

COFFEE Project



Self-Assessment Questionnaire for Coffee Producers



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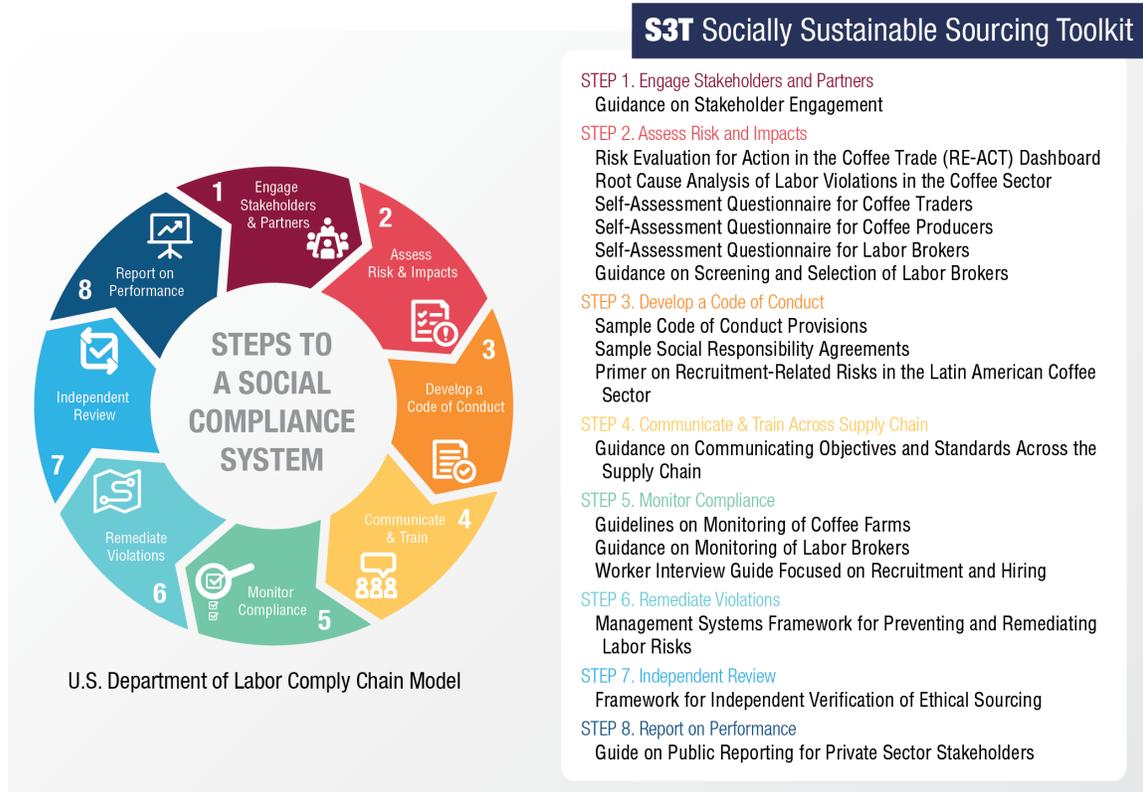
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Self-Assessment Questionnaire for Coffee Producers

Introduction

This tool is one of 17 tools comprising the Socially Sustainable Sourcing Toolkit (S3T), which was developed as part of Verité’s Cooperation on Fair, Free, Equitable Employment (COFFEE) Project through generous funding from the US Department of Labor’s Bureau of International Labor Affairs (USDOL-ILAB). The S3T was developed in alignment with USDOL’s *Comply Chain* model, with at least one tool created for each of the eight steps of *Comply Chain* (see graphic below). Many of the tools are derived from tools created for the *Responsible Sourcing Tool*, developed by Verité with funding from the U.S. Department of State’s Office to Monitor and Combat Trafficking in Persons (J/TIP). The tools can be used *à la carte*, but it is important that companies have systems and tools in place for each step of *Comply Chain*.

STEPS OF COMPLY CHAIN AND CORRESPONDING TOOLS



Introduction to the Tool

Self-Assessment Questionnaires (SAQs) are a set of self-administered questions that allow the user of the SAQ to identify potential risks or gaps in their standards, systems, and practices. The purpose of an SAQ is to give the user a space to reflect and introspectively assess themselves and their performance across a range of topics.

This SAQ is geared towards helping coffee producers identify potential labor risks¹ in their operations and to provide them with concrete steps that they can take to address identified risks. The SAQ is an internal tool, **which does not require the sharing of your answers with anyone**, so it is best for users of the SAQ to **answer the questions as fully, honestly, and accurately** as possible so that the recommendations generated most closely meet the user’s needs.

Other mechanisms, certifications, or programs often include SAQ processes similar to this one. The major differences between this one and those, is that this one is a) exclusively for the use of the respondent, no information is sent to anyone else b) it is, most likely, user initiated as opposed to client initiated, which means there is a desire to understand opportunities for improvement, and c) it provides not only suggestions for improvement, but also a guide on the sequencing, or triage of needs based on answers, which may respond to the different sizes and maturity levels of the users’ labor practices.

The interpretation guide for the SAQ, which includes suggestions and recommendations based on your answers, can be found in Annex 1. For the purposes of this SAQ, we will be referring to all third parties engaged wholly or in part in the recruitment, selection, hiring, and/or transportation of workers as “labor brokers.”

Glossary of Terms for the Tool

| Term | Definition |
|---------------------------|---|
| Debt Bondage | “Being forced to work to repay a debt and not being able to leave, or being forced to work and not being able to leave because of a debt.” ² (2017 ILO Report-Global Estimate of Modern Slavery) |
| Document Retention | An indicator of forced labor, this includes the retention of workers’ identity documents, such as a passport, work document, driver’s license, birth certificate, or others. |

¹ For further information on potential labor risks, particularly in the areas of recruitment and hiring, readers may also want to consult *Tool 6- Guidance on identifying risks related to recruitment and hiring*

² International Labour Organization (ILO). *Global Estimate of Modern Slavery 2017*
https://www.ilo.org/wcmsp5/groups/public/@dgreports/@dcomm/documents/publication/wcms_575479.pdf

| Term | Definition |
|--------------------------|---|
| Forced Labor | “All work or service which is exacted from any person under the menace of any penalty and for which the said person has not offered himself voluntarily.” ³ (ILO Convention No. 29) |
| Human Trafficking | “The recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs.” ⁴ (The Palermo Protocol) |
| Labor Broker | For the purposes of this Toolkit, a “labor broker” is any person who identifies, recruits, transports, processes paperwork for, places, or receives a worker anywhere between their source community and the worksite. The defining characteristic of a labor broker is not the nature of their relationship to an enterprise (e.g., formal employee vs. subcontractor) but rather their role in facilitating the acquisition and management of labor by said enterprise. It is the above functions that define a labor broker, regardless of other common functions they might play before, during, or after the brokering of labor, such as housing or managing workers. |

³ International Labour Organization (ILO), *Forced Labour Convention, C29*, 28 June 1930, C29, <https://www.refworld.org/docid/3ddb621f2a.html> [accessed 20 December 2018]

⁴ UN General Assembly, *Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, Supplementing the United Nations Convention against Transnational Organized Crime*, 15 November 2000, <https://www.refworld.org/docid/4720706c0.html> [accessed 20 December 2018]

| Term | Definition |
|-------------------------|--|
| Migrant Worker | The term “migrant” or “migrant worker” refers to a person who has relocated to take employment away from their source community without plans to remain at the new site of residence permanently. A “seasonal migrant worker” is one who relocates from their source community and one or multiple worksites following a preset and cyclical annual schedule. Unless a worker is specified to be an “internal migrant,” the term refers to workers who cross international borders between their source and destination locations. “Shuttle migrants” travel between their home communities and their worksites daily, across international borders. |
| Immigrant Worker | A worker whose source community is across international borders from their place of work, irrespective of length of stay in the destination. Also see Migrant Worker. |
| Recruitment Fees | “Any fees or costs incurred in the recruitment process in order for workers to secure employment or placement, regardless of the manner, timing, or location of their imposition or collection.” ⁵ (Draft definition discussed on November 14-16, 2018 by the ILO’s Tripartite Meeting of Experts on Defining Recruitment Fees and Related Costs) |

⁵ Draft definition discussed on November 14-16, 2018 by the ILO’s Tripartite Meeting of Experts on Defining Recruitment Fees and Related Costs. https://www.ilo.org/global/topics/labour-migration/events-training/WCMS_632651/lang--en/index.htm

Self-Assessment Questionnaire for Producers

Farm Information

| | |
|---------------|--|
| Q. 1.1 | <p>Which categories of workers are employed on the farm? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Family members of the farm owner <input type="checkbox"/> Permanent workers <input type="checkbox"/> Temporary/seasonal workers <input type="checkbox"/> Local workers <input type="checkbox"/> Internal migrant workers <input type="checkbox"/> Immigrant workers from other countries <input type="checkbox"/> Families (parents and children) <input type="checkbox"/> Sharecroppers <input type="checkbox"/> Other (please describe): _____ |
|---------------|--|

Standards and Policies

| | |
|---------------|--|
| Q. 2.1 | <p>What standards or Code of Conduct for labor and human rights issues does your organization follow?</p> <ul style="list-style-type: none"> <input type="checkbox"/> We follow the standards of our certification body. (e.g., Rainforest Alliance, Fair Trade, etc.) <input type="checkbox"/> We follow our customer's Code of Conduct. <input type="checkbox"/> We have our own Labor and Human Rights Policy or Code of Conduct. <input type="checkbox"/> We follow applicable legal requirements on labor and human rights. <input type="checkbox"/> Other (please describe): _____ |
| Q. 2.2 | <p>What areas are covered by the labor and human rights standards you follow? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Compliance with Local Labor Law <input type="checkbox"/> Forced Labor & Human Trafficking <input type="checkbox"/> Child Labor <input type="checkbox"/> Discrimination & Equality <input type="checkbox"/> Freedom of Association & Collective Bargaining <input type="checkbox"/> Harassment and Abuse <input type="checkbox"/> Health & Safety <input type="checkbox"/> Living Conditions <input type="checkbox"/> Grievance Mechanisms <input type="checkbox"/> Staff Training and Awareness <input type="checkbox"/> Other (please describe): _____ |

| Recruitment and Hiring | |
|------------------------|--|
| Q. 3.1 | <p>How do you recruit, select, and hire workers for your company/farm?</p> <ul style="list-style-type: none"> <input type="checkbox"/> We directly recruit, select, and hire all workers (full time, part time, temporary, and seasonal). <input type="checkbox"/> We use licensed labor brokers to recruit, select, and hire workers.⁶ <input type="checkbox"/> We use informal labor recruiters or brokers to find and hire workers. <input type="checkbox"/> We hire permanent workers directly and utilize labor brokers for seasonal and temporal work and other types of jobs. <input type="checkbox"/> We hire international workers through formal foreign worker employment programs managed by their countries of origin. <input type="checkbox"/> We use government programs, like national employment services, or others. <input type="checkbox"/> Other (please describe): _____ |
| Q. 3.2 | <p>How do you make sure that your hiring and recruitment policies are followed if you use labor brokers? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> We have specific procedures for recruitment and hiring for each type of available job, including seasonal/temporary workers. <input type="checkbox"/> We interview/gather feedback from the workers, especially those who recently joined, to make sure our policies and procedures were followed properly. <input type="checkbox"/> We give full, legal, written contracts to all our workers. <input type="checkbox"/> We do not have any formal procedures to make sure our recruitment and hiring procedures are being followed. <input type="checkbox"/> Other (please describe): _____ |
| Q. 3.3 | <p>Do workers pay any recruitment, job placement, visa processing, or transportation fees?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I do not know. |
| Q. 3.3.1 | <p>To whom do workers pay the fees? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Labor brokers <input type="checkbox"/> The farm <input type="checkbox"/> Other. Who? _____ <input type="checkbox"/> I do not know. |

⁶ Other names for labor brokers in Mexico: reclutadores, enganchadores, contratistas, capitanes, mayordomos, cabos, genteros, etc; Brazil: Turmeiros, gatos, empreiteiros; Colombia: Patrón de corte, capataz de finca.

| Recruitment and Hiring | |
|------------------------|--|
| Q. 3.4 | <p>How does your organization ensure that all workers understand the terms and conditions of their work contract? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> The terms and conditions are explained verbally to all workers in their native languages, or a language they understand. <input type="checkbox"/> Contracts are written in their native languages, or in a language they understand. <input type="checkbox"/> Workers receive a copy of their written contract in their native languages, or in another language that they understand. <input type="checkbox"/> The workers receive a written contract in the official language of the country, but there are no verbal explanations given. <input type="checkbox"/> The terms and conditions are covered in a training/orientation session with the workers. <input type="checkbox"/> Workers are given a verbal explanation of the terms and conditions <input type="checkbox"/> We do not have any measures to make sure all workers understand their work contract's terms and conditions. <input type="checkbox"/> Other (please describe): _____ |
| Q. 3.5 | <p>What is included in workers' contracts? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Workers are not provided with contracts <input type="checkbox"/> A description of workers' rights and responsibilities <input type="checkbox"/> The conditions of employment, including the start and end date of the employment contract <input type="checkbox"/> The type of work and tasks the worker is expected to carry out <input type="checkbox"/> The full name of the employer <input type="checkbox"/> The location of the workplace <input type="checkbox"/> Wages and benefits, including the rate and frequency of payment <input type="checkbox"/> Working hours and overtime premiums <input type="checkbox"/> Any occupational health risks to which workers may be exposed <input type="checkbox"/> A description of worker accommodation and associated costs, if applicable <input type="checkbox"/> Other (please describe): _____ |

Recruitment and Hiring

| | |
|---------------|---|
| Q. 3.6 | <p>What kinds of training does your organization provide to your recruitment, selection, and hiring personnel? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Responsible recruitment, selection, and hiring practices <input type="checkbox"/> Worker interviewing techniques <input type="checkbox"/> How to screen and select labor brokers <input type="checkbox"/> Monitoring labor broker compliance with responsible recruitment requirements <input type="checkbox"/> Selection of workers based on skills and competencies <input type="checkbox"/> Non-discrimination <input type="checkbox"/> Applicable legal requirements <input type="checkbox"/> No training on this topic <input type="checkbox"/> Other (please describe): _____ |
|---------------|---|

Labor Brokers

| | |
|-----------------|---|
| Q. 4.1 | <p>How does the company evaluate labor brokers to ensure that they have the capacity and will to comply with social responsibility policies before engaging them to recruit and hire workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> We carry out formal due diligence evaluations of all labor brokers. <input type="checkbox"/> Based on the recommendation of other labor brokers we work with. <input type="checkbox"/> We do not use a formal evaluation process. <input type="checkbox"/> Other (please describe): _____ |
| Q. 4.1.1 | <p>What do your labor broker due diligence evaluations include? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Verification that labor brokers are registered and/or licensed to carry out all relevant recruitment-related activities <input type="checkbox"/> Background check for criminal records and complaints <input type="checkbox"/> Reviews of their management systems <input type="checkbox"/> Review of their internal policies <input type="checkbox"/> Testing of their knowledge of legal and code of conduct requirements <input type="checkbox"/> Other (please describe): _____ |
| Q. 4.2 | <p>What requirements does your organization set for labor brokers? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> We require that labor brokers comply with our standards. <input type="checkbox"/> We require that labor brokers comply with all applicable legal requirements. <input type="checkbox"/> We do not have any formal requirements for our labor brokers. <input type="checkbox"/> Other (please describe): _____ |

| Labor Brokers | |
|-----------------|--|
| Q. 4.3 | <p>How do you ensure that labor brokers consistently meet your responsible recruitment requirements? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> We regularly audit the performance of our labor brokers. <input type="checkbox"/> We discuss their responsible recruitment performance regularly during business reviews. <input type="checkbox"/> Labor brokers provide periodic updates on their performance. <input type="checkbox"/> We conduct follow-up evaluations to verify that any identified issues are being addressed. <input type="checkbox"/> Labor brokers must track and report their KPIs to track their performance. <input type="checkbox"/> Failure to comply with our standards and/or legal requirements results in the cancelation of labor broker contracts. <input type="checkbox"/> Failure to comply with our standards and/or legal requirements results in other consequences. Please specify: _____ <input type="checkbox"/> We do not have any systems to evaluate the performance of labor brokers. <input type="checkbox"/> Other (please describe): _____ |
| Q. 4.4 | <p>Who supervises workers at your worksite(s)?</p> <ul style="list-style-type: none"> <input type="checkbox"/> A direct employee of our company <input type="checkbox"/> The labor broker who recruited the workers <input type="checkbox"/> A crew leader other than the labor broker who recruited workers <input type="checkbox"/> It depends on the situation <input type="checkbox"/> Other (please describe): _____ |
| Q. 4.5 | <p>Do you or your labor brokers recruit and/or hire foreign workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (please skip to the next section "Child Labor"). |
| Q. 4.5.1 | <p>How do you or your labor brokers hire foreign workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Directly in their home countries <input type="checkbox"/> Using a formal, licensed labor broker in the worker's home country <input type="checkbox"/> Using an informal labor broker in the worker's home country <input type="checkbox"/> Through a formal labor broker in the receiving country <input type="checkbox"/> Through informal labor brokers in the receiving country <input type="checkbox"/> Through official government programs in workers home country <input type="checkbox"/> Through official government programs in receiving country <input type="checkbox"/> Other. Please specify: _____ |

| Child Labor | |
|---------------|--|
| Q. 5.1 | <p>Do you have a policy that clearly defines and prohibits child labor and its worst forms?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> |
| Q. 5.2 | <p>How does the company ensure that no workers under the minimum age for child labor are engaged in any form of work on the farm? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> We require that all workers show farm management their official government identification documents and management reviews the date of birth of all workers. <input type="checkbox"/> We require the labor brokers review workers' original documents and provide management with copies. <input type="checkbox"/> We interview and talk to workers on a regular basis. <input type="checkbox"/> We train labor brokers on the importance of eliminating child labor. <input type="checkbox"/> We train farm management on the importance of eliminating child labor. <input type="checkbox"/> We train workers on the importance of eliminating child labor. <input type="checkbox"/> We provide free childcare services. <input type="checkbox"/> We provide free transport to public schools. <input type="checkbox"/> We provide stipends to workers whose children do not engage in work (can include cash, school supplies, snacks, or meals, etc.). <input type="checkbox"/> We struggle to find ways to keep underage workers out of the fields. <input type="checkbox"/> Other (please describe): _____ |
| Q. 5.3 | <p>Do you allow workers' children to be in areas where work is taking place?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> |
| Q. 5.4 | <p>How do you ensure that juvenile laborers (adolescents between the minimum age for child labor are 18 years of age) are working in legally permissible activities (including requirements related to hours of work, hazardous work, and school attendance)? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> We conduct a thorough review of relevant laws and standards. <input type="checkbox"/> We have identified all the jobs that are not suitable for young workers. <input type="checkbox"/> We train workers on the types of work that are and are not permitted for juvenile laborers. <input type="checkbox"/> We post notices regarding permissible and non-permissible work. <input type="checkbox"/> We do not hire anyone under the age of 18. <input type="checkbox"/> We provide incentives to legally permitted workers under 18 to stay in school. <input type="checkbox"/> We provide free transport to public schools. <input type="checkbox"/> We conduct regular inspections of work areas. <input type="checkbox"/> We do not have any procedures. <input type="checkbox"/> Other (please describe): _____ |

| Working Hours | |
|---------------|--|
| Q. 6.1 | <p>How are working hours determined? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Workers are allowed to work as long as they please. <input type="checkbox"/> Workers have to complete production targets or quotas. <input type="checkbox"/> Workers may not work in excess of legal limits on regular working hours. <input type="checkbox"/> Workers may not work in excess of legal limits on overtime hours. <input type="checkbox"/> Other (please describe): _____ |
| Q. 6.2 | <p>How do workers get overtime work?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Workers are assigned overtime work. <input type="checkbox"/> Workers can request overtime. <input type="checkbox"/> We do not provide overtime. <input type="checkbox"/> Other (please describe): _____ |
| Q. 6.3 | <p>Are workers who are paid by production, piece rates, or tasks paid overtime premiums when they work over the standard workday hours?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I do not know |
| Q. 6.4 | <p>Is Overtime ever used as a form of disciplinary measure for any worker?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 6.5 | <p>Is Overtime ever mandated for any worker?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> If "Yes," please explain: _____ |

| Wages & Payment | |
|-----------------|--|
| Q. 7.1 | <p>How are workers' wages calculated?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Set wage (Hourly/weekly/bi-weekly/monthly) <input type="checkbox"/> Per task (set amount for clearing a field, etc.) <input type="checkbox"/> By production (by amount of coffee harvested, etc.) <input type="checkbox"/> By contract (once they finish their 2-month contract, etc.) <input type="checkbox"/> By harvest season <input type="checkbox"/> Other. How: _____ |

| Wages & Payment | |
|----------------------------|--|
| Q. 7.2 | <p>How are workers paid? (<i>Select all that apply</i>)</p> <ul style="list-style-type: none"> <input type="checkbox"/> We pay each worker individually. <input type="checkbox"/> We pay heads of household and they distribute the money to their family members. <input type="checkbox"/> We pay labor brokers and they distribute the money to the workers they recruit and/or manage. <input type="checkbox"/> We deposit wages directly into workers' bank accounts. <input type="checkbox"/> We give checks to each worker. <input type="checkbox"/> They receive in-kind payments (food, housing, etc.). <input type="checkbox"/> Other (please describe): _____ |
| Q. 7.3 | <p>Are workers provided with any written records of their pay and deductions (paystubs, receipts, etc.)?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (please continue to question 7.4) |
| Q. 7.3.1 | <p>What information is included in these payment records? (<i>Select all that apply</i>)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Amount produced <input type="checkbox"/> Number of tasks completed <input type="checkbox"/> Rate of pay (per hour/day/production/task) <input type="checkbox"/> Number of regular and overtime hours worked <input type="checkbox"/> Detailed calculations of piece rate pay based on production/tasks completed <input type="checkbox"/> Deductions <input type="checkbox"/> Calculation of overtime payment <input type="checkbox"/> Other (please describe): _____ |
| Q. 7.4 | <p>How often are workers paid? (<i>Select all that apply</i>)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Daily <input type="checkbox"/> Each week <input type="checkbox"/> Every 2 weeks <input type="checkbox"/> Every month <input type="checkbox"/> At the end of their contract <input type="checkbox"/> At the end of the harvest season |
| Q. 7.5 | <p>Do you guarantee that all workers are paid at least the minimum wage for their work, including those on piece rate, and seasonal workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |

| Health & Safety | |
|----------------------------|---|
| Q. 8.1 | Do you provide workers with any training on occupational health and safety? <input type="checkbox"/> Yes <input type="checkbox"/> No (please skip to question 8.2) |
| Q. 8.1.1 | What topics are covered in their health and safety trainings? <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> First Aid <input type="checkbox"/> Agrochemical/pesticide handling and application <input type="checkbox"/> Areas of the worksite that are dangerous <input type="checkbox"/> How to properly use machinery, equipment, and tools <input type="checkbox"/> When and how to properly use PPE <input type="checkbox"/> Emergency procedures and responsible persons <input type="checkbox"/> Heat stroke/heat exhaustion <input type="checkbox"/> Hydration <input type="checkbox"/> Other (please describe): _____ |
| Q. 8.2 | Do you provide any of the following equipment to workers? <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Shears/cutting implements <input type="checkbox"/> Respiratory protection (dust masks, organic vapor respirators) <input type="checkbox"/> Hearing protection (Earplugs/earmuffs) <input type="checkbox"/> Eye and face protection (Glasses/mesh face shields) <input type="checkbox"/> Hand protection (Leather gloves or such) <input type="checkbox"/> Head protection (Hard hats for machinery operators on coffee farms and all workers in coffee-processing plants and warehouses) <input type="checkbox"/> Protective clothing (Cut-resistant aprons or chainsaw chaps) <input type="checkbox"/> Safety footwear (Steel-toed boots or grip work boots) |
| Q. 8.3 | Do workers have to pay for any of this equipment? <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> They must pay for all the equipment provided to them. <input type="checkbox"/> They must pay for some of the equipment. <input type="checkbox"/> They have to pay if they damage their equipment. <input type="checkbox"/> They have to pay if they lose their equipment. <input type="checkbox"/> All equipment is provided free of charge and workers are not charged if they damage or lose their equipment. |

| Health & Safety | |
|-----------------|--|
| Q. 8.4 | Do workers have access to: <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Potable water <input type="checkbox"/> Toilet facilities <input type="checkbox"/> Shaded rest areas <input type="checkbox"/> Regularly scheduled breaks |

| Living Conditions | |
|-------------------|--|
| Q. 9.1 | Do any of your workers provided with accommodation? <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (if selected, please continue to the next section “Grievance Mechanisms”) |
| Q. 9.1.1 | Are families, including children, allowed to stay in the provided accommodation <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 9.1.2 | For those who are provided with accommodation, who provides the workers with the accommodation? <ul style="list-style-type: none"> <input type="checkbox"/> You <input type="checkbox"/> The labor broker <input type="checkbox"/> Other (please describe): |
| Q. 9.2 | Who pays for worker accommodations? <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> The worker <input type="checkbox"/> You <input type="checkbox"/> The broker |

| Living Conditions | |
|-------------------|---|
| Q. 9.3 | Do the accommodations have the following: <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Toilets <input type="checkbox"/> Hot water <input type="checkbox"/> Showers <input type="checkbox"/> Clean drinking water <input type="checkbox"/> Lockers or individual compartments to store valuables <input type="checkbox"/> Emergency exits <input type="checkbox"/> Security guards <input type="checkbox"/> Somewhere to store food safely <input type="checkbox"/> Somewhere to cook food safely <input type="checkbox"/> Cleaning supplies <input type="checkbox"/> Electricity <input type="checkbox"/> Cots or beds for each individual <input type="checkbox"/> The ability to lock the facility from outside |
| Q. 9.4 | Does the farm/worksite have a store? <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (if selected, please continue to next section “Grievance Mechanisms”) |
| Q. 9.4.1 | Do workers have access to other stores besides the farm/worksite store? <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 9.4.2 | How does the farm/worksite store charge workers for the goods they purchase? <ul style="list-style-type: none"> <input type="checkbox"/> Cash only <input type="checkbox"/> Workers can purchase goods on credit <input type="checkbox"/> Purchases are deducted from wages <input type="checkbox"/> Other (please describe): _____ |
| Q. 9.4.3 | If workers can purchase goods on credit, do they: <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Incur any interest? <input type="checkbox"/> Have to pay their debts before leaving the farm? <input type="checkbox"/> Have their debts deducted from their pay? |
| Q. 9.4.4 | Are the prices at the farm/worksite store the same as the local market price? <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |

| Grievance Mechanisms | |
|-----------------------------|--|
| Q. 10.1 | Do you have any mechanisms by which workers can report any issues or concerns that they may have? <input type="checkbox"/> Yes <input type="checkbox"/> No (If no, please skip to the next section “Worker Supervision”) |
| Q. 10.1.1 | Is the grievance mechanism confidential? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 10.1.2 | Are workers who file complaints or grievances protected from retaliation? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 10.1.3 | What are the features of your grievance or complaint mechanism? <i>(Select all that apply)</i> <input type="checkbox"/> Available to the workers in their native language <input type="checkbox"/> Available to them at all hours <input type="checkbox"/> Free to use for the workers <input type="checkbox"/> Easy to access for the workers <input type="checkbox"/> Able to receive comments in more than one way (for example, more than just a mailbox, or hotline, contact supervisor, etc.) <input type="checkbox"/> Managed by a third party <input type="checkbox"/> Appealable after the original complaint is deemed closed <input type="checkbox"/> Other (please describe): _____ |
| Q. 10.1.4 | Do you share with the workers the outcomes of the complaints they addressed? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q 10.1.5 | Can workers report a grievance anonymously? <input type="checkbox"/> Yes <input type="checkbox"/> No |

Next Steps

Please continue to Annex 1, the interpretation guide, which includes recommendations for specific actions based on your responses, including the tools within the S3T Toolkit that may be of help to you.

References

International Labor Standards

For this tool and other tools developed by the COFFEE Project, efforts have been made to align with both international and voluntary standards. The International Labor Organization (ILO) is the UN agency that sets internationally recognized labor standards. Because companies must ensure their standards are in compliance with international labor standards, Verité has included a brief description on some of the key international standards on forced labor and human trafficking, child labor, discrimination and equality, freedom of association, wages and hours, health and safety, and recruitment and hiring within the agricultural sector and for migrant workers.

Forced Labor and Human Trafficking

ILO Convention No. 29 on Forced Labor

Obligates countries to suppress the use of forced or compulsory labor “in all its forms” with exceptions for military service, civic or emergency duties, and as the result of a court conviction (so long as the labor is supervised by a public authority and not hired out to private individuals or companies). Forced or compulsory labor is defined as work or service exacted from any person under the menace of penalty and for which the person has not volunteered.

ILO Convention No. 105 on Abolition of Forced Labor

Forbids forced labor used “as a means of political coercion” or as punishment for “holding or expressing political views” or for participating in strikes

The Protocol to Prevent, Suppress and Punish Trafficking in Persons, Especially Women and Children, 2000

One of three protocols to the Convention against Transnational Organized Crime, known as the Palermo Protocols, is a global, legally binding instrument that defines trafficking in persons and is intended to enable international cooperation for investigating and prosecuting trafficking in persons and to protect and assist trafficking victims. It defines human trafficking as:

the recruitment, transportation, transfer, harboring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation. Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labor or services, slavery, or practices similar to slavery, servitude or the removal of organs.

Child Labor

ILO Convention No. 138 on Minimum Age

Sets the minimum age for work at 15 years of age (although countries with insufficiently developed economies and educational facilities can qualify for “exception” status with a minimum working age of 14). The convention permits light work (defined as work that is not likely to be harmful and does not interfere with schooling) for 13- to 15-year-olds.

ILO Convention No. 182 Worst Forms of Child Labor

Obligates countries to take effective steps towards eliminating the worst forms of child labor (slavery, debt bondage, work in the sex or drug trades, or any other physically or morally harmful work).

Equality and Non-Discrimination

ILO Convention No. 100 on Equal Remuneration

Establishes the principle of equal remuneration for men and women for work of equal value.

ILO Convention No. 111 on Discrimination

Forbids any distinction, exclusion, or preference made on the basis of race, color, sex, religion, political opinion, national extraction or social origin, which has the effect of nullifying or impairing equality of opportunity or treatment in employment or occupation.

Freedom of Association and Collective Bargaining

ILO Convention No. 87 on Freedom of Association and Protection of the Right to Organize

Establishes the right of workers and employers to join organizations of their own choosing without prior authorization; and the right of organizations to draw up their own rules and constitutions, elect their own representatives, and organize their own affairs without outside intervention. It calls for protection of workers’ organizations from governmental interference and from being dissolved or suspended by administrative authority; and calls for the right to affiliate with international organizations of workers.

ILO Convention No. 98 on the Right to Organize and Collective Bargaining

Grants workers the right to adequate protection against anti-union acts such as dismissals and against business interference; and encourages countries to take measures to promote collective bargaining.

Standards Related to Occupational Safety and Health

ILO Convention No. 155 on Occupational Safety and Health Convention

Requires that governments proactively determine hazardous occupations and activities, establish procedures for reporting occupational accidents and diseases, and annually publish statistics. It establishes workers' right to remove themselves from situations in which they reasonably judge themselves to be in "imminent and serious danger" without reprisal.

ILO Chemical Convention (No. 170)

Requires that employers properly label chemicals and make chemical data sheets available to workers; assess and monitor worker exposure to hazardous chemicals; ensure that worker exposure to chemicals does not present health risks; provide workers with training on chemical-related risks; and make arrangements for emergencies, including the provision of first aid.

Standards Related to Labor Recruitment

ILO Private Employment Agencies Convention (No. 181)

Defines a private employment agency as "any natural or legal person, independent of the public authorities, which provides one or more of the following labor market services:

- a. services for matching offers of and applications for employment, without the private employment agency becoming a party to the employment relationships which may arise therefrom;
- b. services consisting of employing workers with a view to making them available to a third party, who may be a natural or legal person (referred to below as a "user enterprise") which assigns their tasks and supervises the execution of these tasks;
- c. other services relating to jobseeking, determined by the competent authority after consulting the most representative employers and workers organizations, such as the provision of information, that do not set out to match specific offers of and applications for employment."

While recognizing the value of employment agencies to the global economy, the 1997 Convention on private employment agencies emphasizes the need to protect workers from possible abuses at their hands. The Convention prohibits the charging of recruitment fees to workers. It also prohibits employment agencies from engaging any form of discrimination against workers.

ILO General principles and operational guidelines for fair recruitment

Provide non-binding standards with which various actors should strive to comply, while the guidelines provide practical guidance on specific steps that different types of actors can take to promote equitable recruitment. The principles specifically call on the private sector to strive to respect human rights when recruiting workers,

prevent recruitment fees from being charged to workers, and promote the adoption of recruitment standards.

Standards Related to Worker Housing

ILO Workers' Housing Recommendation (No 115.)

Establishes that it is generally not desirable for employers to provide workers with housing unless necessary, such as when workers are employed in areas far from their homes. In cases in which employers provide worker housing, they are required to protect workers' fundamental rights, especially to freedom of association, and to provide workers with decent housing at a reasonable cost proportionate to their incomes. Employers are prohibited from providing workers with housing as a form of payment for their work.

Standards Related to the Agricultural Sector

ILO Convention No. 184 on Safety and Health in Agriculture

Obligates employers to provide for the safety and health of temporary, seasonal, and permanent workers (including ensuring that activities and equipment comply with health and safety standards and providing appropriate training and instruction) and requires a national policy on safety and health in agriculture, which includes inspections of agricultural workplaces. The convention gives workers the right to be instructed in health and safety matters and to remove themselves from workplace activities in which they believe there is an imminent and serious risk to health and safety without retaliation. If an employer is required to provide housing to workers, the convention notes that laws governing that housing should meet the minimum accommodation standards. The Safety and Health in Agriculture Code of Practice offers advice on how to implement this convention.

ILO Convention No. 129 on Labour Inspection (Agriculture)

Requires a system of labor inspection in agricultural undertakings where employees or apprentices work; nations who ratify the convention may also decide to inspect agricultural undertakings where tenants, sharecroppers, members of co-operatives, and/or family members of the operator of the agricultural undertaking work.

ILO Plantations Convention (No. 110) and Protocol (P110)

Covers provisions for the recruitment, employment, benefits and compensation, and housing conditions of employees on a plantation, defined as "any agricultural undertaking regularly employing hired workers which is situated in the tropical or subtropical regions and which is mainly concerned with the cultivation or production for commercial purposes of coffee, tea, sugarcane, rubber, bananas, cocoa, coconuts, groundnuts, cotton, tobacco, fibers (sisal, jute and hemp), citrus, palm oil, cinchona or pineapple." Requires a licensed recruiter or employer to cover the costs of transporting the worker to the workplace and of repatriation. Limits the timeframe of employment on a plantation (one to three years depending on the nature of the journey to reach the workplace and whether or not the worker is accompanied by family members). Specifies that wages should be governed by national laws, adhere to minimum wage law, and only include deductions proscribed by national law.

Requires at least 25 hours of consecutive rest in every seven-day period. Guarantees employers and employees the right to associate and provides for anti-union discrimination.

ILO Right of Association (Agriculture) Convention (No. 11)

Establishes that “the same rights of association and combination” apply to workers in agriculture just as they apply to industrial workers. Nations that ratify the convention must ensure that those rights are secured for agricultural workers and work to remove any provisions that restrict their access to those rights.

ILO Minimum Wage Fixing Machinery (Agriculture) Convention (No. 99)

Establishes that ratifying nations will create a system for determining appropriate minimum wages for agricultural workers. The specific minimum amount and method for determining it is up to each ratifying nation and should be determined through a consultative process involving representatives of employers and workers (if such entities exist). If national laws allow, partial payment of minimum wages may be made “in the form of allowances in kind,” as long as this form is “customary or desirable.” Nations that ratify the convention are also required to ensure that the minimum wage rate is being appropriately implemented by providing supervision, education on the wage rate, inspections, and sanctions when necessary.

ILO Tenants and Share-croppers Recommendation (No. 132)

Applies to agricultural workers who are not remunerated by a fixed wage, i.e. tenants or those who are remunerated with shares of produce. Seeks to assure that tenants, share-croppers, and other similar categories of workers have access to land, stability, and security. Outlines best practices concerning mutually agreed upon contracts, amount of rent (adjustable to actual harvest yields), minimum share of produce to which sharecroppers are entitled, provision of adequate housing when customary or necessary, and the authorization for tenants and sharecroppers to use land to produce food for themselves and their families.

Standards Related to Migrant Workers

ILO Migration for Employment Convention (No. 97) and Migration for Employment Recommendation (No. 86)

Regulate the conditions under which labor migration should be carried out. They include a number of guidelines on the protection of migrant workers and establish the duty of governments to support and provide free employment services to migrant workers. They also encourage agreements between countries sending and receiving migrant workers to ensure their protection. Importantly, the Convention establishes that undocumented immigrant workers have the same labor rights as documented migrant workers and citizens. The Convention and Recommendation also include guidelines on the placement, hiring, and conditions of work of migrant workers.

ILO Migrant Workers (Supplementary Provisions) Convention (No. 143)

Defines a migrant worker as, “a person who migrates or who has migrated from one country to another with a view to being employed otherwise than on his own account and includes any person regularly admitted as a migrant worker.” Establishes that the “basic human rights of all migrant workers” should be respected by ratifying nations. Requires ratifying nations to “systematically seek to determine whether there are illegally employed migrant workers on its territory” and whether migrants are subjected to employment conditions that contravene national laws or regulations, or other agreements whether international, multilateral, or bilateral. It also outlines that migrants working legally should not be “regarded as in an illegal or irregular situation” and should be treated without prejudice. Requires ratifying nations to establish a “national policy designed to promote and guarantee...equality of opportunity and treatment” regarding employment and occupation, social security, trade union participation, freedoms and cultural rights for migrant workers and their families.

ILO Multilateral Framework on Labour Migration: Non-binding principles and guidelines for a rights-based approach to labor migration (2006).

Includes non-binding, rights-based principles and guidance on labor migration. It seeks to promote and protect migrant workers’ rights, improve regulation of labor migration, and highlight the link between labor migration and development. In includes guidance on promoting employment policies based on social dialogue that promote decent work and protect migrant workers. The framework specifically calls for ethical recruitment practices including the establishment and adherence of recruitment licensing programs, the regulation of recruitment fees, and the provision of remedies for all workers whose rights are violated during the recruitment process.

Annex I

Interpretation Guide

| Farm Information | | |
|------------------|---|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 1.1 | <p>Which categories of workers are employed on the farm?</p> <p><i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Family members of the farm owner <input type="checkbox"/> Permanent workers <input type="checkbox"/> Temporary/seasonal workers <input type="checkbox"/> Local workers <input type="checkbox"/> Internal migrant workers <input type="checkbox"/> Immigrant workers from other countries <input type="checkbox"/> Families (parents and children) <input type="checkbox"/> Sharecroppers <input type="checkbox"/> Other (depending on the answer) | <p>No matter the type of worker that is employed, labor risk possibility exists if there are no procedures, protocols, and strategies to limit or reduce the potential risks involved. It may seem like it is a lot of work, but producers can focus on some actions early on a build up their capacity and systems gradually in order to protect themselves from any potential risks arising from labor abuses, and to protect their workers as well. In many cases, producers have found that treating workers well, and protecting them, can lead to lower turnover, lower recruitment or labor acquisition costs, and higher productivity as workers continue to accumulate experience and get better at their job. Other additional savings may come from less accidents and less disruptions in the season.</p> |

| Standards and Policies | | |
|------------------------|--|--|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 2.1 | <p>What standards or Code of Conduct for labor and human rights issues does your organization follow?</p> <p>All of the given options can be good practice options if implemented and enforced properly.</p> | <p>A Social Responsibility Policy or Code of Conduct establishes basic performance expectations for you, your subcontractors, workers, and agents. It is important that your Code of Conduct explicitly prohibit labor violations and set out protections for workers.</p> <p>The options given in Q. 2.1 can all be good options and resources for codes of conducts. The most important part of a code of conduct, however, is that it is implemented and enforced properly, so whatever code you choose to follow, what is most important is ensuring that there are systems in place to make sure they are being followed as best as possible.</p> |
| Q. 2.2 | <p>What areas are covered by the labor and human rights standards you follow? <i>(Select all that apply)</i></p> <p>All of the given options are considered good practices and should be part of the standards for any producer.</p> | <p>For more information the reader may want to refer to <i>Tool 4- Sample Code of Conduct Provisions</i>.</p> |

| Recruitment and Hiring | | |
|------------------------|--|--|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 3.1 | <p>How do you recruit, select, and hire workers for your company/farm?</p> <ul style="list-style-type: none"> <input type="checkbox"/> We use licensed labor brokers to recruit, select, and hire workers. <input type="checkbox"/> We use informal labor recruiters or brokers to find and hire workers. <input type="checkbox"/> We hire permanent workers directly and utilize labor brokers for seasonal and temporal work and other types of jobs. <input type="checkbox"/> We hire international workers through formal foreign worker employment programs managed by their countries of origin. <input type="checkbox"/> We use government programs, like national employment services, or others. <input type="checkbox"/> Other (depending on the answer) | <p>While direct recruitment and hiring allows the producers to control potential labor risks the best, it may not be feasible for all producers to do so, and labor intermediaries or brokers may be a smart and cost-effective way to find workers. It is important, however, to realize that by having a third party involved in the recruitment of workers, producers lose a level of control and knowledge over the process, which opens the possibility of labor abuses to take place. When producers determine they must use a labor intermediary for any part of their hiring practices, it is recommended that they have a contract with the intermediary that has clear expectations and responsibilities, including requirements on how the producer expects recruitment and hiring should take place, or a reference to the producer, or the producer's clients hiring and recruitment policies. Regardless, it should, at a minimum, include a prohibition of any recruitment fees to the workers, a requirement to function legally, and a requirement to provide workers with clear written contracts in a language they understand.</p> <p>For more information the reader may want to refer to <i>Tool 4- Sample Code of Conduct Provisions</i>.</p> |
| Q. 3.2 | <p>How do you make sure that your hiring and recruitment policies are followed if you use labor brokers? <i>(Select all that apply)</i></p> <p>All but the options listed below are considered good practices.</p> <ul style="list-style-type: none"> <input type="checkbox"/> We do not have any formal procedures to make sure our recruitment and hiring procedures are being followed. <input type="checkbox"/> Other | <p>For more information the reader may want to refer to <i>Tool 4- Sample Code of Conduct Provisions</i>.</p> |

| Recruitment and Hiring | | |
|------------------------|--|---|
| Q. 3.3 | Do workers pay any recruitment, job placement, visa processing, or transportation fees? <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> I do not know. | As mentioned before, the charging of recruitment fees, or any fees related to the obtention or arrival of workers to the worksite should be strictly forbidden. These fees can exclude qualified workers from working but may also lead to workers taking out loans to cover these fees which, can in turn, lead to inflated indebtedness, or other indicators of forced labor. |
| Q. 3.3.1 | To whom do workers pay the fees? <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Labor brokers <input type="checkbox"/> The farm <input type="checkbox"/> Other. Who? <input type="checkbox"/> I do not know. | For more information on this topic, the user may want to study <i>Tool 6-Primer on Recruitment-Related Risks in the Latin American Coffee Sector.</i> |
| Q. 3.4 | How does your organization ensure that all workers understand the terms and conditions of their work contract? <i>(Select all that apply)</i> <p>All of the options given are considered good practices except for the ones listed below.</p> <ul style="list-style-type: none"> <input type="checkbox"/> We do not have any measures to make sure all workers understand their work contract's terms and conditions. <input type="checkbox"/> Other (depending on the answer) | As mentioned above, clear, written, contracts, for brokers and for workers are the best way to make sure all the parties involved have a clear understanding of their rights and responsibilities as well as expectations. The contract by itself is highly important, but if the worker does not understand what it says, it may lead to problems, or again, create the potential for abuses against the worker, or unmet expectations or disruption of production for the producers. As such, making sure that workers understand their contracts before they sign and when they arrive at the worksite are highly important. |
| Q. 3.5 | What is included in workers' contracts? <i>(Select all that apply)</i> <p>All responses except "Workers are not provided with contracts" are considered good practices and should be included in workers contracts.</p> | For more information on this topic the user may want to study <i>Tool 6-Primer on Recruitment-Related Risks in the Latin American Coffee Sector.</i> |

| Recruitment and Hiring | | |
|------------------------|--|--|
| Q. 3.6 | <p>What kinds of training does your organization provide to your recruitment, selection, and hiring personnel? <i>(Select all that apply)</i></p> <p>All options except “No training on this topic” are considered good practices and are recommended for all recruitment, selection, and hiring personnel.</p> <p>_____</p> | |

| Labor Brokers | | |
|---------------|--|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 4.1 | <p>How does the company evaluate labor brokers to ensure that they have the capacity and will to comply with social responsibility policies before engaging them to recruit and hire workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Based on the recommendation of other labor brokers we work with. <input type="checkbox"/> We do not use a formal evaluation process. <input type="checkbox"/> Other (depending on the answer) | |

| Labor Brokers | | |
|-----------------|--|--|
| Q. 4.1.1 | <p>What do your labor broker due diligence evaluations include? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Verification that labor brokers are registered and/or licensed to carry out all relevant recruitment-related activities <input type="checkbox"/> Background check for criminal records and complaints <input type="checkbox"/> Reviews of their management systems <input type="checkbox"/> Review of their internal policies <input type="checkbox"/> Testing of their knowledge of legal and code of conduct requirements <input type="checkbox"/> Other (please describe): | |
| Q. 4.2 | <p>What requirements does your organization set for labor brokers? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> We do not have any formal requirements for our labor brokers. <input type="checkbox"/> Other (please describe): | |

| Labor Brokers | | |
|---------------|---|--|
| Q. 4.3 | <p>How do you ensure that labor brokers consistently meet your responsible recruitment requirements? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> We regularly audit the performance of our labor brokers. <input type="checkbox"/> We discuss their responsible recruitment performance regularly during business reviews. <input type="checkbox"/> Labor brokers provide periodic updates on their performance. <input type="checkbox"/> We conduct follow-up evaluations to verify that any identified issues are being addressed. <input type="checkbox"/> Labor brokers must track and report their KPIs to track their performance. <input type="checkbox"/> Failure to comply with our standards and/or legal requirements results in the cancelation of labor broker contracts. <input type="checkbox"/> Failure to comply with our standards and/or legal requirements results in other consequences. Please specify: _____ <input type="checkbox"/> We do not have any systems to evaluate the performance of labor brokers. <input type="checkbox"/> Other (please describe) | |

| Labor Brokers | | |
|----------------------|---|---|
| Q. 4.4 | <p>Who supervises workers at your worksite(s)?</p> <ul style="list-style-type: none"> <input type="checkbox"/> A direct employee of our company <input type="checkbox"/> The labor broker who recruited the workers <input type="checkbox"/> A crew leader other than the labor broker who recruited workers <input type="checkbox"/> It depends on the situation <input type="checkbox"/> Other (please describe) | <p>While none of the answers inherently convey a potential labor risk for workers, it is important to note that depending on the conditions of the employment, payment structure, and vulnerability of the worker, the supervisory role could be one that inflicts labor risk or abuse for a worker. For example, when a worker depends on a labor broker for their payment, employment, food, and housing, should they have a disagreement, or even a situation of labor abuse, and should the worker complain, they may lose their job, access to food, transportation, and lodging, thus making it less likely that they would feel comfortable or compelled to try and rectify or report and abuse.</p> |
| Q. 4.5 | <p>Do you or your labor brokers recruit and/or hire foreign workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes | <p>The recruitment and hiring of foreign migrant workers may be an important and useful tool for employers to meet labor demands or other needs.</p> |

| Labor Brokers | | |
|-----------------|--|---|
| Q. 4.5.1 | <p>How do you or your labor brokers hire foreign workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Directly in their home countries <input type="checkbox"/> Using a formal, licensed labor broker in the worker's home country <input type="checkbox"/> Using an informal labor broker in the worker's home country <input type="checkbox"/> Through a formal labor broker in the receiving country <input type="checkbox"/> Through informal labor brokers in the receiving country <input type="checkbox"/> Through official government programs in workers home country <input type="checkbox"/> Through official government programs in receiving country <input type="checkbox"/> Other (depending on the answer) | <p>However, it is important to recognize that foreign migrant workers are much more vulnerable than non-migrant workers as they are further away from their homes and social structures.</p> <p>As such, it is important that foreign workers be hired by ethical operators that abide by national laws, international standards, and the company's standards, which is why it is recommended that workers be recruited by formal registered labor brokers, where possible, or through formal international hiring programs established by the countries, rather than informally.</p> |

| Child Labor | | |
|---------------|---|--|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 5.1 | <p>Do you have a policy that clearly defines and prohibits child labor and its worst forms?</p> <ul style="list-style-type: none"> <input type="checkbox"/> No | <p>Best practice standards prohibit all forms of child labor. Child labor refers to work by any person under the age of 15, under the legal age for completion of compulsory education, or</p> |

| Child Labor | | |
|---------------|--|--|
| Q. 5.2 | <p>How does the company ensure that no workers under the minimum age for child labor are engaged in any form of work on the farm? <i>(Select all that apply)</i></p> <p>The options given in this question are all good practices for preventing child labor, however no single one would be enough to prevent child labor to occur.</p> | <p>under the legal minimum age for employment according to national law, whichever is higher (excluding light work on family farms that does not harm development, negatively impact school attendance, and that is within limited hours). While there are certainly ways for minors and children to circumvent good procedures for detecting child labor, it is unusual for this to happen. As such, the practice of requiring official ID's and documentation to confirm the identity and age of the people that are being hired, is the first and most efficient way, however, if paired with some of the options on Q.5.2 can be quite effective, and useful way to make sure no unwanted or unwitting child labor is taking place without your knowledge.</p> |
| Q. 5.3 | <p>Do you allow workers' children to be in areas where work is taking place?</p> <p><input type="checkbox"/> Yes</p> | <p>under the legal minimum age for employment according to national law, whichever is higher (excluding light work on family farms that does not harm development, negatively impact school attendance, and that is within limited hours). While there are certainly ways for minors and children to circumvent good procedures for detecting child labor, it is unusual for this to happen. As such, the practice of requiring official ID's and documentation to confirm the identity and age of the people that are being hired, is the first and most efficient way, however, if paired with some of the options on Q.5.2 can be quite effective, and useful way to make sure no unwanted or unwitting child labor is taking place without your knowledge.</p> |
| Q. 5.4 | <p>How do you ensure that juvenile laborers (adolescents between the minimum age for child labor are 18 years of age) are working in legally permissible activities (including requirements related to hours of work, hazardous work, and school attendance)? <i>(Select all that apply)</i></p> <p><input type="checkbox"/> We do not have any procedures.</p> <p><input type="checkbox"/> Other (depending on the answer):</p> | <p>Juvenile laborers between the minimum age for child labor and 18 shall only engage in legally permissible work that complies with restrictions on hours of work, school attendance, and activities that do not present a danger to their health, safety, or morals. In all cases, juvenile laborers shall be prohibited from working overtime or at night and must be registered, paid directly, and paid at least the minimum wage. In a similar fashion to the best practices listed above for child labor, there is no single best practice for to prevent illegal and dangerous juvenile work, but rather a combination of approaches will likely yield the most effective results. However, same as with child labor, it is important to always start at the very least with documentation review of the worker's official documents, as they are the least subjective way to determine whether the worker is an adult or a juvenile or child laborer. Beyond that, it will be important to implement a variety of strategies that both encourage juveniles to continue their education and avoid work they are not legally allowed to do, and actively work to detect potential noncompliance with those workers who could inadvertently switch from permissible forms of work to those that are not.</p> |

| Working Hours | | |
|---------------|--|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 6.1 | <p>How are working hours determined? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Workers are allowed to work as long as they please. <input type="checkbox"/> Workers have to complete production targets or quotas. <input type="checkbox"/> Other (depending on the answer) | <p>The total number of hours worked per week, including overtime, shall not exceed limits set by applicable laws, and in no case shall they surpass 60 hours per week, including overtime.</p> <p>All overtime work shall be voluntary, and workers who elect to work overtime shall be paid legally mandated overtime rates.</p> <p>Overtime shall always be voluntary. No one shall be forced to work overtime under the threat of any penalty (such as denying the opportunity to work overtime in the future, dismissal, or reporting to the authorities). No person shall be forced to work overtime as a disciplinary measure or for not meeting production quotas.</p> |
| Q. 6.2 | <p>How do workers get overtime work?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Workers are assigned overtime work. <input type="checkbox"/> Workers can request overtime. <input type="checkbox"/> We do not provide overtime. <input type="checkbox"/> Other (please describe): | |
| Q. 6.3 | <p>Are workers who are paid by production, piece rates, or tasks paid overtime premiums when they work over the standard workday hours?</p> <ul style="list-style-type: none"> <input type="checkbox"/> No <input type="checkbox"/> I do not know | <p>All overtime hours shall be paid at the legally established premium rates, regardless of whether workers are paid by piece, task, hour, or month.</p> |
| Q. 6.4 | <p>Is Overtime ever used as a form of disciplinary measure for any worker?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes | <p>Overtime shall always be voluntary. No one shall be forced to work overtime under the threat of any penalty. No person shall be forced to work overtime as a disciplinary measure or for not meeting production quotas.</p> |
| Q. 6.5 | <p>Is Overtime ever mandated for any worker?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes | |

| Wages and Payment | | |
|-------------------|---|--|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 7.1 | <p>How are workers' wages calculated?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Per task (set amount for clearing a field, etc.) <input type="checkbox"/> By production (by amount of coffee harvested, etc.) <input type="checkbox"/> By contract (once they finish their 2-month contract, etc.) <input type="checkbox"/> By harvest season <input type="checkbox"/> Other. How: | <p>As we established before, workers who are paid by piece rates or tasks shall not be paid less than the legally established minimum wage for their work during regular working hours, regardless of production.</p> <p>Furthermore, as established before, payment shall be made in regular intervals, and never less often than twice per month. As such, calculation of payment by harvest season or by length of contract can lead to non-compliance, or, if advances are given on an estimate, a potential issue at the end of the season if there was an over-payment through advances.</p> |

| Wages and Payment | | |
|-------------------|--|---|
| Q. 7.2 | <p>How are workers paid? (<i>Select all that apply</i>)</p> <ul style="list-style-type: none"> <input type="checkbox"/> We pay heads of household and they distribute the money to their family members. <input type="checkbox"/> We pay labor brokers and they distribute the money to the workers they recruit and/or manage. <input type="checkbox"/> They receive in-kind payments (food, housing, etc.). <input type="checkbox"/> Other (depending on the answer) | <p>While none of the answers inherently convey a potential labor risk for workers, it is important to note that depending on the conditions of the employment, payment structure, and vulnerability of the worker, the supervisory role could be one that inflicts labor risk or abuse for a worker. For example, in cases where the labor broker is the one who procures housing for, pays for the work, accounts for the production of the worker, and supervises as well, the worker may find themselves vulnerable, for example when the labor broker makes <i>uninformed</i> discounts on worker's salary for services provided (e.g., food and/or meals).</p> |
| Q. 7.3 | <p>Are workers provided with any written records of their pay and deductions (paystubs, receipts, etc.)?</p> <ul style="list-style-type: none"> <input type="checkbox"/> No | <p>Workers shall be provided with pay slips that itemize earnings, hours worked, and deductions. When necessary, verbal explanations of earnings and deductions shall be provided in</p> |

| Wages and Payment | | |
|-------------------|--|---|
| Q. 7.3.1 | <p>What information is included in these payment records? <i>(Select all that apply)</i></p> <p>All the options given are considered best practices and should be included in the payment records given to workers.</p> | <p>a language workers can understand.</p> <p>The provision of payment records can be immensely beneficial to both workers, labor intermediaries, and producers as they provide evidence of compliance with contracts and responsibilities and also provide potential protection from complaints or grievances should they arise as all parties can refer to a common document to clarify and misunderstandings or mistakes.</p> |
| Q. 7.4 | <p>How often are workers paid? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> Daily <input type="checkbox"/> Each week <input type="checkbox"/> Every 2 weeks <input type="checkbox"/> Every month <input type="checkbox"/> At the end of their contract <input type="checkbox"/> At the end of the harvest season | <p>All payments to workers shall be made directly to workers in regular intervals (as established by law) and never less often than bimonthly.</p> |

| Wages and Payment | | |
|--------------------------|---|---|
| Q. 7.5 | <p>Do you guarantee that all workers are paid at least the minimum wage for their work, including those on piece rate, and seasonal workers?</p> <p><input type="checkbox"/> No</p> | <p>As we established above, workers who are paid by piece or task shall not be paid less than the legally established minimum wage for their work during regular working hours, regardless of production.</p> |

| Health & Safety | | |
|-----------------|---|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 8.1 | Do you provide workers with any training on occupational health and safety? <input type="checkbox"/> No | <p>Training of workers can be both a great tool and resource as well as an important responsibility for employers. Training workers can help them understand their responsibilities and expectations better, improve productivity and reduce risks. Best practices state that workers shall be made aware of their rights and responsibilities at the time of hiring, as well as the terms and conditions of their employment contract, the provisions of the code of conduct, and all applicable laws and regulations.</p> <p>Workers must receive trainings on company rules and procedures upon arrival at the worksite, as well as on complaint and grievance mechanisms, living arrangements (if provided or provided by the company), and working conditions, including occupational hazards and necessary preventive measures to guarantee worker safety.</p> <p>For more information the reader may want to refer to <i>Tool 7- Guidance on Communicating Objectives and Standards Across the Supply Chain</i>.</p> |
| Q. 8.1.1 | <p>What topics are covered in their health and safety trainings? <i>(Select all that apply)</i></p> <p>All of the options given are considered important topics that workers would ideally receive training and instruction on a regular basis.</p> | |

| Health & Safety | | |
|-----------------|---|---|
| Q. 8.2 | <p>Do you provide any of the following equipment to workers? <i>(Select all that apply)</i></p> <p>All of the equipment listed is considered essential safety equipment needed for different tasks typically undertaken in a coffee farm and should be available to workers who undertake those tasks.</p> | <p>Depending on the type of work the worker is engaged in one or multiple of these pieces of equipment. Best practices dictate that workers should be trained on the usage of the equipment necessary for the work they will be doing, including the safety equipment, and shall receive both the training and the equipment free of charge.</p> <p>Additionally, workers shall not be fined or unfairly punished for failing to utilize PPE or for damaging or losing PPE.</p> |
| Q. 8.3 | <p>Do workers have to pay for any of this equipment? <i>(Select all that apply)</i></p> <ul style="list-style-type: none"> <input type="checkbox"/> They must pay for all the equipment provided to them. <input type="checkbox"/> They must pay for some of the equipment. <input type="checkbox"/> They have to pay if they damage their equipment. <input type="checkbox"/> They have to pay if they lose their equipment. | |
| Q. 8.4 | <p>Do workers have access to: <i>(Select all that apply)</i></p> <p>All of the answers are considered best practices and workers should be provided with all three to foster a safe and healthy work environment.</p> | |

| Living Conditions | | |
|-------------------|--|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 9.1 | Do any of your workers provided with accommodation? <input type="checkbox"/> Yes | As with many of the cases above, the fact that accommodations are provided to workers (and their families) doesn't imply necessarily some form of labor risk, however it does increase the potential of it if it is not done properly (regardless of whether it is you or the employer who provides it). For example, in the case of workers who stay with their families in the housing provided, this may increase the possibility of child labor, or, when combined with piece rate pay, the possibility that worker's partners contribute to their production without being accounted as a worker in their own right. |
| Q. 9.1.1 | Are families, including children, allowed to stay in the provided accommodation? <input type="checkbox"/> Yes | |
| Q. 9.1.2 | For those who are provided with accommodation, who provides the workers with the accommodation? <input type="checkbox"/> You <input type="checkbox"/> The labor broker <input type="checkbox"/> Other (please describe) | |

| Living Conditions | | |
|-------------------|---|--|
| Q. 9.2 | <p>Who pays for worker accommodations? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> The worker <input type="checkbox"/> You <input type="checkbox"/> The broker | <p>Who pays for the housing may be determined by local laws. In some countries workers who live further than a determined distance from their workplace must be given lodging as part of their employment. As such, workers shall not be charged for housing in violation of local laws or in excess of local equivalent rentals.</p> <p>Furthermore, employer-provided or arranged worker accommodation, and food storage, preparation, and dining areas, shall be clean, safe, hygienic, and in compliance with applicable country and international standards. It shall have freely accessible potable water, hygienic washing and toilet facilities, adequate light, heat and ventilation, and food storage and preparation facilities.</p> <p>Worker housing shall also have adequate emergency exits, alarms, and fire suppression equipment and provide workers with adequate personal space and privacy, as well as individual lockable compartments for storing personal items and valuables.</p> |
| Q. 9.3 | <p>Do the accommodations have the following: (Select all that apply)</p> <p>All of the provided answers are considered best practices and should be, ideally, provided in the housing provided to workers</p> | <p>Worker housing shall also have adequate emergency exits, alarms, and fire suppression equipment and provide workers with adequate personal space and privacy, as well as individual lockable compartments for storing personal items and valuables.</p> |
| Q. 9.4 | <p>Does the farm/worksites have a store?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes | <p>Farm or worksite stores are, as with many other topics on this document, do not inherently present risks, but open the possibility to risk quickly if not managed properly. This can be especially true when workers do not have the possibility of accessing other shops or means of procuring goods, be it because of isolation, or imposed restrictions by the farm owners or others.</p> |
| Q. 9.4.1 | <p>Do workers have access to other stores besides the farm/worksites store?</p> <ul style="list-style-type: none"> <input type="checkbox"/> No | <p>Farm or worksite stores are, as with many other topics on this document, do not inherently present risks, but open the possibility to risk quickly if not managed properly. This can be especially true when workers do not have the possibility of accessing other shops or means of procuring goods, be it because of isolation, or imposed restrictions by the farm owners or others.</p> |

| Living Conditions | | |
|-------------------|---|--|
| Q. 9.4.2 | How does the farm/worksite store charge workers for the goods they purchase? <ul style="list-style-type: none"> <input type="checkbox"/> Workers can purchase goods on credit <input type="checkbox"/> Purchases are deducted from wages <input type="checkbox"/> Other (please describe) | The reason farm stores can lead to labor risk issues is that, especially when there are no alternatives, prices can easily be inflated, or overinflated beyond a reasonable amount. Furthermore, if workers are also able to procure goods on credit, or against their future earnings, workers may not be able to discern if they've overspent, which could lead to debts they cannot repay, especially if linked to inflated prices and high interest rates. |
| Q. 9.4.3 | If workers can purchase goods on credit, do they: <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Incur any interest? <input type="checkbox"/> Have to pay their debts before leaving the farm? <input type="checkbox"/> Have their debts deducted from their pay? | As such, farm stores shall ensure that goods are provided at fair and reasonable prices and that workers are provided with written receipts that detail the cost of each item. |
| Q. 9.4.4 | Are the prices at the farm/worksite store the same as the local market price? <ul style="list-style-type: none"> <input type="checkbox"/> No | If workers purchase goods on credit, they shall be provided with written records of the amount owed, and the cost of goods purchased shall not be deducted directly from workers' salary or wages. |

| Grievance Mechanisms | | |
|----------------------|---|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 10.1 | Do you have any mechanisms by which workers can report any issues or concerns that they may have? <ul style="list-style-type: none"> <input type="checkbox"/> No | Producers should ensure that there is a confidential and effective grievance mechanism to ensure that any worker can file a complaint without being subjected to any type of retaliation. The grievance mechanism should be easy to use and understand and appropriate for workers' level of literacy, language fluency, and technology access. |
| Q. 10.1.1 | Is the grievance mechanism confidential? <ul style="list-style-type: none"> <input type="checkbox"/> No | Ideally, the grievance mechanism would: |
| Q. 10.1.2 | Are workers who file complaints or grievances protected from retaliation? <ul style="list-style-type: none"> <input type="checkbox"/> No | Ideally, the grievance mechanism would: |

| Grievance Mechanisms | | |
|----------------------|--|--|
| Q. 10.1.3 | <p>What are the features of your grievance or complaint mechanism? <i>(Select all that apply)</i></p> <p>All of the options given are considered best practices and efforts should be made to ensure a number of them, if not all, are true of a farm’s grievance mechanism.</p> | <ul style="list-style-type: none"> • Be available in workers' native languages, including indigenous languages. • Allow workers to confidentially report grievances to individuals other than their supervisors or labor brokers. • Necessarily include a procedure for management to follow-up on reported grievances that is communicated to workers, a system to remediate issues reported, and an appeals process in the case that workers are not satisfied with the resolution. • Encourage workers to share their concerns about working conditions and health and safety at work and to report hazardous conditions to management and/or government authorities without being subjected to any form of reprisal. • Prohibit that Workers who report grievances shall be subjected to any form of penalty, dismissal, discrimination, harassment, or reprisal of any kind. <p>For more information the reader may want to refer to <i>Tool 4- Sample Code of Conduct Provisions</i>.</p> |
| Q. 10.1.4 | <p>Do you share with the workers the outcomes of the complaints they addressed?</p> <p><input type="checkbox"/> No</p> | |
| Q 10.1.5 | <p>Can workers report a grievance anonymously?</p> <p><input type="checkbox"/> No</p> | |