

The COFFEE Project

Cooperation On Fair, Free, Equitable Employment

Self-Assessment
Questionnaires for
Traders, Producers,
and Labor Brokers



VERITÉ
Fair Labor. **Worldwide.**

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Self-Assessment Questionnaires for Traders, Producers, and Labor Brokers

Introduction

This tool is one of 12 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). The tools can be used *a 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

STEP 1. Engage stakeholders and partners

Tool 1. Guidance on stakeholder engagement

STEP 2. Assess risk and impacts

Tool 2. Coffee sector Risk Map

Tool 3. Root cause analysis of labor violations in the coffee sector

STEP 3. Develop a code of conduct

Tool 4. Sample code of conduct clauses

Tool 5. Sample social responsibility agreement

Tool 6. Guidance on recruitment-related risks

STEP 4. Communicate and train across supply chain

Tool 7. Guidance on communicating objectives and standards across the supply chain

STEP 5. Monitor compliance

Tool 8. Guidelines on monitoring for certifiers and monitors

Tool 9. Self-assessment questionnaires for traders, producers, and labor brokers

STEP 6. Remediate violations

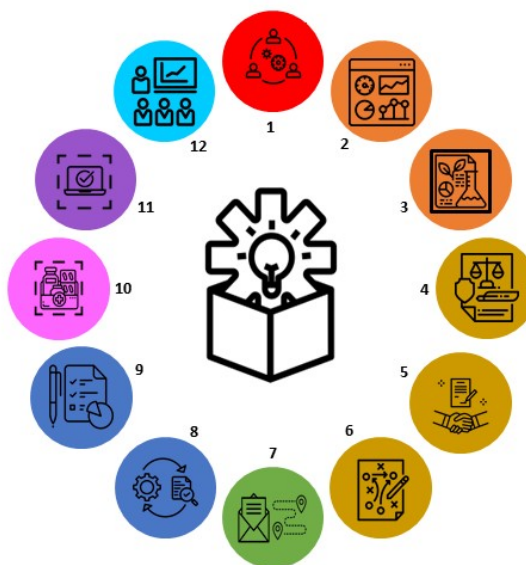
Tool 10. Framework on preventing and remediating labor violations

STEP 7. Independent review

Tool 11. Framework for independent verification

STEP 8. Report on performance

Tool 12. Guide on public reporting for private sector stakeholders



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.

These SAQs are geared towards helping coffee producers, traders, and labor brokers identify potential labor risks in their operations and supply chains 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 and accurately as possible so that the recommendations generated most closely meet your company’s needs.

Verité has developed three separate SAQs for coffee traders, coffee producers, and labor brokers. The interpretation guides for each of these SAQs, which include 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.” ¹ (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. |
| 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.” ² (ILO Convention No. 29) |

¹ International Labour Organization (ILO). *Global Estimate of Modern Slavery* 2017 https://www.ilo.org/wcmsp5/groups/public/@dgreports/@dcomm/documents/publication/wcms_575479.pdf

² International Labour Organization (ILO), *Forced Labour Convention, C29*, 28 June 1930, C29, <https://www.refworld.org/docid/3ddb621f2a.html> [accessed 20 December 2018]

| Term | Definition |
|--------------------------|---|
| Human Trafficking | <p>“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.”³ (The Palermo Protocol)</p> |
| Labor Broker | <p>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.</p> |
| Migrant Worker | <p>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.</p> |
| Immigrant Worker | <p>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.</p> |

³ 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 |
|-------------------------|--|
| 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.” ⁴ (Draft definition discussed on November 14-16, 2018 by the ILO’s Tripartite Meeting of Experts on Defining Recruitment Fees and Related Costs) |

Self-Assessment Questionnaire for Processors, Traders, and Roasters

| Sourcing | |
|----------|--|
| Q. 1.1 | Which of the following describes the traceability of your product to the farm level? <ul style="list-style-type: none"> <input type="checkbox"/> We require all our suppliers to provide traceability information. <input type="checkbox"/> We do not require suppliers to have traceability. (if selected, please continue to question 1.2) <input type="checkbox"/> We perform traceability independently as needed. <input type="checkbox"/> We require traceability from suppliers when required to do so by our customer(s). <input type="checkbox"/> Other (please describe): _____ |
| Q. 1.1.1 | Do you require any accompanying/supporting documentation for your product traceability? <i>(Select all that apply)</i> <ul style="list-style-type: none"> <input type="checkbox"/> Yes. <input type="checkbox"/> We do not require suppliers to have traceability documentation. |
| Q. 1.2 | From where does your company source coffee? <ul style="list-style-type: none"> <input type="checkbox"/> Directly from individual farms. <input type="checkbox"/> Non-farm suppliers (traders, mills, cooperatives). <input type="checkbox"/> Both. <input type="checkbox"/> Other (please describe): _____ |

⁴ 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

| Sourcing | |
|----------|---|
| Q. 1.3 | How many suppliers (farm and non-farm) do you source from? Number of farms: ____ Number of non-farm suppliers: ____ |
| Q. 1.4 | Have you identified of all the suppliers in your supply chain, all the way to the farm level? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 1.5 | Of the total volume sold last year, what percentage is traceable to the farm level? |
| Q. 1.5.1 | Please estimate the percent of farms (by number of farms) from which you source coffee: Small farms (20 ha or less) _____% Medium farms (21 ha – 100 ha) _____% Large farms or Estates (more than 100 ha) _____% |

| Standards and Policies | |
|------------------------|---|
| Q. 2.1 | Does your company have a Social Responsibility Policy or Code of Conduct expressing its commitment ensuring decent labor practices in its operations? <input type="checkbox"/> Yes <input type="checkbox"/> No (please continue to the next section “Supplier Screening”) |

| Standards and Policies | |
|------------------------|--|
| <p>Q. 2.2</p> | <p>What areas are covered by your Social Responsibility Policy or Code of Conduct? (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"/> Others (please describe): _____ <input type="checkbox"/> Not Applicable. We do not have an SR Policy or Code of Conduct. |
| <p>Q. 2.3</p> | <p>To which of the following does your policy or code apply? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Your company <input type="checkbox"/> Your company's parent company <input type="checkbox"/> Your company's owned and operated facilities and subsidiaries <input type="checkbox"/> All your company's suppliers <input type="checkbox"/> All labor brokers |

| Supplier Screening | |
|----------------------|---|
| <p>Q. 3.1</p> | <p>How do you screen prospective suppliers and business partners for their social responsibility performance? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Third-party audits <input type="checkbox"/> Visits to suppliers <input type="checkbox"/> Self-assessment questionnaires or surveys <input type="checkbox"/> Adverse media scans <input type="checkbox"/> Review of supplier policies <input type="checkbox"/> Informal screening (e.g. word of mouth) <input type="checkbox"/> We do not screen prospective suppliers for social responsibility performance. <input type="checkbox"/> Other. Please describe: _____ |

| Trade Facilitation and Trade Enforcement Act | |
|--|---|
| Q. 4.1 | <p>Has your company taken specific action because of the provisions of the U.S. Trade Facilitation and Trade Enforcement Act (TFTEA) of 2015?</p> <p><input type="checkbox"/> Yes, please elaborate: _____</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> We do not know about the TFTEA.</p> |

| Management and Accountability | |
|-------------------------------|---|
| Q. 5.1 | <p>Has your company designated a senior manager who is responsible for human rights performance in your supply chain?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No (If no, please skip to question 4)</p> |
| Q. 5.1.1 | <p>Is this senior manager responsible for policies and action/remediation on labor and human rights issues?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> |
| Q. 5.1.1.1 | <p>Does your senior manager regularly evaluate the effectiveness of your company's supply chain due diligence processes?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> |
| Q. 5.2 | <p>Does your company have a dedicated budget for human rights due diligence?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No (If no, please skip to next section called "Monitoring")</p> |
| Q. 5.2.1 | <p>Does your budget include dedicated resources to address supply chain labor risks?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> |

| Monitoring | |
|------------|--|
| Q. 6.1 | <p>Does your company conduct internal or external audits of suppliers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> We audit all direct suppliers on a regular basis. <input type="checkbox"/> We audit a given percentage or number of our suppliers on a regular basis. <input type="checkbox"/> Occasionally, only when we identify some sort of problem with a given supplier. <input type="checkbox"/> We rely on audits of producers performed by certification bodies. (e.g. Rainforest Alliance, Fair Trade USA, etc.) <input type="checkbox"/> No supplier is audited. |
| Q. 6.2 | <p>Of the total volume sold in the last year, what percentage purchased was certified? _____%</p> |
| Q. 6.3 | <p>In what ways, other than audits, do you monitor the human rights performance of your suppliers? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> We utilize SAQ's. <input type="checkbox"/> We have set KPIs for them to meet. <input type="checkbox"/> We have set metrics and reports that all suppliers complete on a regular basis. <input type="checkbox"/> We have informal check-ins with our suppliers. <input type="checkbox"/> We do media scans for any potential incidents. <input type="checkbox"/> We have no other forms of performance monitoring. |

| Communication and Training | |
|----------------------------|---|
| Q. 7.1 | <p>Does your company provide communication and training to your employees and your suppliers on human rights?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (If selected, please continue to the next section "Next Steps") |
| Q. 7.2 | <p>Which of the following trainings do you provide?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Labor and Human Rights issues <input type="checkbox"/> How to implement our code of conduct requirements <input type="checkbox"/> Our supply chain human rights due diligence process (i.e. how we manage supplier performance to our code of conduct) <input type="checkbox"/> Business Ethics (e.g. bribery and corruption, whistleblower protection) <input type="checkbox"/> Workplace grievance mechanisms <input type="checkbox"/> Other (please describe): _____ |

| Communication and Training | |
|----------------------------|--|
| Q. 7.3 | <p>To whom do you provide these trainings?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Our management <input type="checkbox"/> All our employees <input type="checkbox"/> Managers of our suppliers and business partners <input type="checkbox"/> Employees of our suppliers and business partners <input type="checkbox"/> Communities in our sourcing countries <input type="checkbox"/> Other (please describe): _____ |
| Q. 7.4 | <p>How do you provide communication and training on labor and human rights to your suppliers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Information on our web page <input type="checkbox"/> Online training (e-learning) <input type="checkbox"/> In-person training provided by our company or a third-party <input type="checkbox"/> Training by certification bodies (e.g. Rainforest Alliance, Fair Trade, etc.) <input type="checkbox"/> Training and communication from industry associations <input type="checkbox"/> Other (please describe): _____ |
| Q. 7.5 | <p>Does this supplier training include company policies and expectations related to labor issues?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |

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.⁵ <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? (Select all that apply)</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? (Select all that apply)</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. |

⁵ 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

How does your organization ensure that all workers understand the terms and conditions of their work contract?

(Select all that apply)

- The terms and conditions are explained verbally to all workers in their native languages, or a language they understand.
- Contracts are written in their native languages, or in a language they understand.
- Workers receive a copy of their written contract in their native languages, or in another language that they understand.
- The workers receive a written contract in the official language of the country, but there are no verbal explanations given.
- The terms and conditions are covered in a training/orientation session with the workers.
- Workers are given a verbal explanation of the terms and conditions
- We do not have any measures to make sure all workers understand their work contract's terms and conditions.
- Other (please describe): _____

Q 3.5

What is included in workers' contracts?

(Select all that apply)

- Workers are not provided with contracts
- A description of workers' rights and responsibilities
- The conditions of employment, including the start and end date of the employment contract
- The type of work and tasks the worker is expected to carry out
- The full name of the employer
- The location of the workplace
- Wages and benefits, including the rate and frequency of payment
- Working hours and overtime premiums
- Any occupational health risks to which workers may be exposed
- A description of worker accommodation and associated costs, if applicable
- Other (please describe): _____

Recruitment and Hiring

| | |
|---------------------|---|
| <p>Q 3.6</p> | <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

| | |
|------------------------|---|
| <p>Q. 4.1</p> | <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): _____ |
| <p>Q. 4.1.1</p> | <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): _____ |
| <p>Q. 4.2</p> | <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? (Select all that apply)</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. 5.3 | <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)? (Select all that apply)</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? (Select all that apply)</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? (Select all that apply)</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? (Select all that apply)</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 | <p>Do you provide workers with any training on occupational health and safety?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No (please skip to question 8.2)</p> |
| Q. 8.1.1 | <p>What topics are covered in their health and safety trainings? (Select all that apply)</p> <p><input type="checkbox"/> First Aid</p> <p><input type="checkbox"/> Agrochemical/pesticide handling and application</p> <p><input type="checkbox"/> Areas of the worksite that are dangerous</p> <p><input type="checkbox"/> How to properly use machinery, equipment, and tools</p> <p><input type="checkbox"/> When and how to properly use PPE</p> <p><input type="checkbox"/> Emergency procedures and responsible persons</p> <p><input type="checkbox"/> Heat stroke/heat exhaustion</p> <p><input type="checkbox"/> Hydration</p> <p><input type="checkbox"/> Other (please describe): _____</p> |
| Q. 8.2 | <p>Do you provide any of the following equipment to workers? (Select all that apply)</p> <p><input type="checkbox"/> Shears/cutting implements</p> <p><input type="checkbox"/> Respiratory protection (dust masks, organic vapor respirators)</p> <p><input type="checkbox"/> Hearing protection (Earplugs/earmuffs)</p> <p><input type="checkbox"/> Eye and face protection (Glasses/mesh face shields)</p> <p><input type="checkbox"/> Hand protection (Leather gloves or such)</p> <p><input type="checkbox"/> Head protection (Hard hats for machinery operators on coffee farms and all workers in coffee-processing plants and warehouses)</p> <p><input type="checkbox"/> Protective clothing (Cut-resistant aprons or chainsaw chaps)</p> <p><input type="checkbox"/> Safety footwear (Steel-toed boots or grip work boots)</p> |
| Q. 8.3 | <p>Do workers have to pay for any of this equipment? (Select all that apply)</p> <p><input type="checkbox"/> They must pay for all the equipment provided to them.</p> <p><input type="checkbox"/> They must pay for some of the equipment.</p> <p><input type="checkbox"/> They have to pay if they damage their equipment.</p> <p><input type="checkbox"/> They have to pay if they lose their equipment.</p> <p><input type="checkbox"/> All equipment is provided free of charge and workers are not charged if they damage or lose their equipment.</p> |

| Health & Safety | |
|-----------------|---|
| Q. 8.4 | <p>Do workers have access to: (Select all that apply)</p> <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 | <p>Do any of your workers provided with accommodation?</p> <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 | <p>Are families, including children, allowed to stay in the provided accommodation</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 9.1.2 | <p>For those who are provided with accommodation, who provides the workers with the accommodation?</p> <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 | <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 |

| Living Conditions | |
|-------------------|--|
| Q. 9.3 | <p>Do the accommodations have the following: (Select all that apply)</p> <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 | <p>Does the farm/worksites have a store?</p> <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 | <p>Do workers have access to other stores besides the farm/worksites store?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 9.4.2 | <p>How does the farm/worksites store charge workers for the goods they purchase?</p> <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 | <p>If workers can purchase goods on credit, do they: (Select all that apply)</p> <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 | <p>Are the prices at the farm/worksites store the same as the local market price?</p> <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. 10.1.1 | Are workers who file complaints or grievances protected from retaliation? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 10.1.1 | What are the features of your grievance or complaint mechanism? (Select all that apply) <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. 10.1.2 | Do you share with the workers the outcomes of the complaints they addressed? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q 10.1.3 | Can workers report a grievance anonymously? <input type="checkbox"/> Yes <input type="checkbox"/> No |

Self-Assessment Questionnaire for Labor Brokers

General Questions

| | |
|----------------------|--|
| <p>Q. 1.1</p> | <p>Do you have a signed contract with the company (farm, mill, etc.) that you recruit workers for?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> |
| <p>Q. 1.2</p> | <p>Does your contract contain any of the following clauses or topics? (Select all that apply)</p> <p><input type="checkbox"/> Compliance with local Labor Law</p> <p><input type="checkbox"/> Forced Labor & Human Trafficking</p> <p><input type="checkbox"/> Child Labor</p> <p><input type="checkbox"/> Discrimination & Equality</p> <p><input type="checkbox"/> Freedom of Association & Collective Bargaining</p> <p><input type="checkbox"/> Health & Safety</p> <p><input type="checkbox"/> Living Conditions</p> <p><input type="checkbox"/> Grievance Mechanisms</p> <p><input type="checkbox"/> Staff Training and Awareness</p> <p><input type="checkbox"/> Others: _____</p> |
| <p>Q.1.3</p> | <p>What roles do you fulfil for your employer (i.e. farm, cooperative, organization, company)? (Select all that apply)</p> <p><input type="checkbox"/> Advertising/informing workers about job opportunities</p> <p><input type="checkbox"/> Recruiting workers</p> <p><input type="checkbox"/> Transporting workers to and from their communities of origin</p> <p><input type="checkbox"/> Hiring workers</p> <p><input type="checkbox"/> Providing housing for workers</p> <p><input type="checkbox"/> Providing meals for workers at their housing or worksite</p> <p><input type="checkbox"/> Supervising workers</p> <p><input type="checkbox"/> Paying workers</p> <p><input type="checkbox"/> Other (please describe): _____</p> |
| <p>Q. 1.4</p> | <p>Are you licensed or registered with the appropriate government entity as a labor broker?</p> <p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> |

General Questions

| | |
|--------------|---|
| Q.1.5 | <p>How are you paid for your work? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Flat fee per worker placed <input type="checkbox"/> Flat fee per harvest season <input type="checkbox"/> Flat fee per worker managed/supervised <input type="checkbox"/> Annual Salary <input type="checkbox"/> Percentage of crew production <input type="checkbox"/> Percentage of farm's season harvest |
|--------------|---|

Recruitment Costs and Transportation

| | |
|-----------------|---|
| Q. 2.1 | <p>Does the farm pay all your expenses related to your activities, like interviewing, recruiting, evaluating, selecting, placing, and transporting workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 2.2 | <p>Do workers pay you or other labor brokers any recruitment, job placement, visa processing, or transport fees?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (Please continue to Q. 2.3) |
| Q.2.2.1 | <p>How are the fees paid? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Workers pay upfront <input type="checkbox"/> Fees are deducted from workers' pay overtime <input type="checkbox"/> Workers pay at the end of their employment <input type="checkbox"/> Other (please describe): _____ |
| Q. 2.2.2 | <p>Do workers have to take out loans to pay the fees?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (Please continue to Q. 2.2) <input type="checkbox"/> I do not know. |
| Q. 2.2.3 | <p>Do the loans you offer have any interest?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes. What percentage? _____ <input type="checkbox"/> No <input type="checkbox"/> I do not know. |

Recruitment Costs and Transportation

| | |
|---------|--|
| Q. 2.3 | <p>Do you charge workers any of the following?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Paperwork <input type="checkbox"/> Service fees <input type="checkbox"/> Convenience fees <input type="checkbox"/> Tax expenses <input type="checkbox"/> Evaluation Fees <input type="checkbox"/> Other fees (please describe): _____ |
| Q. 2.4 | <p>Who covers the costs of transporting workers from their communities to their place of employment? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> The worker <input type="checkbox"/> You <input type="checkbox"/> The employer |
| Q.2.4.1 | <p>Do you allow the families (spouses/children) of workers you have recruited to travel with the workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> Yes, if family pays for their transportation costs <input type="checkbox"/> No (please continue to Q. 2.5) |
| Q.2.4.2 | <p>Who do you allow to accompany the worker to the worksite? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Spouse <input type="checkbox"/> Children under minimum age of work <input type="checkbox"/> Children over the minimum age of work |

Contracts

| | |
|----------|--|
| Q. 3.1 | <p>How do you contract with workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> We provide a written contract <input type="checkbox"/> A verbal agreement (if selected, please skip to question 3.2) <input type="checkbox"/> Workers are not provided with a contract (if selected, please skip to question 3.2) <input type="checkbox"/> Other (please describe): _____ |
| Q. 3.1.1 | <p>Are the written contracts given to workers in a language they understand?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I do not know. |

| Contracts | |
|-----------------|---|
| Q. 3.1.2 | <p>When do workers sign their written contracts? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> The workers sign them before they leave their communities. <input type="checkbox"/> The workers sign them when they arrive at the worksite. <input type="checkbox"/> The workers do not sign their written contracts. <input type="checkbox"/> I do not know. |
| Q. 3.1.3 | <p>Do workers get a countersigned copy of their contracts?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I do not know. |
| Q. 3.1.4 | <p>Which of the following do the written contracts include?</p> <ul style="list-style-type: none"> <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 |
| Q. 3.2 | <p>What are the requirements for workers for terminating their employment?</p> <ul style="list-style-type: none"> <input type="checkbox"/> None. They can quit anytime, for any reason, without penalty. <input type="checkbox"/> They cannot terminate a contract before it ends. <input type="checkbox"/> They must give reasonable notice before they can terminate <input type="checkbox"/> They can terminate anytime but are penalized. Please describe the penalty: _____ <input type="checkbox"/> Other (please describe): _____ |
| Q. 3.3 | <p>Once the worker terminates a contract, who covers the costs of transporting them back to their communities of origin?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Worker <input type="checkbox"/> You <input type="checkbox"/> The employer |

| Discipline | |
|------------|--|
| Q. 4.1 | <p>Do you discipline workers for any of the following? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Being late/leaving work early without permission <input type="checkbox"/> Missing a day of work <input type="checkbox"/> Failing to meet a production quota <input type="checkbox"/> Failing to work overtime <input type="checkbox"/> Failing to pay debts on time <input type="checkbox"/> Bringing children to work <input type="checkbox"/> Bringing others to work with them <input type="checkbox"/> Losing tools/PPE/materials given to them <input type="checkbox"/> Being insubordinate (talking back, complaining, not obeying rules or orders) <input type="checkbox"/> Harassing other workers <input type="checkbox"/> Switching work assignment <input type="checkbox"/> Other (please describe): _____ |
| Q. 4.2 | <p>Which of the following measures do you use to discipline workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Pay cuts <input type="checkbox"/> Fines <input type="checkbox"/> Dismissal <input type="checkbox"/> Switching work assignment <input type="checkbox"/> Blacklisting <input type="checkbox"/> A progressive series of verbal and written warnings <input type="checkbox"/> Threats to fire workers <input type="checkbox"/> Threaten to fire family members <input type="checkbox"/> Change or reduce their working hours <input type="checkbox"/> Making them work longer than others <input type="checkbox"/> Other (please describe): _____ |

| Grievance Mechanisms and Resolution | |
|-------------------------------------|---|
| Q. 5.1 | <p>How can workers file complaints or report any workplace issues that they are having? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Talking directly to me (If selected, please continue to Q. 5.2) <input type="checkbox"/> A suggestion box <input type="checkbox"/> The farm has its own system <input type="checkbox"/> There is no system for workers to report grievances (If selected, please continue to Q. 5.2) <input type="checkbox"/> Other (please describe): _____ |

| Grievance Mechanisms and Resolution | |
|-------------------------------------|---|
| Q. 5.1.1 | Is the grievance/complaint mechanism confidential? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 5.1.2 | What are the features of your grievance or complaint mechanism? (Select all that apply) <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 (aka more than just a mailbox, or hotline, a farm employee, 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. 5.2 | Are workers who file a grievance or complaint protected against retaliation? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 5.3 | Do you share information with workers on how you or the farm are addressing their grievances? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Depends on the complaint/problem. |

| Training | |
|----------|---|
| Q. 6.1 | Do you provide workers with any type of training? <input type="checkbox"/> Yes <input type="checkbox"/> No (if selected, please skip to next section "Children and Families") |

| Training | |
|------------------------|---|
| <p>Q. 6.1.1</p> | <p>What topics are covered by trainings? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> How to do their job better <input type="checkbox"/> Health and safety <input type="checkbox"/> Worker responsibilities <input type="checkbox"/> Child labor and juvenile work <input type="checkbox"/> Worker's labor rights <input type="checkbox"/> The terms and conditions of their contracts <input type="checkbox"/> Sexual harassment <input type="checkbox"/> Complaint and grievance mechanisms <input type="checkbox"/> Living conditions <input type="checkbox"/> Other (please describe): _____ |
| <p>Q. 6.2</p> | <p>What topics are covered in their health and safety trainings? (Select all that apply)</p> <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 work equipment and tools <input type="checkbox"/> How to properly use PPE <input type="checkbox"/> When to use PPE <input type="checkbox"/> Emergency procedures and responsible persons <input type="checkbox"/> Heat stroke/heat exhaustion <input type="checkbox"/> Dehydration <input type="checkbox"/> Other (please describe): _____ |

| Children and Families | |
|-----------------------|--|
| <p>Q. 7.1</p> | <p>How do you make sure you are in compliance with national child labor laws? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> I rely on parents to monitor their children. <input type="checkbox"/> I inform all parents that child labor is not permitted. <input type="checkbox"/> I talk to workers on a regular basis to confirm they are of legal working age. <input type="checkbox"/> I require workers to submit official government ID, with date of birth, for employment. <input type="checkbox"/> I know the people in my community and hire only adults. <input type="checkbox"/> I monitor all work areas to ensure that no children are working. <input type="checkbox"/> Other (please describe): _____ |

Children and Families

Q. 7.2

How do you ensure that juvenile laborers (adolescents between the minimum age for work and 18 years of age) are working in legally permissible activities (including requirements related to hours of work, hazardous work, and school attendance)?

(Select all that apply)

- I conduct a thorough review of relevant laws and standards.
- I speak with workers on a regular basis.
- I train workers on the types of work that are and are not permitted for juvenile laborers.
- I post notices regarding permissible and non-permissible work.
- I refuse to hire anyone under the age of 18.
- I provide incentives to legally permitted workers under 18 to stay in school.
- I provide free transport to public schools.
- I conduct regular inspections of work areas.
- We do not have any procedures.

Health and Safety

Q. 8.1

Do you provide any of the following equipment to workers?

(Select all that apply)

- Shears/cutting implements
- Respirator protection (dust masks, organic vapor respirators).
- Hearing protection (Earplugs/earmuffs)
- Eye and face protection (Glasses/mesh face shields)
- Hand protection (Leather gloves or such)
- Head protection (Hard hats for machinery operators on coffee farms and all workers in coffee processing plants and warehouses)
- Protective clothing (Cut-resistant aprons or chainsaw chaps)
- Safety footwear (Steel-toed boots, or grip work boots)

Q 8.3

Do workers have to pay for any of this equipment?

(Select all that apply)

- They must pay for all the equipment provided to them.
- They must pay for some of the equipment.
- They have to pay if they damage their equipment.
- They have to pay if they lose their equipment.
- All equipment is provided free of charge and workers are not charged if they damage or lose their equipment.

Health and Safety

| | |
|---------------|---|
| Q. 8.4 | <p>Do workers have access to: (Select all that apply)</p> <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 |
|---------------|---|

Working Hours

| | |
|---------------|---|
| Q. 9.1 | <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. 9.2 | <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. 9.3 | <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. 9.4 | <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. If "Yes," please describe: _____ <input type="checkbox"/> No |
| Q. 9.5 | <p>Is Overtime ever mandated for any worker?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |

| Worker Supervision and Payment | |
|--------------------------------|---|
| Q. 10.1 | Who supervises the workers on the worksite? <ul style="list-style-type: none"> <input type="checkbox"/> A direct employee of the farm <input type="checkbox"/> Me <input type="checkbox"/> It depends on the situation |
| Q. 10.2 | Who pays the workers? <ul style="list-style-type: none"> <input type="checkbox"/> I pay workers directly. <input type="checkbox"/> The farm pays workers directly. <input type="checkbox"/> Another labor brokers or outside crew leader pays workers. <input type="checkbox"/> Other (please describe): _____ |
| Q. 10.2 | How often are the workers paid? <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. 10.3 | How are workers' wages calculated? <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: _____ |
| Q. 10.4 | Are workers provided with any written records of their pay and deductions (paystubs, receipts, etc.)? <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (if selected, please continue to question 9.6) |
| Q. 10.5 | What information is included in these payment records? (Select all that apply) <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"/> Detailed calculations of piece rate pay based on production/tasks completed <input type="checkbox"/> Deductions made from payment <input type="checkbox"/> Calculation of overtime payment |

| Worker Supervision and Payment | |
|--------------------------------|---|
| Q.10.6 | Do you guarantee that all workers are paid at least the legal minimum wage for their work, including workers on piece rate? <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |

| Living Conditions | |
|-------------------|---|
| Q. 11.1 | Are any of the workers you recruit, hire, and/or supervise 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 “International Recruitment”) |
| Q. 11.1.1 | 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. 11.1.2 | Who provides the workers with the accommodations? <ul style="list-style-type: none"> <input type="checkbox"/> You <input type="checkbox"/> The employer <input type="checkbox"/> Other (please describe): _____ |
| Q. 11.2 | If you provide the accommodation, who pays for it? (Select all that apply) <ul style="list-style-type: none"> <input type="checkbox"/> The worker <input type="checkbox"/> You <input type="checkbox"/> The employer <input type="checkbox"/> Other (please describe): _____ |

| Living Conditions | |
|-------------------|--|
| Q. 11.3 | <p>Does the accommodation have the following? (Select all that apply)</p> <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 <input type="checkbox"/> Other (please describe): _____ |
| Q. 11.4 | <p>Does the farm/worksite have a store?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No (if selected, please continue to next section “International Recruitment”) |
| Q. 11.4.1 | <p>Do workers have access to other stores besides the farm/worksite store?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 11.4.2 | <p>How does the farm/worksite store charge workers for the goods they purchase?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Cash only <input type="checkbox"/> Workers can purchase goods on credit <input type="checkbox"/> Deductions from wages <input type="checkbox"/> Other (please describe): _____ |
| Q. 11.4.3 | <p>If workers can purchase goods on credit, do they: (Select all that apply)</p> <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. 11.4.4 | <p>Are the prices at the farm/worksite store the same as the local market price?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No |

| International Recruitment | |
|---------------------------|--|
| Q. 12.1 | Do you or your associates recruit and/or hire foreign workers? <input type="checkbox"/> Yes <input type="checkbox"/> No (please continue to the “Next Steps” section) |
| Q. 12.2 | How do you hire foreign migrants? <input type="checkbox"/> Directly in their home countries <input type="checkbox"/> Using a formal, legally registered, 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 agency in the receiving country <input type="checkbox"/> Through informal labor brokers in the receiving country <input type="checkbox"/> Through official government programs. <input type="checkbox"/> Other. Please specify: _____ |
| Q. 12.2.1 | If you hire foreign migrant workers directly, are you or your local agent legally registered as a labor broker in the sending country? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Q. 12.2.2 | If you hire foreign migrant workers indirectly through an agent in the sending country, do you have a contract with that agent? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Q. 12.3 | Do you, or your associates facilitate the processing of any of the following for foreign migrant workers? (Select all that apply) <input type="checkbox"/> Visas <input type="checkbox"/> Passports <input type="checkbox"/> Transportation <input type="checkbox"/> Housing <input type="checkbox"/> Other. What? _____ |
| Q. 12.4 | Do foreign migrant workers pay any fees to get their jobs? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I do not know. |

| International Recruitment | |
|---------------------------|--|
| Q. 12.4.1 | <p>What do the fees cover?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Visas <input type="checkbox"/> Passports <input type="checkbox"/> Transportation <input type="checkbox"/> Trainings <input type="checkbox"/> Social Security in receiving country <input type="checkbox"/> Housing <input type="checkbox"/> Evaluation, selection, and/or placement <input type="checkbox"/> Other (please describe): _____ |
| Q. 12.5 | <p>How do you contract with foreign migrant workers?</p> <ul style="list-style-type: none"> <input type="checkbox"/> With a written contract <input type="checkbox"/> With a verbal agreement (if selected, please continue to the “Next Steps” section) <input type="checkbox"/> There is no contract (if selected, please continue to the “Next Steps” section) <input type="checkbox"/> Other (please describe): _____ |
| Q. 12.5.1 | <p>Are the written contracts given to workers in a language they understand?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I do not know. |
| Q. 12.5.2 | <p>When do workers sign their written contracts? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> The workers sign them before they leave their home countries. <input type="checkbox"/> The workers sign them when they arrive at the worksite. <input type="checkbox"/> The workers do not sign their written contracts. <input type="checkbox"/> I do not know. <input type="checkbox"/> Other (please describe): _____ |
| Q. 12.5.3 | <p>Do workers get a countersigned copy of their contracts?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> I do not know. |

International Recruitment

Q. 12.5.4

Which of the following do the written contracts include?

(Select all that apply)

- A description of workers' rights and responsibilities
- The conditions of employment, including the start and end date of the employment contract
- The type of work and tasks the worker is expected to carry out
- The full name of the employer
- The location of the workplace
- Wages and benefits, including the rate and frequency of payment
- Working hours and overtime premiums
- Any occupational health risks to which workers may be exposed
- A description of worker accommodation and associated costs, if applicable
- Other (please describe): _____

Next Steps

Please continue to Annex 1, which includes the interpretation guides for each SAQ. The interpretation guides include 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 assists 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 for the SAQ for Traders

NOTE: The interpretation guide below is a sample of the types of recommendations the interpretation guides will contain. There will be one for each SAQ, each of which will provide actionable recommendations based on respondents' answers. Because the recommendations will be directly related to each question in the SAQ, Verité felt it prudent to wait until the SAQ was finalized before developing the interpretation guides. However, feedback on this sample interpretation guide would be greatly appreciated.

| Sourcing | | |
|--------------|--|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 1.1 | Which of the following describes the traceability of your product to the farm level? <ul style="list-style-type: none"> <input type="checkbox"/> We do not require suppliers to have traceability. <input type="checkbox"/> We perform traceability independently as needed. <input type="checkbox"/> We require traceability from suppliers when required to do so by our customer(s). <input type="checkbox"/> Other | We recommend that you require that your suppliers document traceability to the farm level and provide you with information on all the actors in your supply chain to ensure that there are no gaps. We also recommend the implementation of systems, such as chain of custody certificates, to ensure accuracy. |
| Q. 1.1.1 | Do you require any accompanying/supporting documentation for your product traceability? (<i>Select all that apply</i>) <ul style="list-style-type: none"> <input type="checkbox"/> Yes. <input type="checkbox"/> We do not require suppliers to have traceability documentation. | |

| Sourcing | | |
|--------------|--|---|
| Question No. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations |
| Q. 1.2 | From where does your company source coffee? | While there are no specific answers that denote higher risk, it is important to recognize that the more intermediaries between you and the farm, the harder it may be to ascertain compliance and respect to policies. |
| Q. 1.4 | Have you identified of all the suppliers in your supply chain, all the way to the farm level? <input type="checkbox"/> No | When a company is not able to ascertain where the coffee they are sourcing is coming from down to the farm level, there is an increased risk of potential labor violations along the way and lack of ability for the company to detect them and implement any corrective actions. |
| Q. 1.5 | Of the total volume sold last year, what percentage is traceable to the farm level? | We recommend that your company request information from suppliers about all the farms on which the coffee that you purchase is produced in order to ensure traceability. |

| Standards and Policies | | |
|------------------------|--|---|
| Question no. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations. |
| Q. 2.1 | Does your company have a Social Responsibility Policy or Code of Conduct expressing its commitment ensuring decent labor practices in its operations? <input type="checkbox"/> No | A supply chain Code of Conduct establishes basic performance expectations for subcontractors, suppliers, and agents. It is important that your company policy or Code of Conduct explicitly prohibits labor violations and sets out protections for workers. An ideal policy/code would apply to both your company and your suppliers, as well as your company's owned and operated facilities and subsidiaries. It would include documented processes and procedures that describe how each of your policy requirements should be implemented in your company's operations. The policy would be publicly available, on your website, for example, and would be endorsed or signed by your CEO/President/Director. It would be regularly reviewed and updated with stakeholder input and would ideally cover all the topics listed on Q. 2.2. |

| Standards and Policies | | |
|------------------------|---|--|
| Question no. | Answers with Potential Risks | Interpretation Guide and Best Practices/Recommendations. |
| Q. 2.2 | <p>What areas are covered by your Social Responsibility Policy or Code of Conduct?</p> <ul style="list-style-type: none"> <input type="checkbox"/> <input type="checkbox"/> _____ <input type="checkbox"/> Not Applicable. We do not have an SR Policy or Code of Conduct | |
| Q. 2.3 | <p>To which of the following does your policy or code apply? (Select all that apply)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Your company <input type="checkbox"/> Your company's parent company <input type="checkbox"/> Your company's owned and operated facilities and subsidiaries <input type="checkbox"/> All your company's suppliers <input type="checkbox"/> All labor brokers | |