

Version 1.0 | August 2017

Supplier evaluation checklist

Soy from China



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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DANIDA, Ministry of Foreign Affairs of Denmark has supported the development of this material, however DANIDA is not responsible for any views or claims presented in this material.

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 require 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 China and thus it is obligatory to fill out and provide more information on the red dotted indicators.

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 use rights of state-owned land that are registered by local people's governments above the county level (such as provincial or municipal) and has been issued certificates to confirm the use rights.
- Document required:**
- State owned land*
- State-Owned Land-Use Rights Certificate
 - Grant Contract for State-Owned Land-Use Rights (Supplementary Grant Contract for Allocated Land-Use Rights)
 - Grant Contract for State-Owned Land-Use Rights (Grant Contract for a Parcel of Land)
 - Confirm land contracts [*State-Owned Land-Use Rights (Supplementary Grant Contract for Allocated Land-Use Rights) & Grant Contract for State-Owned Land-Use Rights (Grant Contract for a Parcel of Land)*] are registered at the relevant authority: either the province, county/municipal or township level.
- Other ownership types*
- Certificate for ownership of farmers collective owned land
 - Certificate for use right of farmers collective owned land
 - Certificate for other land rights

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2. The supplier adheres to applicable transport, trade, import or export regulations, procedures and restrictions.

- 2.1. Products are correctly classified (species, quantities, qualities etc.) on sales documents, custom declarations and other legally required documents.
- Documents required:**
- Shipping Order
 - Dock Receipt D/R or Mate's Receipt
 - Bill of lading
 - Commercial invoice
 - Packing list

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	Y/N	DOC
<ul style="list-style-type: none"> • Sea waybill • Air waybill • House air waybill • Shipping guarantee • Consular invoice • Weight memo • Certificate of Origin (CO) • Insurance policy • Insurance certificate 		
<p>2.2. Customs regulations</p> <p>Documents required:</p> <ul style="list-style-type: none"> • Sales contract • Certificate of origin • Customs declaration form • Customs invoice • Packing list • Inspection certificate • Certificate of analysis • Phytosanitary certificate • Sanitary certificate • Inspection certificate of quantity and weight • Quality certificate • Pro Forma Invoice • Consular invoice • Health certificate • Certificate of Origin (CO) • Landing Certificate • Import / Export Declaration • Import / Export Licence • International Import Certificate (IIC) • Delivery Verification Certificate (DVC) • Bill of exchange 		

	Y/N	DOC
<ul style="list-style-type: none"> Insurance policy Insurance certificate 		
3. The supplier complies with all requirements associated with legal employment (applied to State-owned farms and private commercial farms).		
<p>3.1. 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"> Name lists for staff and contractors; Employment contracts for permanent and temporary staff 		
<p>3.2. All workers are paid at least minimum wage. Minimal pay is defined by provincial governments and documented by the State Council. Organisations shall pay their workers no less than the local minimum pay.</p> <p>Document required:</p> <ul style="list-style-type: none"> Salary payment records. 		
<p>3.3. Social security and insurance is paid for all workers.</p> <p>Document required:</p> <ul style="list-style-type: none"> Social Security card of each worker provides evidence of social security and other insurances paid. 		
4. 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)		
<p>4.1. The minimum age (The minimum legal age to work in China is 16 years) is observed for all personnel involved in farm management activities.</p> <p>Document required:</p> <ul style="list-style-type: none"> Ensure the company has a policy and compliance system (a way of ensuring the policy is implemented) that covers the ILO Core labour conventions. Name lists for staff and contractors; Employment contracts for permanent and temporary staff. 		

	Y/N	DOC
<p>● 4.2. The supplier ensures workers such as females, minorities, persons with disabilities etc. are not discriminated against during their recruitment and the duration of their employment.</p> <p>Document required:</p> <ul style="list-style-type: none"> Ensure the company has a policy and compliance system that covers the ILO Core labour conventions and includes requirements relating to discrimination. 		
<p>● 4.3. The supplier supports all workers having the right to join or form trade unions/worker associations of their own choosing and to bargain collectively.</p> <p>Document required:</p> <ul style="list-style-type: none"> Ensure the company has a policy and compliance system that covers the ILO Core labour conventions and includes requirements relating to the right to organise, join unions and bargain collectively. 		
<p>● 4.4. The supplier does not engage in forced or compulsory labour.</p> <p>Document required:</p> <ul style="list-style-type: none"> Name lists for staff and contractors; Employment contracts for permanent and temporary staff. 		
<p>5. The supplier complies with all occupational health and safety requirements.</p>		
<p>● 5.1. The supplier established a worker health and safety system that complies with legal requirements.</p> <p>Document required:</p> <ul style="list-style-type: none"> Health and safety procedures document, in line with national laws and regulations Accident records and related administrative procedures and measures 		
<p>● 5.2. 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"> Training Records for safe operation; 		
<p>● 5.3. The supplier has provided health checks and special training for those involved in hazardous work.</p>		

	Y/N	DOC
<p>Document required:</p> <ul style="list-style-type: none"> Work permit for special occupations, e.g. chainsaw operator 		
<p>5.4. The supplier is up to date with the employment injury insurance.</p> <p>Document required:</p> <ul style="list-style-type: none"> Evidence of Accident Insurance to cover all workers Social Security card of each worker provides evidence of social security and other insurances paid 		
<p>6. The supplier respects and upholds the rights of indigenous and traditional peoples.</p>		
<p>6.1. 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> <p>See 1.1.</p>		
<p>7. The supplier is compliant with all the relevant environmental and protected areas/species laws and High conservation values have been maintained.</p>		
<p>7.1. The supplier complied with the requirement for an Environmental Impact Assessment during planning for construction, development and utilisation of the land.</p> <p>Document required:</p> <ul style="list-style-type: none"> Rural Environment Registry Environmental Impact Assessment (EIA) 		
<p>7.2. The suppliers farm has not been established within the boundaries of formally protected areas.</p> <p>Document required:</p> <ul style="list-style-type: none"> Map of farm location. 		
<p>7.3. 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>		

	Y/N	DOC
<p>Document required:</p> <ul style="list-style-type: none"> • Obtain a map of the production area. Verify that the material: <ul style="list-style-type: none"> ○ Does not originate from mapped watersheds that are supplying local communities with drinking water, OR ○ Is sourced from areas where best practices of farm management are applied, including water course buffers, equipment restrictions, road building, protection against contamination, pesticides use.; or ○ A High Conservation Value (HCV) assessments and HCV conservation management plan is in place. 		
<p>8. The supplier has not been responsible for converting natural forest or natural ecosystems to soy farms since 2005.</p>		
<p>8.1. The supplier has not been not apprehended for illegal conversion of natural forests/ecosystems.</p> <p>Document required: Documents listed under 1.1 and 7.1</p>		
<p>8.2. The supplier has not been responsible for converting natural forest or natural ecosystems into soy plantations after 2005.</p> <p>Document required Documents listed under 1.1 and 7.1</p>		

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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