

# LISTA DE CHEQUEO 3E PARA PROVEEDORES, VERSIÓN 1.3, 2023



3E SECTION	CRITERIA	INDICATOR	Documentation required	Conformity (Yes/No)	Findings Description of conformity/non conformity	Document name provided as evidence
ELEVAR PROSPERIDAD Y CREACIÓN DE VALOR COMUNIDADES PROSPERAS	1. Promotion and protection of health and wellbeing	1. Does your Organization have a policy that promotes access to medical services, emergency management and first aid for its employees and those in the supply chain?	Yes, it requires			
		2. From the following strategies, select which ones are implemented by your Organization to guarantee access to medical services, emergency management and first aid for your employees and those of your supply chain. Strategies must include at least one of the following ones: • Payment of compulsory medical insurance • Payment of prepaid medicine • Payment of private emergency service • Complete and current first-aid kit • Emergency brigade • Training	Yes, it requires			
		3. Please choose which social activities are performed or promoted by your organization to guarantee the well-being of the producers. Activities must include one of the following options: • Health group activities • Payment of insurance against accidents • Training for health care • Access to first aid kits • If others, mention which one	Yes, it requires			
		4. MAJOR INDICATOR Does your organization have policies and programs that guarantee decent working conditions for its employees, such as good treatment, welfare services, freedom of association, attention to complaints and open lines of dialogue with workers and activities to promote the good organizational climate?	Yes, it requires			
		5. MAJOR INDICATOR Does your Organization implement actions to ensure compliance with good working conditions and in its supply chain to ensure ? Actions must include at least one of the following options: • Access to safe and habitable housing • Access to sanitary services • Access to safe water • Access to dining tables	Yes, it requires			
		6. What monitoring actions are implemented in your Organization and in your supply chain to guarantee good working conditions? • Internal audits • External audits • Implementation of projects in the field • Training activities	Yes, it requires			
	2. Transparency and traceability	1. MAJOR INDICATOR Does your organization have a written procedure that ensures the management plan to guarantee the chain of custody and economic transparency procedure of the coffees that have sustainability seals? (Example: Rainforest, UTZ, Fairtrade, C.A.F.E. Practices, Organic, 4C, other Direct trade standards).	Yes, it requires			
		2. MAJOR INDICATOR Does your organization maintain records that guarantee the traceability of the coffee sold? Records must include: • Volume purchased • Volume sold • Quantity in storage • Information by supplier • Place where the coffee was processed • Place where the coffee was purchased • Place where the coffee was produced	Yes, it requires			
		3. MAJOR INDICATOR Does your Organization have a policy to ensure ethical and responsible business conduct in its own operations and in its supply chain? (The policy must contain compliance with national legislation and actions to prevent cases of corruption, extortion and money laundering).	Yes, it requires			
		4. MAJOR INDICATOR What mechanisms are implemented by your organization to guarantee transparency in negotiations at the level of its suppliers and at the producer level? Actions must include at least one of the following options: • Market information • Price publication • Quality conditions • Formal contracts • Formal billing • If other, mention which one	Yes, it requires			
		5. Does your Organization monitor the FOB price transferred to the producer for your transactions, guaranteeing that the price you receive corresponds to the quality of the coffee sold by the producer?	Yes, it requires			
		6. Does your Organization have a grievance mechanism in place that enables stakeholders to raise complaints of being negatively affected by its operations? The grievance mechanism should include at least the following elements: • Should be freely available • A grievance committee to evaluate and resolve the grievances (impartial). • The grievance mechanism has appropriate submission channels. • Allows any affected stakeholder to file a complaint (employees, farm owners, community members, suppliers, others). • Anonymous grievances are accepted • Protection and confidentiality is respected • It includes investigation process, deadlines and corrective action process.	Yes, it requires			
		7. Do the producers associated with your organization or that belong to associations in your supply chain receive information and are trained in good corporate governance? Trainings should cover at least the following topics: • Cooperatives and associativity • Solidarity economy • Assemblies participation • Cooperative sustainability • Wellbeing services • Others	Yes, it requires			
		8. Do you have an updated list of the producers that participate in your supply chain? The list template should include at least: • Name • Gender • Total area • Area under coffee • Production per year • Farm location (Country, region, municipality) • GPS points	Yes, it requires			
		9. Does Your Organization perform sustainability risk assessments to determine its own level of compliance and of the members of its supply chain (Suppliers, subcontractors, producers) and based on this, designs continuous improvement plans, monitors and follows up every year. Evaluation should include: • High-risk sustainability practices and human rights must be evaluated. • There is a plan to resolve all non-conformities found. • Improvement continuous improvement plans.	Yes, it requires			
	3. Access to drinkable (safe) water	1. MAJOR INDICATOR In your organization and in your supply chain are implementing actions to promote access to safe water for all? Actions should include: • Provide water filters • Provide safe water (Bottled water, potable water dispenser, chlorine tablets) • Work jointly with other organizations, NGOs. • Offer training in procedures of safe water. • If others, mention which one.	Yes, it requires			
	4. Productivity and profitability	1. Your Organization sponsors or supports field programs, focused on increasing productivity? Options should be: • Soil analysis • Fertilization practices and access to fertilizers (Good management , records and reduce of synthetic inputs) • Materials for coffee tree renovation (prioritizing resistant coffee varieties, and avoiding use of GMO) • Techniques and tools for renovation • Conduct GAP trainings	Yes, it requires			
		2. Does your organization manage trainings so that producers in your supply chain are aware of and implement Good Agricultural Practices, quality management, post-harvest and handling practices according to applicable national programs/standards?	Yes, it requires			

		<p>3. Does your organization implement strategies to promote an increase in the income of producers and the optimization of their production costs? Strategies should include the following activities:</p> <ul style="list-style-type: none"> <li>• Implements income diversification projects (Crop diversification, food security activities, food product entrepreneurship)</li> <li>• Trains and provides material for all income and cost management of the producer family (software, books)</li> <li>• Provides technical assistance.</li> </ul>	Yes, it requires			
		<p><b>1. MAJOR INDICATOR</b> Does your Organization have a Social Policy/Declaration that guarantees compliance with Human Rights and is aligned with national legislation, both internally and for your supply chain? The policy should include the following elements:</p> <ul style="list-style-type: none"> <li>• Aligned with UN Guiding Principles for Business and Human Rights</li> <li>• Oversight and responsibility for these policies and their implementation is assigned to senior management</li> <li>• Specified HR: no discrimination of any kind, no human trafficking, freedom of association and organization, no discrimination, retaliation against union, worker representatives, no forced labor, there is not restriction of movement, equal treatment, no forced eviction, protection of children, no child labor, no overtime schooling for children under 15 years</li> </ul>	Yes, it requires			
		<p><b>2. MAJOR INDICATOR</b> Which of the following measures are implemented to communicate the social policy of your Organization? Policy communication should meet at least one of the following strategies:</p> <ul style="list-style-type: none"> <li>• It is published in a visible place</li> <li>• It is sent by mail</li> <li>• It is shared in meetings</li> <li>• It is signed by all parties</li> </ul>	Yes, it requires			
		<p><b>3. MAJOR INDICATOR</b> Does your Organization have a due diligence protocol to avoid the presence of cases of child labor and forced labor, within the organization and its supply chain? The protocol should include:</p> <ul style="list-style-type: none"> <li>• It should be documented</li> <li>• Remediation measures in case the risk situation arises</li> </ul>	Yes, it requires			
		<p><b>4. MAJOR INDICATOR</b> Does your Organization implement actions to guarantee compliance with Human Rights? (No discrimination of any kind, no trafficking in persons, freedom of association and organization, no forced labor, equal treatment, no forced eviction, child protection, child labor prevention). Actions should include at least one of the following strategies:</p> <ul style="list-style-type: none"> <li>• Internal audits</li> <li>• External audits</li> <li>• Implementation of projects in the field</li> <li>• Training activities</li> </ul>	Yes, it requires			
		<p><b>5. MAJOR INDICATOR</b> Does your organization manage training so that its suppliers (Cooperatives, Associations, producers) are aware of the minimum practices to guarantee compliance with Human Rights? • Supplier should have trainings records.</p>	Yes, it requires			
		<p><b>6. MAJOR INDICATOR</b> Does your Organization promote gender equity and social inclusion in project participation, access to services and benefits, and in decision-making processes? • Performances an analysis of gender equity and social inclusion and identifies their needs • Monitors participation indicators % of women, youth and marginalized groups in their projects and contracts at the corporate level • Has a written statement in which it commits to promote gender equity and inclusion • Has projects with a gender focus • Has a committee responsible for enforcing the gender equity and social inclusion policy • If other, mention which one</p>	Yes, it requires			
		<p>Does your Organization have an Organizational Policy that guarantees compliance with national labor legislation and OIT conventions within your organization and for your supply chain? The policy should include:</p> <ul style="list-style-type: none"> <li>• Compliance with applicable laws and relevant standards in relation to worker rights &amp; conditions, health &amp; safety, including ILO conventions.</li> <li>• Oversight and responsibility for these policies and their implementation is assigned to senior management</li> <li>• Includes, but is not limited to: signing of labor contracts, payment of minimum wages on a regular basis and guaranteeing equal remuneration for permanent and temporary employees, prevention of child labor for children under the age of 15 and ensuring national regulations, prevention against the worst forms of child labor, no retention of documentation, no withholding of wages as forms of threat or disciplinary action, no force to work to pay debts, voluntary overtime work and payments in accordance with the legislation, respect and compliance with the laws of indigenous peoples, compliance with</li> </ul>	Yes, it requires			
		<p><b>2. MAJOR INDICATOR</b> How does your Organization communicate the labor law compliance policy within your company and in your supply chain? •</p> <ul style="list-style-type: none"> <li>• Publish it in a visible place</li> <li>• send it by mail</li> <li>• share it in meetings</li> <li>• Have it signed by all parties</li> </ul>	Yes, it requires			
		<p><b>3. MAJOR INDICATOR</b> Does your Organization implement actions to ensure compliance with labor legislation for each of these elements: payment of minimum wages on a regular basis and guaranteeing equal remuneration for permanent and temporary employees, prevention of child labor, prevention against the worst forms of child labor, there is no withholding of documentation, nor withholding of wages as forms of threat or disciplinary action, voluntary overtime work and payments in accordance with the legislation, respect and compliance with the laws of indigenous peoples, compliance with legal requirements for hiring foreigners and immigrants.</p> <ul style="list-style-type: none"> <li>• Internal audits</li> <li>• External audits</li> <li>• Implementation of projects in the field</li> <li>• Training activities</li> </ul>	Yes, it requires			
		<p>1. Does your Organization have a policy or procedure that promotes the implementation of practices for the identification and management of occupational risks, in accordance with national laws? The policy should include, at least one of the following elements:</p> <ul style="list-style-type: none"> <li>• The definition of procedures and measures implemented to identify, assess and manage risks in work areas.</li> <li>• Maintain and periodically review records of all work-related accidents, incidents and illnesses.</li> <li>• Adjust its procedures periodically to minimize the risk of occupational accidents.</li> </ul>	Yes, it requires			
		<p>protection</p> <ul style="list-style-type: none"> <li>• Training</li> <li>• Internal audits</li> <li>• External audits</li> <li>• Identification, evaluation and mitigation of risks</li> <li>• Delivery of elements to ensure safety at work</li> <li>• Reports and analysis of accidents at work</li> <li>• First aid trainings</li> <li>• Health promotion activities</li> <li>• Adaptation for safe workplaces.</li> <li>• Implement a mechanism to respect the Maximum Residue Limit (MRL) of the country of destination.</li> </ul>	Yes, it requires			
		<p>3. Select which of the following strategies are implemented by your organization to ensure compliance with occupational health and safety practices in your supply chain according to agronomic recommendations and national legislation: Supplier should meet at least one of the following strategies:</p> <ul style="list-style-type: none"> <li>• Training in identification and prevention of occupational hazards</li> <li>• Safe storage and handling practices of agrochemicals</li> <li>• Identification of agrochemicals allowed by national and international legislation</li> <li>• Instructions for handling and calibration of tools</li> <li>• Safe use of agricultural machinery</li> <li>• Emergency management</li> <li>• Training for the proper use of personal protective equipment</li> <li>• Access facilities to personal protective equipment and agrochemical storage warehouses</li> </ul>	Yes, it requires			
		<p>4. Does your organization have an integrated pest and disease management plan that prioritizes the use of cultural practices over the use of agrochemicals and, in case their use is required, does not allow the use of agrochemicals that appear on the list of banned pesticides at any stage of the supply chain following agronomic recommendations and national legislation. The plan should include:</p> <ul style="list-style-type: none"> <li>• The use of protective equipment.</li> <li>• Safe use of agrochemicals</li> <li>• Promotion of practices to reduce the use of agrochemicals, and pesticides in the Phase-out GCP yellow list phased out by 2030, if feasible</li> <li>• Storage and disposal of containers</li> <li>• Correct use of agrochemical applicators</li> <li>• Agrochemical application records</li> <li>• List of products that can be applied and those that cannot (prohibited list of agrochemical)</li> </ul>	Yes, it requires			
		<p><b>1. MAJOR INDICATOR</b> Does your Organization have a policy/statement that promotes conservation, protection of natural resources and compliance with national legislation? The policy should include:</p> <ul style="list-style-type: none"> <li>• Compliance with applicable laws and relevant standards in relation to environmental protection, deforestation, biodiversity, waste and wastewater management.</li> </ul>	Yes, it requires			

EMPODERAR  
EMPODERAMIENTO SOCIAL  
RESPECTO A LOS DERECHOS  
FUNDAMENTALES Y LABORALES

5. Human Rights

6. Labor legislation

7. Health and safety at workplace

EDUCAR PRÁCTICAS DE AGRICULTURA REGENERATIVA	8. Protection and conservation of natural resources (regenerative agriculture practices)	<b>2. MAJOR INDICATOR</b> Does your organization implement actions to guarantee the protection and conservation of natural resources according to applicable national GAP programs/standards: • Waste minimization • Recycling, composting • Energy saving • Water saving • Reforestation • Forest protection • Protection of vulnerable species • Protection of water sources and soil • Erosion control • Reduction in the use of agrochemicals	Yes, it requires			
		<b>3. MAJOR INDICATOR</b> Which of the following actions are implemented in your organization to ensure that as of January 1, 2014 there is no destruction of natural forests, protected areas, or highly important ecosystem resources according to applicable national GAP programs/standards. Actions should meet: • Has a purchasing policy associated with zero deforestation • Promotes organic agriculture • Protection of natural forests • Training • Has a map that identifies protected areas • Performs internal and external audits.	Yes, it requires			
		4. In your Organization and supply chain, do you carry actions to guarantee the protection or biodiversity and ensure that there are no signs of extraction, hunting or threat of wildlife? Actions should meet the follow activities: • Prepares and socializes a list of threatened and endangered species (Based on the IUCN red list) • Carries out training about biodiversity protection • Performs internal inspections • Manages the return of species to their natural habitat • Provides material for the prohibition of hunting practices • Does not promote the use of animals for coffee processing • If sources are in critical stage or overused, your organization promotes producers to engage with local stakeholders to	Yes, it requires			
		5. Does your Organization have a plan to prevent or avoid the destruction of ecosystems and wetlands, caused by solid and liquid waste dumping as per applicable national GAP programs/standards? Actions should meet at least the following activities: • Promotes the implementation of buffer zones • Generates instructions for the proper application of pesticides and fertilizers • Manages revegetation plans in buffer zones • Manages investment for the construction of water treatment systems • Performs periodic water quality analysis • In case of use central milling stations it meets legal wastewater quality parameters. • If other, mention which one	Yes, it requires			
		6. Does your Organization adopt actions to guarantee the responsible consumption of water in the productive activities of your supply chain? • Carries out trainings to producers • Promotes the measurement of water consumption • Manages investment to replace traditional milling systems • Promotes infrastructure changes to facilitate water saving • Promotes coffee processing in mills • If other, mention which one	Yes, it requires			
		7. Mention what alternatives are implemented in your organization and in your supply chain, to save energy Company has: • An energy saving plan • Identified the energy sources it consumes • Has energy consumption records and manages optimization plans • Promotes the use of energy-efficient dry mill infrastructure • Makes investments to implement renewable energy source.	Yes, it requires			
		8. Does your organization have a general map where the production areas of where your supply chains are located are located? The map should include the following elements: • The map is up to date • It locates the cultivation areas • It locates the protection areas and the water sources • Identification of water sources known or considered to be in critical stage or overused	Yes, it requires			
	9. Adaptation and mitigation to climate change	<b>1. MAJOR INDICATOR</b> Does your organization have a program to measure carbon footprint? Specify what level • Own operation • Supply chain • Farm level				
		2. Has your organization conducted a carbon footprint inventory and measurement? Specify what level • Own operation • Supply chain • Farm level	Yes, it requires			
		3. Does your organization have a plan to manage the carbon footprint of its supply? Supplier should have: • Carbon footprint measurement results • Decarbonization activities to be implemented • Identification of the climate change related risk	Yes, it requires			
		4. If your previous answer is yes, please mention your CO2 reduction target for 2030.	Yes, it requires			
		5. Does your organization have a training plan to help suppliers and/or producers to understand, adapt and mitigate the risks associated with climate change.	Yes, it requires			