/>
Cannot give recommendations	<input type="checkbox"/>	<input type="checkbox"/>
Photography authorization	<input type="checkbox"/>	<input type="checkbox"/>
Farm sample selection	<input type="checkbox"/>	
Documents for review	<input type="checkbox"/>	<input type="checkbox"/>
Worker interviews	<input type="checkbox"/>	<input type="checkbox"/>
Agricultural site visits	<input type="checkbox"/>	<input type="checkbox"/>
Questions	<input type="checkbox"/>	<input type="checkbox"/>

Closing meeting – Checklist

	Application	PO
Confidentiality statement	<input type="checkbox"/>	<input type="checkbox"/>
Cannot give recommendations	<input type="checkbox"/>	<input type="checkbox"/>
Initial findings explained	<input type="checkbox"/>	<input type="checkbox"/>
ZT-NCs reported	<input type="checkbox"/>	<input type="checkbox"/>
Documents not available noted	<input type="checkbox"/>	<input type="checkbox"/>
Last opportunity to present additional evidence	<input type="checkbox"/>	<input type="checkbox"/>
Next steps & reporting	<input type="checkbox"/>	<input type="checkbox"/>
Questions	<input type="checkbox"/>	<input type="checkbox"/>



Starbucks Coffee Company

COCOA Practices

Version 3.3

Field Notes for Producer Organizations

Applicant Information

Application number (ID):

Entity name:

Entity code:

Contact name and title:

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:

Producer/Farmer Organization Information

Business Type:

Total Number of Farms:

Number of COCOA Practices Farms:

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

☐ Fair Trade☐ Rainforest Alliance☐ Organic☐ UTZ☐ Other:

Total yearly production volume (kgs) based on inspection:

Dry cocoa:

Note: the yearly yield 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 living on the ground
Full time workers:				
Part time/ seasonal workers:				

V3.3
September 2018

V3.3
September 2018

V3.3
September 2018

V3.3
September 2018

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 Systems

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	

Indicators	C/ NC/ NA	Evidence/Justification
CG-EM1.17 Spraying equipment is maintained in good working order and cleaned in the agrochemical storage or mixing areas after use.	C	
	NC	
	NA	
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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	

CG-EM1: Ecological Pest and Disease Control

Indicators	C/ NC/ NA	Evidence/Justification
CG-EM1.1 <u>ZERO TOLERANCE:</u> The entity does not use, buy or distribute 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.	C	Source of Evidence: <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	NC	
	NA	
CG-EM1.2 <u>CRITERIA REQUIREMENT:</u> Entity maintains a register specifying the date, quantity, and type (i.e., commercial name) of each pesticide purchased or given for use by the organization's members.	C	
	NC	
	NA	
CG-EM1.3 <u>CRITERIA REQUIREMENT:</u> Agrochemicals are stored in a secure place with adequate ventilation, safeguards to prevent spills and separated from any food products.	C	
	NC	
	NA	

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	
	NC	
	NA	
<u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____		
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	
	NC	
	NA	
<u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____		

Indicators	C/ NC/ NA	Evidence/Justification
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	Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
	NC	
	NA	
IC-MM1.8 The Management and Monitoring System includes an annual report which details the annual total quantity of cocoa delivered by the COCOA Practices declared producers and includes purchase and sale prices and premium award to each producer.	C	Source of Evidence: <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
	NC	
	NA	

Subject Area: Environmental Leadership

CG-CB1: Maintaining Shade Canopy		
Indicators	C/ NC/ NA	Evidence/Justification
CG-CB1.2 Entity facilitates access to or distributes tree seeds or seedlings.	C	
	NC	
	NA	
		<u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____
CG-CB2: Protecting Wildlife		
Indicators	C/ NC/ NA	Evidence/Justification
CG-CB2.1 Entity has a written list of wildlife species native to the region and identified which of those species are classified as vulnerable, endangered or critically endangered according to the IUCN red list (http://www.redlist.org) or local government resource and shares it with the producers in the network.	C	
	NC	
	NA	
		<u>Source of Evidence:</u> <input type="checkbox"/> Documentation: _____ <input type="checkbox"/> Interview: _____ <input type="checkbox"/> Observation: _____

Subject Area: Organizational Stability

OS-PT1: Farm Management Training		
Indicators	C/ NC/ NA	Evidence/Justification
OS-PT1.1 Entity has a documented plan and timetable for training its members on responsible farm management.	C	
	NC	
	NA	
OS-PT1.3 Entity monitors productivity (via cocoa yields per hectare or trees) of members and annual percentage change resulting from the training program.	C	
	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	
	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	
	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	

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 ZERO TOLERANCE: Children of legal school age who live onsite or accompany family members who are working onsite attend school.	C	<div>Source of Evidence:</div> <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 CRITERIA REQUIREMENT: Employer provides personal protective equipment to all applicable workers at no cost.	C	<div>Source of Evidence:</div> <input type="checkbox"/> Documentation:____ <input type="checkbox"/> Interview:____ <input type="checkbox"/> Observation:____
	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	<div>Source of Evidence:</div> <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	<div>Source of Evidence:</div> <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	<div>Source of Evidence:</div> <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-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	