

Version 1.0

Supplier evaluation checklist

Soy from Bolivia



COUNTRY SPECIFIC
TOOLS



This tool has been developed by NEPCon under the project “Responsible Sourcing of Soy, Palm Oil and Cattle” with support from DANIDA, Ministry of Foreign Affairs of Denmark.



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Supplier Name:

Address:

Material Type:

Material Certification:

Date of evaluation:

Description of evaluation

Document Guidance

Please fill out this form by indicating 'Y' for Yes or 'N' for No or 'N/A' for not applicable for each numbered indicator if the supplier is compliant with the indicator. If 'Y' is indicated, please also tick the 'DOC' column if a copy of the required document has been submitted with this form. For all 'N/A' answers please provide an explanation for why the indicator is not applicable.

The red dot ● next the indicator highlights where there has been an elevated risk detected at the national level for soy in Bolivia and thus it is obligatory to fill out and provide more information on the red dotted indicators.

Y/N

DOC

1. The supplier is compliant with all the relevant laws which applicable to the business, and has records of this.

1.1. The supplier has a valid, non-contested and appropriate land tenure right, that is registered.

Document required:

- Property of Title (Titulo Ejecutorial)
- Cadastral Certificate (the document that attests to the current rights held)
- Transfer Registration (the document that shows the updating of the current cadastral registry recorded in the name of a specific landowner, by the name of the new acquirer, the product of the transfer (purchase-sale, exchange, donation, acknowledgement of rights, inheritance, advance gift to heirs, etc.), division or fusion of the property registered).
- Land rent and leasing form contract – property that is rented. The contract should verify the land is rented under long-term contract conditions.

1.2. The supplier has all relevant farm registration and management rights.

Document required:

- Identity Card (Cedula de identidad)
- Taxpayer Identification Number (Número de Identificación Tributaria (NIT, Spanish acronym))
- Registration of the Unified Farming Regime (Régimen Agrario Unificado (RAU)) for small and medium producers.
- Property of Title (Titulo Ejecutorial)
- Authorized Plan for Land Use Changes
- Property Zoning Plan (Plan de Ordenamiento Predial)
- Official maps from Authority for Auditing and Socialization of Forests and Lands (Autoridad de Fiscalización y Socialización de Bosques y Tierras (ABT))

2. The supplier fulfils all obligatory taxes, fees and business information disclosure required for conducting the defined business activities.

	Y/N	DOC
<p>2.1. The supplier met all legal obligations regarding the payment of value added taxes (VAT) and other sales taxes.</p> <p>Document required:</p> <p>Applicable for large producers and companies (which can be confirmed via RAU registration):</p> <ul style="list-style-type: none"> • Taxpayer Identification Number (Número de Identificación Tributaria (NIT)) • Forms 200 and/or 210 monthly submissions to confirm monthly VAT payments respectively • Purchase/Sales Journal (Libro de Compras y Ventas (LCV) and • Value Added Tax (VAT) monthly summary statement • Annual company report • Sales documents shall include applicable VAT. 		
<p>2.2. The supplier met all legal obligations regarding the payment of income and profit taxes.</p> <p>Document required:</p> <ul style="list-style-type: none"> • Consult the National Taxation Service and verify the supplier is abiding by the relevant corporate income tax requirements and check the validity of: <ul style="list-style-type: none"> ◦ NIT (Número de Identificación Tributaria) Registration number ◦ National Taxation Service (Impuestos Nacionales) Report ◦ Submission of sworn statements • Verify that Corporate Income Tax (IUE) payments have been made through seeking the following relevant forms: <ul style="list-style-type: none"> ◦ Form 500 for companies required to keep accounting records or Form 520 for companies not required to keep accounting records. ◦ Form 605 – for financial statements or annual reports submissions. 		
<p>3. The supplier to applicable information disclosure legislation and requirements.</p>		
<p>3.1. The supplier met all legal obligations for regular business reporting to ensure information disclosure and transparency.</p>		

	Y/N	DOC
Document required: <ul style="list-style-type: none"> • Registration of the Unified Farming Regime (Régimen Agrario Unificado (RAU)) for small and medium producers. • Applicable only for large producers and companies (which can be confirmed via RAU registration) registration certificate and operating License with the Chamber of Commerce Registry of Bolivia (Registro de Comercio de Bolivia (SENAREC) • Consult the National Taxation Service to verify suppliers are complying with tax requirements (also see 2.1 and 2.2). • NIT (Número de Identificación Tributaria) Registration number • Tax Exemption Certificate • National Taxation Service (Impuestos Nacionales) Report • Form 701 for RAU taxes payment - submission of sworn statements • Review publications to verify whether the suppliers have met the requirement to publish their annual reports and balance statements. • Required public reports (Reports and balance statements) • Fundempresa Registration 		
4. The supplier adheres to applicable transport, trade, import or export regulations, procedures and restrictions.		
4.1. Products are correctly classified (species, quantities, qualities etc.) on sales documents, custom declarations and other legally required documents.		
Document required: <ul style="list-style-type: none"> • Registration in the Trade Registry • Bill of Lading • Commercial Invoice • Packing List • Single Port Document - Documento Unico Portuario (DUP) • Road Transport Document 		
4.2. Customs regulations Importers. If the supplier is an importer, they comply with regulations on customs procedures, and have the following documents:		

	Y/N	DOC
<ul style="list-style-type: none"> • Bill of Lading • Commercial Invoice • Packing List • Customs Transit Document • Single Port Document - Documento Unico Portuario (DUP) • Customs import declaration • Road transport document <p>Exporters. If the supplier is an exporter, they comply with regulations on legal export dossier, and possess the following documents:</p> <ul style="list-style-type: none"> • Export permit • Customs export declaration • Customs transit document • Commercial invoice • Packing list • Inspection Report (Fuerza Especial de Lucha Contra el Narcotráfico) • Bill of Lading • Collection order 		
5. The supplier complies with all requirements associated with legal employment.		
<p>5.1. Labour contracts exist for all employees and the names of all employees are included on the supplier's payroll.</p> <p>Document required:</p> <ul style="list-style-type: none"> • Mandatory Employee Registry (Registro Obligatorio de Empleadores (ROE)) • Cross check the ROE with a sample of Employee Identify Card (Cédula de Identidad (CI)) 		
<p>5.2. The supplier pays employees at least the minimum wage (2000 BOB/Month (as of 2017)) and the employees do no work more hours than the maximum of 6 days/week.</p> <p>Document required:</p> <ul style="list-style-type: none"> • Verify a sample of employee payslips • Bank certification of assets 		

6. The supplier complies with the International Labour Organisations Fundamental Conventions (which relate to observance of minimum working age and fair pay, forced and child labour, discrimination, freedom of association and collective bargaining)

- 6.1. The minimum age by law (10 – 14 years old) is observed for all personnel involved in farm management activities.

Document required:

- Mandatory Employee Registry (Registro Obligatorio de Empleadores (ROE) cross check the ROE with a sample of Employee Identify Card (Cédula de Identidad (CI)
- Note: The law states that the minimum working age is 14; however, the Child and Adolescent Ombudsman's Office may permit children as young as 10 to work if the child chooses to do so voluntarily and he or she works independently or with the family

- 6.2. The supplier ensures workers such as females, minorities, handicapped etc. are not discriminated against during their recruitment and the duration of their employment.

Document required:

- Proof of a policy and procedures are place to ensure discrimination does not occur.

- 6.3. The supplier supports all workers having the right to join or form trade unions/worker associations of their own choosing and to bargain collectively. (This is only applicable in situations where a private company has 20 or more employees. The law permits only one union per enterprise).

Document required:

- Proof of an employee's union or worker's association.

- 6.4. The supplier does not engage in forced or compulsory labour.

Document required:

- Labor Department Report (Oficina de empleo)?
- Mandatory Employee Registry (Registro Obligatorio de Empleadores (ROE)
- Cross check the ROE with a sample of Employee Identify Card (Cédula de Identidad (CI)

Y/N

DOC

7. The supplier complies with all occupational health and safety requirements.

<p>7.1. The supplier has a designated health and safety (H&S) manager, or someone in senior management is responsible for overseeing health and safety management. (Note: this is elevated risk for for non-registered RAU companies only)</p> <p>Document required:</p> <ul style="list-style-type: none"> • Proof of required employee contract and/or organisational structure/organigram. • Evidence of mandatory social security registration with the Institute of National Occupational Health (Instituto Nacional de Salud Ocupacional (INSO)) • Proof H&S (combined occupational hygiene, safety and wellbeing) committees have been established 		
<p>7.2. The supplier organises regular health and safety training for all permanent and temporary workers.</p> <p>Document required:</p> <ul style="list-style-type: none"> • Occupational health, hygiene and safety plan • Evidence of listed H&S events and training 		
<p>7.3. The supplier has identified health and safety risks posed to all workers and has taken actions to prevent accidents, injuries or health issues by ensuring:</p> <ul style="list-style-type: none"> ○ the workplaces, machinery, equipment and processes are safe; ○ any chemical, physical and biological substances/agents are without risk to workers' health and application levels are in accordance with the law; ○ adequate clothing and protective equipment are provided. <p>Document required:</p> <ul style="list-style-type: none"> • Verify that the general occupational risk survey was conducted with the Santa Cruz office of the Ministry of Labor, Employment and Wellbeing (Ministerio de Trabajo, Empleo y Previsión Social) • First Aid Manual • Evidence of personal safety equipment being delivered • Records of pre-employment and annual medical exams • Records of workplace accidents 		

	Y/N	DOC
<p>7.4. The supplier ensures workers have access to clean toilet facilities and to safe drinking water, and, if applicable, clean and safe accommodations and cooking facilities.</p> <p>Document required:</p> <ul style="list-style-type: none"> Occupational health, hygiene and safety plan 		
<p>7.5. The organisation conducts regular health & safety inspections and keep management systems documents up to date.</p> <p>Document required:</p> <ul style="list-style-type: none"> Occupational health, hygiene and safety plan Records of workplace accidents 		
<p>8. The supplier respects and upholds the rights of indigenous and traditional peoples.</p>		
<p>8.1. The supplier respects and upholds the rights of indigenous and traditional peoples and the business is not involved in any outstanding disputes of substantial magnitude with indigenous or traditional communities.</p> <p>Document required:</p> <ul style="list-style-type: none"> Verify land tenure in compliance with 1.1 and evidence of the absence of significant disputes over land use rights. Obtain a map (if available a GIS map) identifying the location and borders of indigenous peoples' territories and/or traditional local communities. Verify whether a conflict management mechanism has been established and there are Copies of negotiated agreements detailing the process of free, prior and informed consent are available (if applicable). Evidence of a mutually agreed upon and documented system for dealing with complaints and grievances and that it is accessible and agreed upon by all affected parties. 		
<p>9. The supplier is compliant with all the relevant environmental and protected areas/species laws and High conservation values have been maintained.</p>		
<p>9.1. The supplier complies with all the relevant environment laws and regulations.</p> <p>Document required:</p>		

	Y/N	DOC
<ul style="list-style-type: none"> Evidence environmental impact management complies with current legislation through evidence of: <ul style="list-style-type: none"> Environmental Impact Study (in accordance with Law 13000) Property Zoning plan (Plan de Ordenamiento Predial - POP) Mitigation Plan Approved of burning permit (Government Resolution 131/97 and Law 741) Licenses permit for Chemical use issued by National Registry of Agricultural Inputs (if applicable) 		
<p>9.2. The suppliers farm has not been established within the boundaries of formally protected areas and/or the supplier has the required permits to allow operations within the protected area(s).</p> <p>Document required:</p> <ul style="list-style-type: none"> Cross check the soy farm's Property Zoning Maps Property Zoning plan (POP) against: <ul style="list-style-type: none"> Santa Cruz Land Zoning Map Maps of national and provincial protected areas 		
<p>9.3. The supplier ensures any species that have official protected status in the country are protected within the boundary of the farm and are not threatened by any farm activities and High Conservation Values are being maintained.</p> <p>Document required:</p> <ul style="list-style-type: none"> State Territory Zoning Plan (PDOT, Spanish acronym) Evidence of management plans for rare, threatened or endangered species (RTE), habitats and ecosystems include actions for their protection have been developed and are implemented. It also includes actions for critical ecosystem/protective forests services (HCV4); AND/OR Evidence that there is a conservation management plan for HCVs within the farm area Evidence that comprehensive biodiversity surveys and a High Conservation Value (HCV) assessment have been completed [https://www.hcvnetwork.org/als/public-summaries] 		

	Y/N	DOC
<ul style="list-style-type: none"> Evidence of listed activities that are restricted or controlled on the establishment (hunting, fishing, use of fire, disposing of garbage, etc.) Restoration and/or monitoring plan for HCV areas 		
10. The supplier has not been responsible for converting natural forest or natural ecosystems to soy farms since 2005.		
<p>10.1. The supplier has not been not apprehended for illegal conversion of natural forests/ecosystems.</p> <p>Document required:</p> <ul style="list-style-type: none"> Verify that native forests are managed in accordance with Law 1333, Law 1700 and its regulation DS 24453 on conservation, management and conversion of forests through: <ul style="list-style-type: none"> Property of Title (see 1.1) Property Zoning Plan (Plan de Ordenamiento Predial) Official ATB maps Authorized Plan for Land Use Changes (ATB) 		
<p>10.2. The supplier has not been responsible for converting natural forest or natural ecosystems into soy plantations after 2005.</p> <p>Document required</p> <ul style="list-style-type: none"> Official ATB data and maps Authorized Plan for Land Use Changes (ATB) before 2005 Property Zoning Plan 		
<p>10.3. The supplier has not used fire to convert natural forest or natural ecosystems into soy plantations after 2005.</p> <p>Document required</p> <ul style="list-style-type: none"> Verify whether burning takes place on the soy farm and if land is prepared by burning. ABT Hotspot Monitoring (Monitoreo de focos de calor) If burning is used, then demonstrate that legal authorization has been obtained before conducting the burn evidence shall be presented that good management practices are used to control and prevent fires through an existence of a manual for the use of fire and prevention measures and: 		

	Y/N	DOC
<ul style="list-style-type: none"> Approval of burning permit (Government Resolution 131/97 and Law 741) Property Zoning plan (Plan de Ordenamiento Predial - POP) which should contain the geographic coordinates demarcating the location of the property and the area permitted to be burned. 		
11. The supplier does not produce or use genetically modified (GM) soy.		
<p>11.1. The supplier has not used or farmed genetically modified soy.</p> <p>Document required:</p> <ul style="list-style-type: none"> Verify with the INIAF registry that the producer is not registered and is a not a GMO producer: http://www.iniaf.gob.bo/ Organic soy certificate – if applicable 		

About

Responsible Sourcing of Soy, Cattle and Palm Oil

Responsible Sourcing of Soy, Cattle and Palm Oil is a project aimed at creating awareness and capacity among Danish companies to minimise risks of social and environmental problems connected to sourcing palm oil, soy and cattle from developing countries. The project is run by NEPCon and SEGES and funded by DANIDA, Ministry of Foreign Affairs of Denmark.



NEPCon (Nature Economy and People Connected) is an international, non-profit organisation that builds commitment and capacity for mainstreaming sustainability. Together with our partners, we foster solutions for safeguarding our natural resources and protecting our climate.

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