



Social/Code of Conduct Pre-Audit Self-Assessment Checklist

1. Is there a policy or statement which expresses the businesses commitment to respect human rights? *Please explain:* No Yes Planned

a. Has the policy or statement been communicated to the employers' relevant stakeholders? (Employees, communities, customers, suppliers, etc)

2. Do you have a dedicated senior manager in charge of ensuring compliance with all national, provincial, and other local laws and regulations pertaining to the workplace across all your facilities? No Yes Planned

a. The name and position of any designated person with responsible to manage human right impacts and social standards.

3. Do you have a documented strategy for addressing labor practices and driving the implementation of sound human resources practices? If yes, is this strategy based on an assessment of risks and opportunities related to employees' rights, safety, and welfare, and their causes? *Please explain:* No Yes Planned

4. Do you have operational management systems to ensure the delivery of the strategy and achievement of stated targets? *Please explain:* No Yes Planned

5. Please explain how you have allocated sufficient resources to implement policies and procedures. No Yes Planned

6. Have you completed the SAQ in Sedex and made it available to the auditor for pre-review? No Yes

7. Have employees been made aware of the Ethical Trading Initiative (ETI) base code? No Yes

8. For each item below, please indicate if it is within the scope of your policy & procedure:

SMETA Measurement Criteria	Policy			Procedure		
Legal compliance	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Occupational health & safety	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Wages & benefits	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Working hours	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Communication & Employee protections	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Ethical recruitment	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Employment is freely chosen	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Freedom of association	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Humane treatment & non-harassment	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Non-discrimination	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Protection of children and young employees	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned

9. For each of the SMETA Criteria/Guidelines below, please indicate if you have written policies defining your approach and corresponding procedures its implementation and oversight.

SMETA Criteria		Aspect	Within Scope?		
Laws at Work	Occupational Health & Safety	Legal compliance in safety & health	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Risk mitigation and industrial hygiene practices	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Employer-provided housing	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Emergency preparedness and response	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
	Wages & Benefits	Minimum wage legal compliance	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Wage legal compliance with piece rate	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Direct and timely payment in legal tender	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Legal withholdings and deductions	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Payment for work-related activities	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Legal benefits	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
	Working Hours	Legal compliance in working hours	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Mitigating health & safety impacts from hours	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Advanced communication/overtime requirements	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Transparency of hours		<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	
Professional Conduct	Communication & Employee Protections	Communication channels	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Dispute resolution	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Non-retaliation	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
	Ethical Recruitment	Transparency of terms of employment	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Employer pays principle	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Ethical conduct and transparency in recruitment	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Responsible labor contractors	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Human Rights	Employment is Freely Chosen	Voluntary labor	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Debt mitigation	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Freedom of movement	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Respect decision to terminate employment	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
	Freedom of Association	Legal compliance	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Protection of employees' choice	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
	Humane Treatment	Prohibition against harassment and abuse	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Harassment prevention	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Commitment to investigate and act	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
	Non-Discrimination	Legal compliance	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Prohibited inquiries and medical screening	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
		Equal opportunity	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
	Protection of Children & Young Employees	Minimum age for employment	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned
Young employees protection		<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	
Removal of children		<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> Planned	

Training

10. Do those responsible for implementing responsible labor practices at your site(s) and/or facilities receive appropriate training necessary to conduct their activities? *Please explain:* No Yes Planned

a. If yes, do you have records to track the training - including who attended, what topics were covered and when the training took place? No Yes

Monitoring Performance

11. How often does company management review the systems to identify continuous improvement opportunities? Never Annually Periodically

12. Do you evaluate practices to learn what is working well or poorly and why? Do you monitor your performance? *If yes:* No Yes N/A

a. Are employees involved in the evaluation? No Yes

b. What was the date of the last management review?

c. Please provide an overview of the results of the review:

d. Please list areas currently undergoing improvement:

13. Do you have a central system of documentation that enables you to monitor and oversee all labor employment, and health and safety practices in the workplace? No Yes Planned

14. Do you have a program to engage in continuous improvement of processes and social compliance? *Please explain:* No Yes Planned

a. If yes, do you also investigate areas for root causes of non-compliance or other problems to reduce the risk of reoccurrence? No Yes Planned

Communication and Employee Protections

Communication Channels

15. Do you have a method to create an informed workplace? *If yes:* No Yes Planned

a. Do these methods inform employees of company policies and procedures? No Yes

b. Do these methods inform employees of their duties, obligations and rights? No Yes

c. Are a variety of methods used, taking into consideration the composition of the workforce and the complexity of the message? No Yes

d. Are employees made aware of the methods and programs they can use for communication, consultation and/or engagement? No Yes

16. Does the facility have written policy related to employee involvement? No Yes Planned

17. Do you have management systems for employee consultation and engagement? *Please explain:* No Yes Planned

a. If yes, which of the following communication methods are deployed, allowing management and employees to discuss issues of interested to employees and elicit their feedback: No Yes

- Regular meetings
- Employee assemblies
- Regular dormitory meetings
- Suggestion boxes
- Employee-management committees
- Employee surveys
- Other

b. If yes, do the methods deployed take into consideration the cultural and language differences of the workforce when promoting the understanding or, and the ability to participate? *Please explain:* No Yes

c. Does the facility provide training to all employees on employee involvement policies and procedures? No Yes Planned

18. Are there published, anonymous and/or open channels available for reporting any violations of labor standards, health and Safety or any other grievances to a 3rd party? *If yes:* No Yes Planned

a. Are employees aware of the channel and do they have access? No Yes

b. If yes, what type of mechanism is used (hotline, comment box, etc)

Dispute Resolution

19. Does the company have a mechanism for resolving workplace complaints, should they occur? *If yes:* No Yes Planned

a. Can all employees use it? No Yes

b. Which of the following does it include?

- Reporting processes for submitting complaints, disputes, or issues of concern
- Processes for their review and determination
- Processes for reporting back to parties involved
- Processes to protect against retaliation for good faith use or participation in mechanism

c. Does the company encourage employees to report violation or issues of concern? No Yes

20. Do you require labor contractors to have their own similar mechanisms? No Yes Planned

Please explain:

Employment is Freely Chosen

Voluntary Labor

21. Do you have a policy that prohibits forced labor? No Yes

a. If yes, please indicate what is prohibited under the policy:

- Forced labor
- Involuntary prison labor
- Bonded labor
- Debt bondage
- Indentured labor
- Trafficking of persons
- Other

22. Do you use prison labor? *If yes, please explain:* No Yes

Debt Mitigation

23. Are there any deposits or collateral associated with obtaining work? No Yes

24. Is there any use of labor in exchange for debt repayment? No Yes

25. Do you charge employees for any training or education required for the job? No Yes

26. Are pay advances allowed? No Yes

a. If yes, describe any limits in amounts, if any:

27. Are loans available to employees? *If yes:* No Yes
- a. Are wage deductions for repayments shared with employees and agreed to in writing prior to any deduction taking place? No Yes
- b. Are repayment terms within legal limits and ensure sufficient income for necessities? No Yes
- c. Are employees required to pay back the loan before they can terminate employment? No Yes
- d. Please describe what loans are offered for and the repayment terms:

28. Is housing, food or daily transportation provided by the employer? *If yes:* No Yes Planned
- a. Is their use voluntary? No Yes
- b. Are their costs reasonable? No Yes
- c. Please explain any "yes" answers:

Freedom of Movement

29. Is there any area that employees are restricted from accessing inside the place of production or any employer-provided facilities? *If yes:* No Yes
- a. Are restrictions limited to legitimate safety, security, or business concerns? No Yes
- b. Are all employees free to leave the employment site during nonworking hours or at the end of their shift? (including employees who live on-site) No Yes
- c. Are employees allowed to leave the facility during work hours; for any reason; for medical appointments or in cases of emergency; or during break, rest time or after working hours? No Yes
- d. If housing is provided, are residents able to leave when they wish (even in the case where curfews may be used)? No Yes

- e. Are employees allowed access to restroom breaks, drinking water and medical facilities? No Yes
30. Is surveillance used? *If yes:* No Yes
- a. Is it narrowly tailored in time, place, and manner? No Yes
- b. Are employees notified of all monitoring? No Yes
31. Are employees able to access drinking water, sanitary facilities, and medical facilities without suffering financial penalty? *Please explain any restrictions or how this freedom is assured:* No Yes
32. Do you hold or safeguard employees' documents? (ID cards, or passports, or residency papers) *if yes:* No Yes
- a. If yes, is it a legal requirement for you to do so? No Yes
- b. Do employees provide these documents of their own consent and is there a system through which they have free and easy access? No Yes
- c. If housing is provided by the employer, is secure and accessible storage provided to safeguard personal documents and valuables? No Yes
33. Are migrant workers free to return to their home country or domicile during periods of annual or personal leave, without having to pay a deposit, or without being subject to threats of termination or retaliation? No Yes

Respect Employees Decision to End Their Employment

34. Are all employees free to leave their employment?
- Yes, at any time
- Yes, when completing contract
- Yes, when worked off his/her debt
- Yes, upon giving notice *If yes, describe notice period:*

35. Are employees responsible for any fees, or are there any wage deductions, if they terminate the job earlier than the contracted work period? *If yes, please explain:* No Yes

36. Are there any cases where you withhold any payments or entitlements upon termination? *If yes, please explain:* No Yes

37. Are all final wages paid, upon termination, within the standard pay period detailed in the terms of employment? *If no, please explain:* No Yes

38. Do you arrange and pay for the repatriation (transportation home) of foreign migrant workers at the end of their contracts? *Please explain:* No Yes

a. Do you repatriate (transport home) foreign migrant workers if you terminate his/her contract (for any reason other than documented gross misconduct) before the contract end date? No Yes

Ethical Recruitment

Transparency of Terms of Employment

39. Does the facility have written policies related to ethical employee recruitment and hiring? No Yes Planned
40. Do you obtain employees' informed consent to terms of employment without deception, threat, or coercion? No Yes
41. Are the terms of employment provided to employees? If yes:
- a. Are they provided in writing? No Yes
 - b. Are they explained verbally to enable review and understanding? No Yes
 - c. What information about the job does the company provide at the time of recruitment? At the time of contract signing? Upon entrance to the job?
- d. Do you have a signed term of employment for every directly employed employee? No Yes Planned
- e. Does the facility provide trainings on recruitment and hiring policies and procedures to individuals responsible for hiring and recruitment? No Yes Planned
- f. Does the facility provide new employees with orientation trainings to assist their understanding of all workplace policies and procedures? No Yes Planned

Employer Pays Principle

42. Have you committed to the employer pays principle? No Yes Planned
- a. Do you have a clear forward-facing policy that specifies the range of costs to be met by employees vs employers, and any expectations and timelines for reimbursement? No Yes Planned
 - b. Please explain how this commitment and/or policy is implemented:
43. Do employees pay any fees at any point in the process of applying or being hired, or for keeping their jobs? No Yes Not Sure
- a. If fees are paid, please list all fee amounts, what they were for, and to whom they were paid.

b. If you answer no, have you validated with employees that they are not paying any fees of any type, whether before or during employment? No Yes
Please explain:

c. If employees pay fees, are they reimbursed? *Please explain:* No Yes Planned

d. In the last 12 months, have there been circumstances in which the facility has had to use deportation, cancellation of visas or reporting to the authorities as a disciplinary measure? *If yes, please explain:* No Yes

Ethical Conduct & Transparent Practices in Recruitment

44. How do you ensure that all advertising for applicants is done in a manner that discloses the true nature of the work? *Please Explain:*

45. How do you ensure that when recruiting with international or foreign migrant workers that recruitment is done in accordance with local laws and regulations? *Please explain:*

46. Is contract substitution prohibited? *Please explain:*

No Yes

Responsible Labor Contractors

47. Do you have an ongoing method to monitoring the practices of your labor contractor? *Please Explain:*

No Yes Planned

48. Have you validated the license (if applicable) of the labor contractor and checked if, they have any prior legal violations?

No Yes

49. What actions do you take when a labor contractor rejects, fails to cooperate in, or is unwilling to remedy a violation of labor law or human rights?

Freedom of Association

Legal Compliance

50. Do you comply with all applicable laws and regulations regarding freedom of association and collective bargaining?

No Yes

a. Please describe how you ensure compliance all applicable laws and regulations?

b. In the last 12 months, have there been any violations of the law related to freedom of association or collective bargaining? *If yes, please explain:* No Yes

Humane Treatment & Non-Harassment

Prohibition Against Harassment and Abuse

51. Do you comply with all applicable laws and regulations regarding harassment and abuse? No Yes

a. Please describe how you ensure compliance all applicable laws and regulations?

b. In the last 12 months, have there been any violations of the law related to harassment and abuse? *If yes, please explain:* No Yes

52. Does your company have defined rules against harassment and abuse? No Yes Planned

a. In terms of scope, which of the following is prohibited by your rules?

- Verbal harassment or abuse
- Physical harassment or abuse
- Visual harassment or abuse
- Psychological harassment or abuse
- Sexual harassment or abuse
- Unlawful harassment or retaliation
- Penalties for acts of harassment and/or abuse
- Employee recourse in case of violations
- Other _____

53. Do you take reasonable care to prevent harassment or abuse? No Yes

54. Do you provide employees with detailed communications on their rights and protections regarding harassment? *If yes:* No Yes Planned

a. Please explain the methods used to ensure that employees both receive and understand it?

55. Does your company have any educational efforts on sexual harassment? No Yes Planned
Please explain:

a. Do you train managers, supervisors, and crew leaders on employee treatment? No Yes Planned

b. If yes, when is this training provided? No Yes

c. If yes, which of the following is included in the training:

- Procedures for bringing, investigating, and responding to a complaint
- Recognizing unacceptable behavior
- Preventing unacceptable behaviors
- Appropriate or effective responses

Other _____

Commitment to Investigate and Take Action

56. Do you have a formal, documented grievance procedure? No Yes

a. If yes, which of the following is within the scope of your procedures?

- Procedures for reporting harassment or abuse complaints
- Procedures for the investigation of complaints in a fair and thorough manner
- Procedures for responding to complaints
- The designation of a qualified individual for oversight and/or implementation
- Clear roles, responsibilities
- Immediate and effective corrective action, in the event of confirmed occurrence
- Procedures to assess root cause of problems, and possible preventive responses
- Non-retaliation protection for making a complaint or assisting in its investigation
- System to discipline supervisors, managers and employees who engage in any form of harassment or abuse?
- Other _____

b. If yes, please describe the efforts taken to identify lessons for improving the mechanism and preventing future grievances and harms raised through the mechanism.

57. In the last 12 months, have there been any cases of harassment or abuse? No Yes

a. Any of violence against employees or where employees were threatened? No Yes

b. Any cases of physical harassment or abuse at the facility? No Yes

c. Any cases of verbal harassment or abuse at the facility? No Yes

d. Any cases of psychological or mental harassment at the facility? No Yes

e. Any cases of sexual abuse at the facility? No Yes

f. If yes to any of the above, please explain:

Non-Discrimination

Non-Discrimination Compliance

58. Do you comply with all applicable laws and regulations regarding non-discrimination? No Yes

a. In the last 12 months, have there been any cases of discrimination brought against the company due to a legally protected class? If yes, please explain: No Yes

59. How do you ensure that any decisions during hiring, employment, or termination, are never based on a personal characteristic of the employee?

60. How do you ensure there is no difference in pay for employees performing substantially similar work with a comparable composite of skill, effort and responsibility, absent bona-fide factors recognized by law?

Prohibited Inquires and Medical Testing

61. Is medical testing required as a condition of being hired or promoted? No Yes

a. If yes, please explain what is tested, and whether it is legally required for the position being contracted:

62. Do you ever ask females about pregnancy status during hiring or during the course of employment? No Yes

a. If yes, please explain the business reason for this:

Equal Opportunity

63. How do you ensure all persons of the same skill level have an equal opportunity for training and advancement?

64. How do you ensure all that the allocation of the following are both transparent and based on the principle of equal treatment?

- Tasks
- access to training
- access to opportunities
- working hours
- pay
- overtime
- benefits
- health care
- union rights
- collective bargaining agreements
- disciplinary measures
- termination policies

65. Are supervisors trained in avoiding disciplinary practices? *If yes, please explain:*

No Yes

66. Do you comply with all applicable legal work requirements for pregnant, post-partum and lactating women? *Please explain:*

No Yes

67. In the last 12 months, have employees who are pregnant or on parental leave been terminated or resigned? *If yes, please explain:* No Yes

Occupational Safety & Health

Legal Compliance

68. Does the facility comply with all applicable laws and regulations related to health and safety? No Yes

a. Please describe how you ensure compliance to all applicable health & safety laws and regulations?

b. In the last 12 months, have there been any violations of the law related to occupational health and safety? *If yes, please explain:* No Yes

c. Are building certificates and permits available, as required by law? No Yes

Policies and Procedures

69. Does the company have health and safety policies that are relevant to the production being performed, to identify and guard and against hazards and prevent injury or illness at work?

a. If yes, which of the following is within the scope of your policy?

Principle	Policy		Procedure	
Industrial hygiene and sanitation	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Chemical safety	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Injury and illness prevention	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Emergency preparedness and response	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Equipment and machine safety	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Ergonomics	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Ventilation	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Lighting	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Structural and building safety	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes
Other:	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes

b. Please explain what is missing:

70. Does the company have health and safety procedures that are relevant to the work/task being performed, to identify and guard and against hazards and prevent injury or illness at work? No Yes Partial

a. If yes, please check off which subjects are included in the procedures:

- Accident and injuries are documented and investigated
- Access to clean drinking water during working hours (unlimited access)
- Building evacuation procedures (where applicable)
- Chemical handling and pesticide-related procedures
- Cafeteria/Breakroom safety & hygiene
- Communication channels between employees and management on health and safety matters
- Contractor safety

- Dormitory safety & hygiene (where applicable)
- Electrical safety
- Emergency contact information for local authorities
- Emergency plans, response, and communication procedures
- First aid/medical
- Food handling rules (where applicable)
- General work environment (e.g. ventilation, cleanliness, lighting, noise, etc.)
- Hearing conservation
- Heat stress and/or sunstroke signs, symptoms, and prevention
- Hygiene: toilets, handwashing, drinking water
- Machine maintenance, licensing, safety devices and inspections
- Material safety data sheets in native language of persons handling chemicals (SDS/Hazard Communication)
- Mitigation and prevention of repetitive motion injury
- Physically demanding work
- Preventing or controlling exposures that endanger life, health, or physical condition
- Procedures for inclement weather
- Provision, maintenance and use of appropriate personal protective equipment
- Rules about working when ill
- Rules for smoking, eating, chewing tobacco, spitting
- Safe handling of electricity
- Safe use of electrical equipment
- Structural safety of buildings (where applicable)
- Use of jewelry, watches, or other personal effects
- Vehicle operation and safety procedures
- COVID-19
- Other: _____

b. Please explain any missing elements:

71. Are all employees (including temporary employees) trained on health, safety, and hygiene? No Yes Planned

a. If yes, how often does this occur:

b. If yes, please select which documentation is available:

- Training schedule
- Training curriculum samples
- Records of the names of all personnel trained & the dates they were trained
- Photos of training
- Other _____

Risk Mitigation & Industrial Hygiene Practices

72. Does your company have a health & safety risk assessment process to identify, prioritize and mitigate the potential Occupational Health and Safety (OHS) risks associated with your operations and activities? *Please explain:* No Yes Planned

a. If applicable, please specify any high-risk areas identified through the risk assessment process.

b. Do you implement action plans for all risk areas identified? *If yes, please provide an example:* No Yes Planned

c. When was the last health and safety risk assessment completed? No Yes Planned

d. Is your occupational health & safety management system certified to an ISO or equivalent standard? No Yes Planned

Emergency Preparedness and Response

73. Do you have an emergency response plan to prepare for, and respond to, fire, natural disaster or accidents or other emergencies? *Please explain:* No Yes Planned

a. Which person/department is responsible for implementation of the plan?

b. Is first aid available at the work site? No Yes Planned

c. Is emergency contact information for local authorities easily accessible and understandable? *Please explain:* No Yes Planned

d. Do employees have a means to contact authorities in the event of an emergency? Do they know how to contact them? *Please explain:* No Yes Planned

e. Has your facility completed an emergency drill to verify that employees understand what to do in an emergency? No Yes Planned

Protection of Children and Young Employees

Minimum age for Employment

74. Does the facility have written policies related to the recruitment and hiring of child labor/underage labor? No Yes Planned

75. Is there a minimum wage of employment requirement in the country, region, or locality where your facility operates? *If yes, what is it?* No Yes Planned

76. What is the date of birth of the youngest (under 18) employee, and when did he or she start working in the company?

77. Are all employees currently at or above the applicable legal minimum working age? No Yes Planned

- a. If there is no established minimum age for employment under law, are all employees currently at least fifteen years old? No Yes Planned
- 78.** Do you have an up to date system for checking and verifying the ages of employees, and that they are legally allowed to work? No Yes Planned
- a. If yes, what documents do you use to confirm the age of applicants?
- ID card
 - Birth certificate
 - Driver's license
 - Passport
 - Social security document
 - Other: _____
- b. Do you keep copies of proof of age documentation in employee's personnel files? No Yes Planned
- c. Do you check with the labor contractors you use to supply labor that they have copies of employee ID's? *Please explain:* No Yes Planned

Young Employees (Under 18) Protection

- 79.** Does the facility have written policies related to recruitment and employment practices of young employees? No Yes Planned
- 80.** Does the facility have written procedures related to recruitment and employment practices of young employees? No Yes Planned
- a. Do you have an up to date risk assessment that covers young employees and the potential areas of risk in the workplace? No Yes Planned
- 81.** Do you have any young employees (i.e. below the age of 18), or do you have any apprentices in the employment site? *If yes:* No Yes
- a. Does the facility meet all legal requirements pertaining to the employment of young employees? No Yes
- b. Do you have a program to comply with any regulatory restrictions or requirements applicable for those under the age of 18? No Yes Planned
- c. Does the facility monitor the working hours of all young employees separately? No Yes
- d. Do you make sure that young employees are exempt from hours of work that conflict with their ability to attend compulsory education? No Yes

- e. Do you make sure that your employees are exempt from overtime work? No Yes
- f. Do you make sure that your employees are exempt from night work? No Yes
- g. Do you make sure that young employees are exempt from hazardous work? No Yes
- h. Does the facility maintain parental permission for young employees to work in the facility, as legally required? No Yes
- i. Does the facility arrange health checks for all young employees, as legally required? No Yes
- j. Please describe your systems for the protection of young employees or why you do not need one:

Removal of Children

82. What is your facility's practice when it comes to children visiting the production areas? (i.e. children that are not employees, but are just visiting)

83. Are non-employed children provided from access to production, harvest, or other work areas? No Yes

84. Do childcare facilities, if made available at work, overlap with worksite areas where work is performed? No Yes

a. If you do not provide childcare facilities, do you prohibit your employees from bringing their children to work?

85. Have you ever had child employees on your employment site? No Yes

a. If yes, what did you do?

86. Do you have a formal procedure for remedying any confirmed instances of child labor? *Please describe your systems for remediation of child labor or why you do not need one:* No Yes Planned

a. If yes, does it include removal from the workplace immediately, and include a process for keeping the child safe until he/she is handed over to a legal custodian? Please explain:

Responsible Purchasing Practices

87. Do you communicate with your customers on how their planning and purchasing practices affects your commitment to responsible labor practices? *Please explain:* No Yes Planned

a. If yes, in which of the following areas:

- Alignment of financial terms with responsible labor practices
- Accuracy and timeliness of planning/forecasting
- Accuracy and timeliness of tech packs
- Adequacy of lead time provided
- Conflicting demands between business and compliance needs
- Hit rates on products developed for customers

- Paying bills on time and in full
- Visibility into ordering plans
- Other:

88. Do you receive incentives from customers for responsible labor standards or practices? No Yes

a. If yes, which incentives:

- Consistent minimum volume of production per month
- Customer paid training for skill or capacity development
- Larger volume
- Less social compliance audits (timing or amount)
- More favorable mix of products
- Option to set higher minimum order level
- Premium pricing
- Supplier award or recognition program
- Other: _____

89. Do you communicate to your suppliers any expectations regarding responsible labor practices? No Yes

a. If yes, please describe which types of suppliers receive this communication, in what form and by what methods:

Wages and Benefits

Minimum Wage Legal Compliance & Wage Legal Compliance with Piece Rate

90. Does the facility comply with all applicable laws and regulations related to wages and benefits ? No Yes

a. Please describe how you ensure compliance to all applicable wage and benefits laws and regulations?

b. In the last 12 months, have there been any violations of the law related to wages or benefits? If yes, please explain: No Yes

91. Is there a legal minimum wage requirement in the country, region, or locality where your facility operates? *If yes:* No Yes

a. Please enter the minimum wage in U.S. dollars per hour:

b. Do any employees at your facility receive less than the minimum wage? No Yes

c. Is the minimum wage paid for a standard work week? No Yes

d. Is productivity-based pay compared to the applicable minimum wage rate to ensure legal compliance? No Yes

92. How much does the lowest paid employee earn in a standard working hour per hour, for each of the following:

a. Permanent employee?

b. Temporary employee?

c. Piece rate employee?

d. Subcontractor?

e. Homeworker?

93. Do you pay employees for overtime hours in addition to regular working hours? No Yes

a. If yes, what is the rate of overtime pay compared to regular time pay?

(Select the best answer which matches your lowest rate of overtime paid.)

- Less than regular time
- Equal to regular time
- More than regular time, but less than time-and-a-half
- Equal to, or between time-and-a-half, and double time
- Equal to double-time or more
- Other: _____

94. Is the appropriate premium rate applied for overtime? *Please explain:* No Yes

Direct, Timely Payment in Legal Tender & Wage Statements

95. Are wages paid directly to employees and not to a third party, by you or a qualified payroll service? No Yes

96. In which of the following ways are employees paid:

- Cash
- Bank check
- Bank transfer
- Money order
- Direct deposit
- Voucher to the company store
- Pre-paid credit card
- Other: _____

97. How often do employees receive their wages? *Please specify the frequency and exact date, if any:* No Yes

a. Does any wage period exceed 30 days? No Yes

b. In the last 12 months, have there been circumstances under which wages were delayed or withheld from employees? *If yes, please explain:* No Yes

Legal Withholdings & Deductions

98. Do you make any deductions from employees' pay? *If yes:* No Yes

a. Are all deductions and withholdings legally compliant? No Yes

b. Are deductions ever made as a disciplinary measure? No Yes

c. After deductions are made, do any employees receive less than the legally applicable minimum wage? No Yes

d. Please provide details of:

i. Legally required deductions:

ii. Other deductions:

99. Do you make any government required withholdings? *If yes:* No Yes

a. Do you withhold for taxes? No Yes

b. Do you withhold for social security? No Yes

c. Do you withhold for social insurance? No Yes

d. Are government required withholdings correctly calculated? No Yes

e. Are government required withholdings submitted to applicable authority? No Yes

f. Are withholdings submitted within the legally required timeframe? No Yes

g. Are withholdings documented properly? *Please explain:*

No Yes

100. Do all your employees receive clear information in the local or appropriate language(s) about how their actual wages are calculated? *Please explain:*

No Yes

101. Do employees receive an understandable pay statement?

No Yes

a. Please indicate which of the following your wage statement includes:

- Dates of the pay period
- Name and address of employer
- Name and address of employee
- Total number of regular hours worked
- Total number of overtime hours
- Gross wages (all earnings before taxes or deductions)
- Net wages (after taxes and deductions)
- Rates of pay and the number of hours at each rate
- Amounts for piece rate bonuses or allowances
- Other: _____

Payments for Work Related Activity

102. Is all mandatory time at the worksite paid to employees, including training or meetings?

No Yes

103. Are employees paid for any time that they are required to be on the employer's premises or on duty at the prescribed work location? No Yes

a. Which of the following are covered?

Mandatory meetings

Mandatory trainings

Time spent traveling from one work site to another during the workday and after arrival at first work site

Time spent traveling to and from a new assignment away from a usually prescribed work location

Other: _____

Legal Benefits

104. Are all legally required benefits given? No Yes

a. If yes, please explain what is provided:

b. Do you provide any social benefits to the employees (e.g. health insurance, pension fund, child care, education, accommodation etc.)? No Yes

c. Are all legally required paid leaves given? No Yes

d. Are all legally required paid rest or meal periods given? No Yes

e. Are all legally required paid leaves given? No Yes

f. Are all legally required paid bonuses given? No Yes

Legal Compliance in Working Hours

105. Does the facility comply with all applicable laws and regulations related to hours of work? No Yes

a. Related to maximum hours employees can be required to work? No Yes

b. Related to young employees' hours of work? No Yes

c. Recording working time? No Yes

d. Time record keeping? No Yes

e. Periods of leave? No Yes

f. Rest days? No Yes

- g.** Holidays? No Yes
- h.** Rest periods? No Yes
- i.** Meal intervals? No Yes

Please describe how you ensure compliance to all applicable hours of work laws and regulations

- j.** In the last 12 months, have there been any violations of the law related to hours of work? *If yes, please explain:* No Yes

106. Are there any hours of work limits (daily, weekly, monthly, or annually) defined by either local law or regulation or collective bargaining agreement? No Yes
If yes:

- a.** In the last 12 months, are all *regular* working hours (daily, weekly, monthly, or annually) for all employees within allowable limits under applicable law or agreement? No Yes
- b.** In the last 12 months, are all *overtime* working hours (daily, weekly, monthly, or annually) for all employees within allowable limits under applicable law or agreement? No Yes

c. Are any exceptions to this maximum allowed? If yes, please explain: No Yes

107. What are the typical or average hours of work?

a. Standard work week?

b. Average number of weekly overtime hours per person, per week?

c. Maximum hours employees work per day in peak season?

d. Maximum hours employees work per week in peak season?

Mitigating Impact on Health & Safety from Working Hours

108. Does the company analyze the impact of overtime or extended working hours on the risk of occupational injuries and illnesses? *If yes, please explain:* No Yes Planned

109. What strategies does the company have in place to prevent work injuries?

Advanced Communication of Overtime Hours

- 110.** Is overtime compulsory, or a condition of employment? No Yes
- a. If so, are employees informed of this policy at the beginning of their employment? *Please explain:* No Yes

Transparency of Hours

- 111.** Does the company have a time keeping system for the accurate and complete tracking and reporting of work and leave time, which enables accurate calculation of pay? No Yes

a. How are working hours recorded (regular & overtime) daily for each employee?

N/A - I do not record working hours

Attendance lists

Employee documented record

Punch / time card

Electronic recording system

Other: _____

b. How does the time recording system used make hours of work (including overtime) transparent to the employee and the company?