



# **C.A.F.E. Practices List of Indicators that Require Documentation**

**Starbucks Coffee Company**

**V3.4**

**English Version**

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# 1. Introduction

This document supplements the C.A.F.E. Practices Generic and Smallholder Scorecards, V3.4 and the C.A.F.E. Practices Verifier and Inspector Operations Manual, V5.2. The purpose of this document is to serve as a reference for suppliers preparing for a C.A.F.E. Practices verification, as well as verifiers and inspectors that are conducting a verification. The List of Indicators that Require Documentation specifies all indicators within the C.A.F.E. Practices Scorecards that require an inspector to review documentation as part of a C.A.F.E. Practices inspection. Documentation *must* be presented to the inspector in order for a Comply evaluation to be considered for these indicators.

This document is organized into the following sections:

- **Section 2** provides an overview of those indicators that require documentation according to entity type. Note that only those indicators that require documentation are shown in the table. The full list of indicators is provided in the C.A.F.E. Practices Generic and Smallholder Scorecards, V3.4.
- **Section 3** contains a list of examples of documents that may be requested for each subject area of the C.A.F.E. Practices scorecards. *Suppliers and verification organizations are reminded that the documents in this list are examples only.* Documents that do not appear on this list may be considered as evidence during a verification if they demonstrate that the requirements of a specific indicator are met.
- **Sections 4 – 7** are organized according to entity type (i.e., Medium/Large Farm; Processor or Warehouse; Smallholder Farm; Producer Support Organization) and provide a detailed list of all indicators that require documentation, with example documents provided for each indicator. *Suppliers and verification organizations are reminded that the documents in this list are examples only.* Also note that only those indicators that require documentation are provided in each list. The full list of indicators is provided in the C.A.F.E. Practices Generic and Smallholder Scorecards, V3.4.

The List of Indicators that Require Documentation V3.4 is not exhaustive, and does not include every possible document that may be requested during a verification. If suppliers have questions about the document requirements for any entity or indicator, they should direct their inquiries to Starbucks at [CAFEprac@starbucks.com](mailto:CAFEprac@starbucks.com). Verification organizations should direct any questions regarding this document to SCS Global Services, using the communication procedure outlined in Section 11 of the C.A.F.E. Practices Verifier and Inspector Operations Manual, V.5.2.

## 2. Summary of Indicators that Require Documentation, by Entity Type

Indicator	M/L Farms	Processors	Warehouses	SH Farms	PSO
EA-IS1.3	✓	✓	✓	✓	
EA-IS1.4	✓	✓	✓	✓	
SR-HP1.1	✓	✓	✓		
SR-HP1.2	✓	✓	✓		
SR-HP1.3	✓	✓	✓		
SR-HP1.4	✓	✓	✓		
SR-HP1.7	✓	✓	✓		
SR-HP1.8	✓	✓	✓		
SR-HP1.9	✓	✓	✓		
SR-HP1.10	✓	✓	✓		
SR-HP1.11	✓	✓	✓		
SR-HP1.12	✓	✓	✓		
SR-HP1.13	✓	✓	✓		
SR-HP1.15	✓	✓	✓		
SR-HP1.17	✓	✓	✓		
SR-HP2.3	✓	✓	✓		
SR-HP2.6	✓	✓	✓		
SR-HP2.7	✓	✓	✓		
SR-HP2.8	✓	✓	✓		
SR-HP3.1	✓	✓	✓		
SR-HP3.2	✓	✓	✓		
SR-HP3.3	✓	✓	✓		
SR-HP3.4	✓	✓	✓		
SR-HP3.6	✓	✓	✓		
SR-HP3.7	✓	✓	✓		
SR-HP3.8	✓	✓	✓		
SR-HP4.2	✓	✓	✓		
SR-HP4.3*	✓	✓	✓		
SR-HP4.4*	✓	✓	✓		
SR-WC2.4	✓	✓	✓		
SR-WC2.5	✓	✓	✓		
SR-WC3.1	✓	✓	✓		
SR-WC3.3	✓	✓	✓		
SR-WC3.4	✓	✓	✓		
SR-WC3.5	✓	✓	✓		
SR-WC3.6	✓	✓	✓		
SR-WC4.3	✓	✓	✓		
SR-WC4.4	✓	✓	✓		
SR-WC4.5	✓	✓	✓		
SR-WC4.6	✓	✓	✓		
SR-WC4.7	✓	✓	✓		

Indicator	M/L Farms	Processors	Warehouses	SH Farms	PSO
CG-WR1.5	✓				
CG-WR2.1	✓				
CG-SR1.2	✓				
CG-SR2.8	✓				
CG-SR2.9	✓				
CG-CB1.2	✓				
CG-CB2.3	✓				
CG-CB2.4	✓				
CG-CB3.2	✓				
CG-CB3.3	✓				
CG-CB3.5	✓				
CG-EM1.2	✓				
CG-EM1.7	✓				
CG-EM1.8	✓				
CG-EM1.9	✓				
CG-EM1.10	✓				
CG-EM1.14	✓				
CG-EM1.15	✓				
CG-EM2.1	✓				
CG-EM2.2	✓				
CG-CC1.1	✓				
CG-CC1.2	✓				
CP-WC1.1		✓		✓	
CP-WC1.4		✓		✓	
CP-WC2.3		✓		✓	
CP-EC1.1		✓			
CP-EC1.3		✓			
CP-EC1.5		✓			
CP-EC1.6*		✓			
CP-RM1.1		✓			
CP-RM1.2		✓			
CP-RM1.4*		✓			
CP-MT1.1		✓	✓		
CP-MT1.2		✓			

Indicator	M/L Farms	Processors	Warehouses	SH Farms	PSO
PS-MT1.1					✓
PS-MT1.2					✓
PS-MT1.3					✓
PS-MT1.4					✓
PS-MT1.5					✓
PS-MT1.6					✓
PS-HP1.1					✓
PS-HP1.2					✓
PS-SR1.1					✓
PS-SR2.1					✓
PS-SR2.2					✓
PS-CB1.1					✓
PS-CB2.1					✓
PS-CB2.2					✓
PS-CB3.1					✓
PS-EM1.2					✓
PS-EM1.4					✓
PS-EM1.5					✓
PS-EM2.1					✓
PS-EM2.2					✓
PS-EM2.3					✓
PS-EM2.4					✓
PS-EM2.5					✓
PS-EM2.6					✓
PS-CC1.1					✓
PS-CC1.2					✓
PS-CC1.3					✓

Indicators that require documented evidence are shown with a check mark (✓).

Indicators that under some circumstances do NOT require documentation are indicated by an asterisk (\*).

### **3. Examples of Required Documentation, by Subject Area**

#### **3.1 Economic Accountability**

- Receipts or invoices for coffee bought or sold

#### **3.2 Social Responsibility**

- Annual leave program
- Collective bargaining agreement
- Contracts with labor intermediaries
- Earning records
- Employer medical emergency care plan: procedures in the event of an emergency
- Employment contracts
- Fire and emergency evacuation plan (mill): procedures in the event of a fire emergency
- Health and safety training documents
- Injury reports
- Management policies, including discrimination, forced labor, child labor, freedom of association, etc.
- Records of contributions to general health services for workers
- Records of financial support or donations to schools and/or medical facilities: receipts, letters of acknowledgement, etc.
- Records of in-kind payments
- Records of payment of benefits to government agency
- Record of payments to workers
- Records of worker association fund
- Sick leave program
- Time-logs
- Training records
- Vacation policy
- Written agreement for overtime hours worked between workers and management
- Written record of overtime requirements, signed by employee

#### **3.3 Coffee Growing**

- Assessment of Conservation Areas
- Ecologist / biologist documentation
- Integrated Pest Management (IPM) plan
- List of wildlife species native to the region
- Farm management planning meeting minutes
- Plan to minimize impact of climate change on coffee production: shade/mulching
- Plan to restore native vegetation: timeline / areas / type of vegetation or trees
- Plans and or procedures for handling pesticide spills and overexposure
- Plans and procedures to handle agrochemical accidents, spills or contamination
- Purchase records of pesticides
- Records of climate change risks and impacts on coffee production
- Records of pesticide application
- Records of quantity of water used
- Records of total toxic load calculation for productive area on the farm
- Restoration plan: timeline / areas / type of vegetation or trees
- Results of foliar analysis
- Results of soil analysis
- Shade management plan: timeline / areas / type of vegetation or shade trees
- Soil management plan

- Wildlife management plan: local wildlife list / trainings / methods to preserve / worker attendance
- Written C.A.F.E. Practices work plan, improvement activities are tracked and documented

### **3.4 Coffee Processing**

- Documents related to tracking system
- Receipts of purchase of carbon offsets
- Records of fuel used for drying coffee
- Records of quantity of energy used
- Records of total energy used per kg green coffee
- Records of volume of water used
- Records of wastewater tests

### **3.5 Producer Support Organization**

- Assessment of conservation areas within smallholder network
- C.A.F.E. Practices farm verification reports from previous verifications
- C.A.F.E. Practices application
- Coffee purchase receipts
- Documented system for tracking coffee movement
- Documented evidence of participation or inclusion in a formal project to calculate and reduce greenhouse gas emissions within the smallholder network
- Evidence / record of monitoring / tracking farm activities
- Farm management plans
- List of producers participating in the C.A.F.E. practices program
- List of wildlife species native to the region
- Meeting minutes, annual work plan
- Records of pesticides purchased or provided to smallholders
- Shade management plan: timeline / areas / type of vegetation or shade trees
- Soil management plan
- Training materials and records
- Verification results from past verifications
- Written agreement or identification card from PSO to farmers
- Written records of climate change risks/ impacts on coffee production

#### **4. List of Indicators that Require Documentation: *Medium/Large Farms***

<b>Indicator</b>	<b>Description</b>	<b>Document Examples</b>
EA-IS1.3	Entity keeps receipts or invoices for the coffee (cherry, parchment, green) it buys or sells.	Receipts or invoices for coffee bought or sold
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).	Receipts or invoices for coffee bought or sold
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.	Earning records, record of payments to workers
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.	Earning records, record of payments to workers
SR-HP1.3	ZERO TOLERANCE: 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.	Earning records, record of payments to workers
SR-HP1.4	Management maintains complete written earning records for at least the past year, which itemize all: wages, overtime worked, and deductions. <i>For warehouses and mills, hours AND days worked must also be included in the records.</i>	Earning records
SR-HP1.7	Employer pays for any national, legally required benefits (social security, vacation, disability) for permanent workers.	Earning records, records of payment of benefits to government agency, etc.
SR-HP1.8	Employer pays for any national, legally required benefits (social security, vacation, disability) for temporary and seasonal workers.	Earning records, records of payment of benefits to government agency, etc.
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.	Earning records, time-logs

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.	Earning records
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.	Earning records
SR-HP1.12	Where in-kind payments (e.g., food) are legally permissible, in-kind payments are agreed to by the employee and the employer, and itemized in writing by product, quantity, average price, and frequency of distribution.	Records of in-kind payments
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.	Timelogs, training records, earnings records, records of payment to workers
SR-HP1.15	The use of continuous short-term employment contracts or the practice of terminating and then rehiring workers is not permitted as a means to avoid legal obligations related to wages and benefits.	Employment contracts
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.	Contracts with labor intermediaries, business license of subcontractors
SR-HP2.3	Management policies recognize the workers' rights to organize and/or collectively bargain as allowed by national laws and international obligations.	Management policy
SR-HP2.6	EXTRA POINT: If a workers' association or committee exists, a workers' association fund has been established to which management and workers contribute matching funds.	Records of worker association fund
SR-HP2.7	EXTRA POINT: If a workers' association fund has been established, workers have access to association fund to finance projects that improve living conditions for workers and their families.	Records of worker association fund
SR-HP2.8	If allowed by law, and agricultural worker organizations are established in the coffee sector, a collective bargaining agreement exists between employees and employer.	Collective bargaining agreement



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.	Earning records, time-logs
SR-HP3.2	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.	Earning records, time-logs
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.	Written agreement for hours worked between workers and management
SR-HP3.4	If overtime work is required as part of the job, such requirements are clear at the time of hiring and recorded in writing and signed by the employee.	Written record of overtime requirements, signed by employee
SR-HP3.6	Employer has a paid sick leave program for all permanent workers.	Sick leave program
SR-HP3.7	Employer has an annual leave (vacation) program as required by law. If laws have not been established, annual leave for permanent workers is a minimum of ten working days per year (prorated in cases of less than one year of employment).	Annual leave program
SR-HP3.8	If workers do not take annual leave (vacation), employer can either allow vacation time to accrue or can pay wages for the equivalent amount of time accrued under the regular pay scale, where permissible by law.	Vacation policy
SR-HP4.2	ZERO TOLERANCE: Employment of authorized minors follows <b>all</b> 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).	Timelogs, earnings records, payment records, employee file
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 large/medium farms, mills, and warehouses with more than 5 employees.</i>	Management Employment Policy
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 large/medium farms, mills, and warehouses with more than 5 employees.</i>	Management Employment Policy
SR-WC2.4	EXTRA POINT: Employer supports local schools with either in-kind donations or financial support.	Records of financial support or donations to schools: Receipts, etc.
SR-WC2.5	EXTRA POINT: Employer supports training or workshops for permanent/full-time workers on additional skills or trades (i.e., financial literacy, second language).	Training records/Records of support by employer

SR-WC3.1	Employer has a medical care plan which includes transportation or a trained medical person (technical expert) is available in case of medical emergency.	Employer medical emergency care plan: procedures in the event of an emergency
SR-WC3.3	EXTRA POINT: If there is convenient and accessible medical care, employer supports these facilities with either in-kind donations or financial support.	Records of financial support or donations to medical care facilities. Receipts, letters of acknowledgement, etc.
SR-WC3.4	Employer contributes to the cost of general health services for all permanent workers.	Records of contributions
SR-WC3.5	EXTRA POINT: Employer contributes to the cost of general health services for all temporary/seasonal workers.	Records of contributions
SR-WC3.6	Employer pays for all medical costs associated with documented work-related injuries and illnesses if not covered by other programs or services.	Documented work-related injuries
SR-WC4.3	Health and safety training occurs for all workers at least once a year, free of charge, and during regular working hours. Training is documented including instructors, agendas and attendance.	Health and safety training documents
SR-WC4.4	Training covers, at a minimum: use of protective equipment, safe handling of hazardous materials, operation of equipment and personal safety and hygiene.	Health and safety training documents
SR-WC4.5	For all enclosed work areas, there is a documented fire and emergency evacuation plan. <i>Applicable to both farms, mills, and warehouses.</i>	Fire and emergency evacuation plan: procedures in the event of a fire emergency
SR-WC4.6	Management maintains written injury reports. The written injury reports include the type of injury, name of worker, time and date, and location of the accident.	Written injury reports
SR-WC4.7	Management reviews accident and injury records at least annually and updates safety procedures and training materials to prevent accident and injury re-occurrence.	Injury records/Safety procedures/Training materials
CG-WR1.5	Farm has a plan to restore native vegetation within the buffer zones.	Plan to restore native vegetation: timeline / areas / type of vegetation or trees
CG-WR2.1	If mechanical (pumps, etc.) irrigation is used, quantity of water used is tracked and recorded in writing: liters per Kg of green coffee AND liters per hectare.	Records of quantity of water used
CG-SR1.2	Farm has a written soil management plan that includes measures to minimize surface erosion.	Soil management plan (farm)
CG-SR2.8	Soil analysis is conducted every two years to identify nutrient deficiencies (macro and micro nutrients) and organic matter content.	Results of soil analysis
CG-SR2.9	Foliar analysis is conducted every two years to identify nutrient deficiencies (macro and micro nutrients).	Results of foliar analysis

CG-CB1.2	The farm has a shade management plan including: identifying areas with gaps in shade, plots where shade is appropriate or not, plans for replanting invasive exotic/non-native trees with native species, identified resources for appropriate shade tree lists, identified resources from which to source shade trees and a timeline for implementation.	Shade management plan (farm): timeline / areas / type of vegetation or shade trees
CG-CB2.3	Farm management has created a 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 ( <a href="http://www.redlist.org">http://www.redlist.org</a> ) or local government source.	List of wildlife species native to the region
CG-CB2.4	EXTRA POINT: A written wildlife management plan is developed and implemented on the farm (e.g., management and workers are trained, action steps are outlined, timeline to completion, etc.).	Wildlife management plan (farm): local wildlife list / trainings / methods to preserve / worker attendance.
CG-CB3.2	Farm has made an assessment of areas of high conservation value (areas with significant intact forest, primary forest canopy cover, rare flora and fauna communities, important habitat elements, critical watershed values, importance to local communities' traditional cultural identity).	Assessment of Conservation Areas (farm)
CG-CB3.3	EXTRA POINT: Farm has had an assessment completed by ecologists and/or biologists for areas of high conservation value.	Ecologist / biologist documentation
CG-CB3.5	EXTRA POINT: If areas of high conservation value do not exist on the farm, managers have implemented a plan to restore natural habitat or conditions on a portion of the farm (ecological restoration).	Restoration plan: timeline / areas / type of vegetation or trees
CG-EM1.2	Farm keeps purchase records of pesticides, specifying date, product, product formulation, quantity, supplier, and price of purchase for each pesticide.	Purchase records of pesticides
CG-EM1.7	There are contingency plans for handling pesticide spills and overexposure.	Plans and or procedures for handling pesticide spills and overexposure
CG-EM1.8	Agrochemicals are mixed and spraying equipment loaded in ventilated agrochemical storage areas when possible. If products are mixed in the field, because of distance from storage, precautions are taken and plans are in place to handle accidents, spills or contamination.	Plans and procedures to handle accidents, spills or contamination
CG-EM1.9	Farm has an Integrated Pest Management (IPM) plan for monitoring for pests and diseases and symptoms of nematode infestation.	Integrated Pest Management (IPM) plan
CG-EM1.10	There is a written Integrated Pest Management (IPM) plan that is properly implemented in the field and includes regular monitoring for pests and diseases and symptoms of nematode infestation.	Integrated Pest Management (IPM) plan
CG-EM1.14	Farm maintains records of pesticide application specifying the date, product, product formulation, quantity, and location or area of the farm for each pesticide application.	Records of pesticide application

CG-EM1.15	Farm maintains written records of total toxic load calculation for productive area on the farm.	Records of total toxic load calculation for productive area on the farm
CG-EM2.1	Farm managers have developed and implemented a written C.A.F.E. Practices work plan AND improvement activities are tracked and documented.	Written C.A.F.E. Practices work plan, improvement activities are tracked and documented
CG-EM2.2	Farm managers hold at least one annual meeting with all permanent employees to discuss C.A.F.E. Practices improvement plans and activities.	Meeting minutes (farm)
CG-CC1.1	EXTRA POINT: The farm keeps written records of climate change risks and impacts on coffee production (e.g., change in temperature, rainfall).	Records of climate change risks and impacts on coffee production
CG-CC1.2	EXTRA POINT: The farm has developed and is implementing a written plan to minimize impact of climate change on coffee production.	Plan to minimize impact of climate change on coffee production: shade/mulching

## **5. List of Indicators that Require Documentation: Processors and Warehouses**

*Note:* Processors and Warehouses have similar document requirements for all Economic Accountability (EA) and Social Responsibility (SR) Indicators in the list below. All Coffee Processing (CP) indicators are required for processors, but of those, only CP-MT1.1 is applicable to Warehouses.

<b>Indicator</b>	<b>Description</b>	<b>Document Examples</b>
EA-IS1.3	Entity keeps receipts or invoices for the coffee (cherry, parchment, green) it buys or sells.	Receipts or invoices for coffee bought or sold
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).	Receipts or invoices for coffee bought or sold
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.	Earning records, record of payments to workers
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.	Earning records, record of payments to workers
SR-HP1.3	ZERO TOLERANCE: 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.	Earning records, record of payments to workers
SR-HP1.4	Management maintains complete written earning records for at least the past year, which itemize all: wages, overtime worked, and deductions. <i>For warehouses and mills, hours AND days worked must also be included in the records.</i>	Earning records
SR-HP1.7	Employer pays for any national, legally required benefits (social security, vacation, disability) for permanent workers.	Earning records, records of payment of benefits to government agency, etc.
SR-HP1.8	Employer pays for any national, legally required benefits (social security, vacation, disability) for temporary and seasonal workers.	Earning records, records of payment of benefits to government agency, etc.

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.	Earning records, time-logs
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.	Earning records
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.	Earning records
SR-HP1.12	Where in-kind payments (e.g., food) are legally permissible, in-kind payments are agreed to by the employee and the employer, and itemized in writing by product, quantity, average price, and frequency of distribution.	Records of in-kind payments
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.	Timelogs, training records, earnings records, records of payment to workers
SR-HP1.15	The use of continuous short-term employment contracts or the practice of terminating and then rehiring workers is not permitted as a means to avoid legal obligations related to wages and benefits.	Employment contracts
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.	Contracts with labor intermediaries, business license of subcontractors
SR-HP2.3	Management policies recognize the workers' rights to organize and/or collectively bargain as allowed by national laws and international obligations.	Management policy
SR-HP2.6	EXTRA POINT: If a workers' association or committee exists, a workers' association fund has been established to which management and workers contribute matching funds.	Records of worker association fund

SR-HP2.7	EXTRA POINT: If a workers' association fund has been established, workers have access to association fund to finance projects that improve living conditions for workers and their families.	Records of worker association fund
SR-HP2.8	If allowed by law, and agricultural worker organizations are established in the coffee sector, a collective bargaining agreement exists between employees and employer.	Collective bargaining agreement
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.	Earning records, time-logs
SR-HP3.2	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.	Earning records, time-logs
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.	Written agreement for hours worked between workers and management
SR-HP3.4	If overtime work is required as part of the job, such requirements are clear at the time of hiring and recorded in writing and signed by the employee.	Written record of overtime requirements, signed by employee
SR-HP3.6	Employer has a paid sick leave program for all permanent workers.	Sick leave program
SR-HP3.7	Employer has an annual leave (vacation) program as required by law. If laws have not been established, annual leave for permanent workers is a minimum of ten working days per year (prorated in cases of less than one year of employment).	Annual leave program
SR-HP3.8	If workers do not take annual leave (vacation), employer can either allow vacation time to accrue or can pay wages for the equivalent amount of time accrued under the regular pay scale, where permissible by law.	Vacation policy
SR-HP4.2	ZERO TOLERANCE: Employment of authorized minors follows <b>all</b> 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).	Timelogs, earnings records, payment records, employee file
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 large/medium farms, mills, and warehouses with more than 5 employees.</i>	Management Employment Policy
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 large/medium farms, mills, and warehouses with more than 5 employees.</i>	Management Employment Policy

SR-WC2.4	EXTRA POINT: Employer supports local schools with either in-kind donations or financial support.	Records of financial support or donations to schools: Receipts, etc.
SR-WC2.5	EXTRA POINT: Employer supports training or workshops for permanent/full-time workers on additional skills or trades (i.e., financial literacy, second language).	Training records/Records of support by employer
SR-WC3.1	Employer has a medical care plan which includes transportation or a trained medical person (technical expert) is available in case of medical emergency.	Employer medical emergency care plan: procedures in the event of an emergency
SR-WC3.3	EXTRA POINT: If there is convenient and accessible medical care, employer supports these facilities with either in-kind donations or financial support.	Records of financial support or donations to medical care facilities. Receipts, letters of acknowledgement, etc.
SR-WC3.4	Employer contributes to the cost of general health services for all permanent workers.	Records of contributions
SR-WC3.5	EXTRA POINT: Employer contributes to the cost of general health services for all temporary/seasonal workers.	Records of contributions
SR-WC3.6	Employer pays for all medical costs associated with documented work-related injuries and illnesses if not covered by other programs or services.	Documented work-related injuries
SR-WC4.3	Health and safety training occurs for all workers at least once a year, free of charge, and during regular working hours. Training is documented including instructors, agendas and attendance.	Health and safety training documents
SR-WC4.4	Training covers, at a minimum: use of protective equipment, safe handling of hazardous materials, operation of equipment and personal safety and hygiene.	Health and safety training documents
SR-WC4.5	For all enclosed work areas, there is a documented fire and emergency evacuation plan. <i>Applicable to farms, mills, and warehouses.</i>	Fire and emergency evacuation plan: procedures in the event of a fire emergency
SR-WC4.6	Management maintains written injury reports. The written injury reports include the type of injury, name of worker, time and date, and location of the accident.	Written injury reports
SR-WC4.7	Management reviews accident and injury records at least annually and updates safety procedures and training materials to prevent accident and injury re-occurrence.	Injury records/Safety procedures/Training materials
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. <i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i>	Records of volume of water used (only applicable for mills that process more than 3500 Kgs of green coffee annually)



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). <i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i>	Records of volume of water used (only applicable for mills that process more than 3500 Kgs of green coffee annually)
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: <ul style="list-style-type: none"> <li>• Biological oxygen demand (1000 mg/L or ppm)</li> <li>• Chemical oxygen demand (1500 mg/L or ppm)</li> <li>• pH (5.0-9.0)</li> </ul> <i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i>	Records of wastewater tests (only applicable for mills that process more than 3500 Kgs of green coffee annually)
CP-EC1.1	The quantity of energy used on-site for coffee processing operations is recorded documenting both the annual total energy used AND, quantity of energy used per Kg of green coffee processed.	Records of quantity of energy used
CP-EC1.3	The quantity of wood or other fuel (except parchment skin) used for drying coffee is recorded, documenting both the annual AND per Kg of green coffee processed totals.	Records of fuel used for drying coffee
CP-EC1.5	EXTRA POINT: The amount of total energy used per Kg of green coffee shows a decrease over time.	Records of total energy used per kg green coffee
CP-EC1.6	EXTRA POINT: Milling operation demonstrates innovation in energy sourcing through either the on-site production of renewable energy or purchase of offsets, or both (e.g., solar, wind, water, geothermal, biomass) beyond any locally available conventional source.	Receipts of purchase of carbon offsets; documentation NOT required for onsite production
CP-RM1.1	The quantity of energy (e.g., electricity and diesel) used on-site for coffee processing operations is recorded, documenting both the annual total energy used, AND quantity of energy used per Kg of green coffee processed.	Records of quantity of energy used
CP-RM1.2	EXTRA POINT: Records indicate the total amount of energy used per Kg of green coffee shows a decrease over time.	Records of quantity of energy used
CP-RM1.4	EXTRA POINT: Milling operation demonstrates innovation in energy sourcing through either the on-site production of renewable energy or purchase of offsets, or both (e.g., solar, wind, water, geothermal, biomass) beyond any locally available conventional source.	Receipts of purchase of carbon offsets; documentation NOT required for onsite production
CP-MT1.1	ZERO TOLERANCE: Entity has a system and is tracking product from initial purchase through point of export.	Documents related to tracking system
CP-MT1.2	ZERO TOLERANCE: Mill has a system and is tracking product from initial purchase through point of export.	Documents related to tracking system

## 6. List of Indicators that Require Documentation: *Smallholder Farms*

Indicator	Description	Document Examples
EA-IS1.3	Entity keeps receipts or invoices for the coffee (cherry, parchment, green) it buys or sells.	Receipts or invoices for coffee bought or sold
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).	Receipts or invoices for coffee bought or sold
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. <i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i>	Records of volume of water used (only applicable for mills that process more than 3500 Kgs of green coffee annually)
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). <i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i>	Records of volume of water used (only applicable for mills that process more than 3500 Kgs of green coffee annually)
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: <ul style="list-style-type: none"> <li>• Biological oxygen demand (1000 mg/L or ppm)</li> <li>• Chemical oxygen demand (1500 mg/L or ppm)</li> <li>• pH (5.0-9.0)</li> </ul> <i>Indicator should be evaluated "Not Applicable" for mills that process 3500 Kgs or less in green coffee.</i>	Records of wastewater tests (only applicable for mills that process more than 3500 Kgs of green coffee annually)

## **7. List of Indicators that Require Documentation: *Producer Support Organizations***

<b>Indicator</b>	<b>Description</b>	<b>Document Examples</b>
PS-MT1.1	ZERO TOLERANCE: All supply chain entities have and implement a system to track the movement of C.A.F.E. Practices coffee from initial purchase through point of export.	Documented system for tracking coffee movement
PS-MT1.2	ZERO TOLERANCE: Organization has an annually updated list of producers participating in the C.A.F.E. Practices program.	List of producers participating in the C.A.F.E. practices program, C.A.F.E. Practices application
PS-MT1.3	ZERO TOLERANCE: Each farm in the supply chain receives a receipt for coffee purchased.	Coffee purchase receipts
PS-MT1.4	Participating farmers are given a written agreement or identification card when they commit to implementing C.A.F.E. Practices guidelines.	Written agreement or identification card from PSO to farmers
PS-MT1.5	Producer Support Organization keeps C.A.F.E. Practices farm verification reports from previous verifications documenting status of compliance of each farm accompanied by a farm map and description.	C.A.F.E. Practices farm verification reports from previous verifications
PS-MT1.6	Producer Support Organization actively shares and explains C.A.F.E. Practices verification results with at least 30% of participating farmers, including necessary improvements.	Verification results
PS-HP1.1	Producer Support Organization has documented materials for training members in its network on legal hiring practices, including but not limited to: legal minimum wage, age verification, access to education, and related laws.	Training materials
PS-HP1.2	Producer Support Organization has documented materials for training members in its network on: forced, bonded, indentured or involuntary convict labor or trafficked labor.	Training materials
PS-SR1.1	Producer Support Organization has a detailed soil management plan that includes erosion reduction strategies.	Soil management plan
PS-SR2.1	Producer Support Organization's soil management plan includes the analysis of soil samples from representative farms in the network to identify nutrient deficiencies.	Soil management plan
PS-SR2.2	Producer Support Organization's soil management plan includes a foliar analysis from representative farms in the network to identify nutrient deficiencies.	Soil management plan
PS-CB1.1	Producer Support Organization has a shade management plan including: identified areas with gaps in the shade canopy and replacement of invasive exotic/non-native trees with native species.	Shade management plan: timeline / areas / type of vegetation or shade trees

PS-CB2.1	Producer Support Organization 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 ( <a href="http://www.redlist.org">http://www.redlist.org</a> , or local government resource) and shares it with the producers in the network.	List of wildlife species native to the region
PS-CB2.2	Producer Support Organization provides training to at least 30% of the farmers in the network on the value of wildlife diversity (animals and birds) and discourages hunting or trapping.	Training records
PS-CB3.1	Producer Support Organization has facilitated an assessment of and discussion with the farmer groups about areas of high conservation and ecological value (e.g., areas with significant intact forest, primary forest canopy cover, rare flora and fauna communities, important habitat elements, critical watershed values, importance to local communities' traditional cultural identity).	Assessment of conservation areas
PS-EM1.2	Producer Support Organization keeps records of all purchases, distribution or sales of pesticides, including: dates, product name, product formulation, active ingredients, quantity, purchase and sales prices.	Records of pesticides
PS-EM1.4	Producer Support Organization trains and educates at least 30% of the farmers in the network on correct procedures, storage conditions, and appropriate application of agrochemicals.	Training records
PS-EM1.5	Producer Support Organization trains at least 30% of the farmers in the network on correct use of Personal Protective Equipment, and facilitates access to, or purchase of, PPE.	Training records
PS-EM2.1	Producer Support Organization has developed a written farm management plan with supporting documents, including but not limited to: <ul style="list-style-type: none"> <li>• A description of the farm production systems and coffee productivity (coffee production per hectare, total annual coffee production) of the farmer network</li> <li>• Producer Support Organization's farmer training plan</li> <li>• Ecological pest and disease management measures</li> <li>• Soil quality improvement strategies</li> <li>• Producer Support Organization farmer resource sharing</li> </ul>	Farm management plan
PS-EM2.2	Producer Support Organization implements a farm monitoring program to track farm activities and improvements in C.A.F.E. Practices for more than 5% of the producers in its network.	Evidence / record of monitoring / tracking farm activities
PS-EM2.3	Producer Support Organization implements a farm monitoring program to track farm activities and improvements in C.A.F.E. Practices for more than 15% of the producers in its network.	Evidence / record of monitoring / tracking farm activities
PS-EM2.4	EXTRA POINT: Producer Support Organization implements a farm monitoring program to track farm activities and improvements in C.A.F.E. Practices for more than 25% of the producers in its network.	Evidence / record of monitoring / tracking farm activities

PS-EM2.5	Producer Support Organization holds at least one annual planning meeting(s) to develop a written annual work plan which details which C.A.F.E. Practices activities are to be done in the coming year.	Meeting minutes, annual work plan
PS-EM2.6	Producer Support Organization has created a complete set of materials used for training network members on: health and safety including use of personal protective equipment (PPE); shade management; integrated pest control and disease management including correct pesticide container disposal; pruning, weeding and general agricultural practices; coffee processing and drying.	Training materials
PS-CC1.1	Producer Support Organization keeps written records of climate change risks/ impacts on coffee production (e.g., change in temperature, rainfall).	Written records of climate change risks/ impacts on coffee production
PS-CC1.2	Producer Support Organization has developed and is implementing a training program to reduce impact of climate change.	Training records
PS-CC1.3	EXTRA POINT: Producer Support Organization is participating in a project to calculate and reduce farm greenhouse gas emissions over time.	Documented evidence of participation or inclusion in a formal project to calculate and reduce greenhouse gas emissions within the smallholder network