



DOCUMENTATION REQUIRED FOR 3E SUSTAINABILITY SCHEME

Introduction

The purpose of this document is to provide support and reference to all interested parties wishing to obtain a 3E recognition, both for suppliers, farm owners, technical teams and evaluators. This list of required documents must be presented to the evaluator in order to validate compliance with the indicators that the checklists indicate as requiring documentary review. This documentation must be presented at the time of the evaluation in order to be considered a Compliant for these indicators, otherwise it will be considered a non-compliance.

1. List of indicators that require documentation for suppliers: Coffee exporting/trading companies.

Criteria	Indicator	Documentary reference
1. Promotion, protection of health and wellness	1. Does your organization have a policy/procedure that promotes access to medical, emergency management and first aid services for your employees and those in your supply chain?	Documentary evidence of a policy that promotes access to medical services, emergency management and first aid. Example: emergency care plans, legal employee benefits, extra-legal benefits, training, photos or emergency committee reports.
	2. Of the following strategies, select which ones are implemented by your Organization to ensure access to medical services, emergency management and first aid for your employees and those in your supply chain? Options should include some of the following - Payment of mandatory health insurance. - Payment of prepaid medicine - Payment for private emergency services - Full and current first aid kit - Emergency brigade - Training courses	Records of payment of compulsory insurance or prepaid medicine. Document agreement with private emergency services. Present evidence of first aid kit, complete and with current dates. Document that evidences the formation of the emergency brigade. Records of training in emergency management.



	<p>3. What social activities are carried out or promoted by your organization to ensure the welfare of producers.</p> <p>The options should include some of the following:</p> <ul style="list-style-type: none"> - Health access days - Accident insurance payments - Health care training - Access to first aid kits - other, please specify 	<p>Photographic records and/or reports on scheduled health days.</p> <p>O Accident insurance payments.</p> <p>O Complete and current first aid kits.</p>
	<p>4. MANDATORY Does your organization have policies and programs that ensure 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 a good organizational climate?</p>	<p>Written policy/statement.</p>
	<p>5. MANDATORY Does your organization and supply chain promote the implementation of actions to ensure compliance with good working conditions?</p> <p>Actions should include some of the following</p> <ul style="list-style-type: none"> - Access to safe and habitable housing - Access to sanitation - Access to safe water - Access to canteens 	<p>Investment projects in related topics.</p>
	<p>6. What monitoring actions are implemented in your organization and in your supply chain to ensure good working conditions?</p> <ul style="list-style-type: none"> - Internal audits - External audits - Implementation of field projects - Training activities 	<p>Reporting results on implemented actions: external/internal audits, investment projects, training lists.</p>
2. Transparency and traceability	<p>MANDATORY Does your organization have a written procedure that ensures the management plan to guarantee the chain of custody and economic transparency of coffees with sustainability seals? (Example: RFA, UTZ, FT, C.A.F.E. Practices, Organic, 4C, other Direct Trade standards).</p>	<p>Traceability and chain of custody procedure for differentiated coffees.</p>



	<p>2. MANDATORY Does your organization keep records that guarantee the traceability of the marketed coffee: 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).</p>	<p>Example of traceability document flow: Purchase contracts, invoices, remittances, threshing cuts, purchase of coffee from producers.</p>
	<p>3. MANDATORY Does your Organization have a policy to ensure ethical and responsible business conduct of its own operations and its supply chain? (The policy should contain compliance with national legislation and actions to prevent cases of bribery, corruption, extortion and money laundering).</p>	<p>Signing of agreements or bipartite business code of conduct.</p>
	<p>4. MANDATORY What mechanisms are implemented by your organization to ensure transparency in negotiations at supplier and producer level (Market information, Price publication, Quality conditions, Formal contracts, Formal invoicing, Other, please specify)?</p>	<p>Records of communications that are implemented to ensure transparency in negotiations.</p>
	<p>5. Does your Organization monitor the FOB price transferred to the producer for its transactions ensuring that the price received corresponds to the quality of the coffee sold by the producer?</p>	<p>Price payment monitoring reports to producers</p>
	<p>6. Does your organization have a formal procedure for receiving and resolving complaints and grievances from stakeholders affected by your operations? The procedure should include the following elements:</p> <ul style="list-style-type: none"> - It should be freely available. - It has a grievance evaluation and resolution committee. - It has a clear channel for lodging complaints. - Allows any affected stakeholder to file a complaint (employees, farm owners, community members, suppliers, others). - Allows anonymous complaints - Includes protection mechanisms for those who file complaints 	<p>If you require a Complaints and Grievance Procedure, the document must demonstrate that it includes everything required by the criteria.</p>



	- Has an investigation process, timelines and corrective action processes.	
	<p>7. Do producers associated with your organization or belonging to associations in your supply chain receive information and training on good corporate governance practices?</p> <p>Training should include one of the following topics:</p> <ul style="list-style-type: none"> - Cooperativism and associativity - Courses on solidarity economy - Assemblies - Cooperative sustainability - Access to welfare packages - Others 	Training records. Minutes of meetings.
	<p>8. Do you have an updated list of producers participating in your supply chain?</p> <p>The list should include, but not be limited to:</p> <ul style="list-style-type: none"> - Name - Gender - Total area - Area in coffee - Estimated coffee production per year - Location (region, municipality, village, etc.) - GPS points. 	Updated list of producers that includes at least: names, gender, total area, area in coffee, estimated production, location, GPS points (for farms larger than 4Ha GPS points and Polygons).
	<p>9. Your Organization performs sustainability risk assessments to determine its own level of compliance and that of its supply chain members (Suppliers, subcontractors, producers) and based on this designs continuous improvement plans, monitors and follows up on an annual basis.</p> <p>The evaluation should include:</p> <ul style="list-style-type: none"> - Compliance with high risk sustainability and human rights practices. - Continuous improvement plans 	Self-assessment report on compliance with sustainability schemes.



3. Access to safe water	<p>MANDATORY Are actions implemented in your organization and supply chain to promote access to safe water?</p> <p>Actions should include some of the following:</p> <ul style="list-style-type: none"> - Provides water purification filters. - Provides safe water (water bottles, water dispensers, chlorine tablets, etc.) - Manage solutions with other organizations (construction or repair of aqueducts). - Schedules for training in safe water procedures - Performs physico-chemical analysis of water sources in a community - Other, please specify 	Photographic records on the implementation of projects, photos or minutes of filter deliveries, training material, training lists, agreements with organizations to solve access to safe water, among others.
4. Productivity and profitability	<p>1. Does your organization sponsor or support field programs focused on increasing productivity?</p> <p>The options should be any of the following:</p> <ul style="list-style-type: none"> - soil analysis - Access to fertilizers - Planting material for renovation - Techniques and tools for renovation 	Records of deliveries or agreements for soil analysis, support for fertilizer acquisition, delivery of chapolas for renovation or records of training to increase productivity.
	<p>2. Does your organization manage training for the producers in your supply chain to be aware of and implement Good Agricultural Practices, quality management and post-harvest handling?</p>	Training records.
	<p>3. Does your organization implement strategies to promote the increase of producers' income and the optimization of their production costs?</p> <p>Within the strategies to increase income and optimize production costs the organization should:</p> <ul style="list-style-type: none"> - Manages income diversification projects (Crop diversification, food security, marketing of food products). - Train and provide material for farm cost management (brochures, applications). - Provide technical support 	Project reports.



5. Human Rights	<p>MANDATORY Does your Organization have a Social Policy/Statement that ensures compliance with Human Rights and is aligned with national legislation, both internally and for your supply chain? The Social Policy should be aligned with UN Human Rights and should mention as a minimum:</p> <ul style="list-style-type: none"> - Compliance with applicable national laws and international conventions on human rights, labor rights and conditions, health and safety. - Non-discrimination of any kind, no human trafficking, freedom of association and organization, no forced labor, equal treatment, no forced eviction, child protection, no child labor, promotion of children's schooling. 	Example of human rights policy/declaration.
	<p>2. MANDATORY Does your Organization implement strategies to communicate your Organization's social policy? You must comply with at least one of the following strategies:</p> <ul style="list-style-type: none"> - It is posted in a visible place - It is sent by mail - Socialized in meetings - Signed by all parties (Employer/Employee) 	Records on the communication of the corporate HR policy.
	<p>3. MANDATORY Does your Organization have a due diligence protocol in place to prevent the occurrence of child labor and forced labor, within the organization and its supply chain? The protocol must include:</p> <ul style="list-style-type: none"> - It should be documented - Remediation measures in case the risk situation arises. 	Human Rights Due Diligence Protocol.



	<p>4. MANDATORY Does your Organization implement actions to ensure compliance with Human Rights? (no discrimination of any kind, no human trafficking, freedom of association and organization, no forced labor, equal treatment, no forced eviction, child protection, prevention of child labor). Actions must include at least one of the following options: - Internal audits - External audits - Implementation of field projects - Training activities</p>	<p>Results reports on the actions implemented.</p>
	<p>5. MANDATORY Does your organization provide training so that your suppliers (Cooperatives, Associations, producers) are aware of the minimum practices to ensure compliance with Human Rights? - Do you have lists of attendance to these trainings?</p>	<p>Training records</p>
	<p>6. MANDATORY Does your organization promote gender equity and social inclusion in project participation, access to services and benefits, and decision-making processes? - Carries out a gender equity and social inclusion analysis and identifies its needs - Tracks indicators of % participation of women, youth and marginalized groups in its projects and hiring at the corporate level - Has a written statement of commitment to promoting gender equity and inclusion - Has a committee responsible for enforcing the gender equity and social inclusion policy. - Has projects with a gender focus - Other: please specify</p>	<p>Gender equity policy. Strategies implemented. Gender equity committee. Reports on gender equity analysis.</p>



6. Labor legislation	<p>MANDATORY Does your Organization have a Policy that ensures compliance with national labor legislation and ILO conventions within your organization and for your supply chain?</p> <p>The policy should include but not be limited to:</p> <ul style="list-style-type: none"> - Mention compliance with national laws and international conventions related to labor rights and conditions, including ILO agreements. - Oversight and implementation of the policy is assigned to the company's senior management. - It should include issues such as: Signing of labor contracts, payment of minimum wages on a regular basis, prevention of child labor, prevention of the worst forms of child labor, no withholding of documentation, no withholding of wages as a form of threat or disciplinary action, voluntary overtime work and payments in accordance with legislation, respect and compliance with the laws of indigenous peoples, compliance with legal requirements for hiring permanent, temporary, foreign, and immigrant workers. 	<p>Compliance policy on labor rights and national labor legislation.</p>
	<p>2. MANDATORY 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"> - Is posted in a visible place - Sent by mail - Socialized in meetings - Signed by all parties 	<p>Records on labor policy communication</p>



	<p>3. MANDATORY Your Organization implements actions to ensure compliance with labor legislation for each of these elements: payment of minimum wages on a regular basis, prevention of child labor, prevention against the worst forms of child labor, no withholding of documentation, no withholding of wages as a form of threat or disciplinary action, voluntary overtime work and payments in accordance with 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"> - Internal audits - External audits - Implementation of field projects - Training activities 	Results reports on the actions implemented.
7. Occupational health and safety	<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?</p> <p>The policy should include, but not be limited to:</p> <ul style="list-style-type: none"> - The definition of procedures and measures implemented to identify, assess and manage risks in work areas. - Maintaining and periodically reviewing records of all work-related accidents, incidents and illnesses. - Periodically adjust its procedures to minimize the risk of occupational accidents. 	Risk management statement, risk identification and assessment matrix, risk management and risk reduction procedures.



	<p>2. Mention which of the following strategies are implemented by your organization to ensure occupational health and safety protection:</p> <ul style="list-style-type: none"> - Trainings - Internal audits - External audits - Identification, evaluation and mitigation of risks - Provision of elements to ensure safety at work - Reports and analysis of work accidents - First aid training - Health promotion workshops - Adequacy for safe workplaces 	<p>Training records, audit reports, personal protective equipment delivery records.</p>
	<p>Select which of the following strategies are implemented by your organization to ensure compliance with occupational health and safety practices in your supply chain:</p> <p>You must comply with any of the following actions.</p> <ul style="list-style-type: none"> - Training in identification and prevention of occupational hazards - Safe storage and handling practices for agrochemicals. - Identification of agrochemicals allowed by national and international legislation. - Instructions for handling and calibrating tools - Safe use of agricultural machinery - Emergency management - Training for the proper use of personal protective equipment. - Access to personal protective equipment and agrochemical storage warehouses. 	<p>Training records.</p> <p>Communication forms safe storage procedures, identification of prohibited agrochemicals.</p> <p>Records of delivery of warehouses for storage of agrochemicals, delivery of personal protective equipment.</p>



	<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, if required, does not allow the use of agrochemicals that appear on the WHO list of banned pesticides at any stage of the supply chain?</p> <p>The plan should include:</p> <ul style="list-style-type: none"> - Use of protective equipment - Use of agrochemicals - Correct storage and disposal of empty containers - Correct use of agrochemical applicators - Application records - List of products that can and cannot be applied. - Emergency protocol in case of intoxication. - Training courses 	Pest and disease management plan.
8. Protection and conservation of natural resources (regenerative agriculture practices).	<p>1. MANDATORY Does your Organization have a signed policy/statement that promotes conservation, protection of natural resources and compliance with national legislation?</p> <p>The policy includes at a minimum:</p> <ul style="list-style-type: none"> - Compliance with applicable laws and relevant standards regarding environmental protection, deforestation, biodiversity, waste and wastewater management 	Policy / statement on the conservation of natural resources.



	<p>2. MANDATORY Does your Organization develop actions to ensure the protection and conservation of natural resources:</p> <ul style="list-style-type: none"> - Waste minimization - Recycling, composting - Energy saving - Water saving - Reforestation - Forest protection - Species protection - Protection of water sources and soil - Erosion control - Reduction of agrochemical use - Regenerative agriculture practices. 	<p>Records and/or reports on actions implemented to ensure the protection and conservation of natural resources.</p>
	<p>3. MANDATORY Which of the following actions are implemented in your organization to ensure that as of January 01, 2014 there is no destruction of natural forests, protected areas, or highly important ecosystem resources: Actions should contain the following:</p> <ul style="list-style-type: none"> - Has a purchasing policy associated with suppliers with zero deforestation. - Promotes organic agriculture - Encourages the protection of natural forests - Provides training - Has a map identifying protected areas - Conducts internal and external audits. 	<p>Zero deforestation policy.</p> <p>Record of activities.</p> <p>Project reports.</p>
	<p>4. In your organization and supply chain, are actions taken to guarantee the protection of biodiversity and ensure that there is no evidence of extraction, hunting or threat to wildlife? Among the actions, the following options must be complied with:</p> <ul style="list-style-type: none"> - Compiles and socializes list of threatened and endangered species (Based on the IUCN red list). - Conduct training on biodiversity protection. - Conducts internal inspections to verify biodiversity protection. 	<p>Training records</p> <p>List of endangered species provided to producers.</p> <p>Results of internal inspections on environmental criteria.</p> <p>Delivery of materials to prohibit hunting practices on farms.</p>



	<ul style="list-style-type: none"> - 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 there is another one, mention which one 	
	<p>5. Does your Organization implement actions focused on the reduction of direct and indirect contamination of water sources, aquatic ecosystems and wetlands, caused by solid and liquid waste discharges?</p> <p>Within the actions, the following options must be complied with:</p> <ul style="list-style-type: none"> - Promote the implementation of buffer zones - Generate instructions with information for the proper application of pesticides and fertilizers. - Manage revegetation plans in buffer zones. - Manages investment for the construction of water treatment systems. - Performs water quality analysis periodically - If other, please specify 	<p>Project results reports. Material/equipment delivery records.</p>
	<p>6. Does your organization adopt actions to ensure responsible water consumption in your organization and in the productive activities of your supply chain?</p> <ul style="list-style-type: none"> - Conducts trainings on responsible water consumption - Promotes the measurement of water consumption - Manages investment to replace traditional beneficiation systems - Promotes the implementation of infrastructure changes to facilitate water savings - Encourages the processing of coffee in processing plants - Other, please specify. 	<p>Project results reports. Material/equipment delivery records.</p>



	<p>7. What alternatives are implemented in your organization and in your supply chain to save energy?</p> <ul style="list-style-type: none"> - Do you have an energy saving plan? - You have identified energy sources that consume energy. - It has energy consumption records and manages reduction and optimization plans. - Promotes the use of energy-efficient benefit infrastructure - Makes investments to implement renewable energy sources 	Evidence is required
	<p>8. Does your organization have a general map where the production areas of your supply chains are located?</p> <p>The map must comply with the following elements:</p> <ul style="list-style-type: none"> - The map is up to date - It locates the areas where crops are grown - It locates protection areas and bodies of water. 	Map of the location of the production area of the supply chain, updated.
9. Adaptation and mitigation to climate change	<p>1. MANDATORY Does your organization have a program to measure carbon footprint? At what level (own operation, supply chain, farm level, none of the above)?</p>	Results of the carbon footprint calculation and measurement project.
	<p>2. Has your organization conducted a carbon footprint inventory and measurement? At what level (own operation, supply chain, farm level, none of the above)?</p>	Results of the carbon footprint calculation and measurement project.
	<p>3. Does your organization have a plan for managing your supply chain's carbon footprint?</p> <p>You should have the following:</p> <ul style="list-style-type: none"> - Carbon footprint measurement results. - Activities to manage its reduction - Identification of risks that may arise due to climate change. 	Results of the carbon footprint calculation and measurement project. Carbon footprint management activities
	<p>4. If your answer above is yes, please define your CO2 emissions reduction target for 2030.</p>	CO2 reduction target by 2030.
	<p>5. Your organization has a plan to help suppliers and/or producers in your supply</p>	Training records,



	chain understand, adapt to and mitigate the risks associated with climate change.	Report of work with suppliers/producers to manage carbon footprint.
--	---	---