

Audit Report

**SELF ASSESSMENT DOCUMENT**

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| **Note:** |
| 1. Please answer the questions in all the eleven criteria’s to the best of your knowledge.
2. Scoring system for each criteria:
	1. CheckmarkAll green ticks ( )will be considered as compliance points in each criteria.
	2. CheckmarkAll red ticks ( )will be considered as non-compliance points in each criteria.
	3. Scores can be noted on the top right side of each criteria section.
3. All criteria must have at-least 50% compliance in order to avail the audit by certified agency for getting ISES 2020 certification.
4. The form is viewed best in “Microsoft Office 2019” or higher version.
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| **BASIC INFORMATION** |
| **Name of Company:** | Click or tap here to enter text. |
| **Address:** | Click or tap here to enter text. |
| **City:** | Click or tap here to enter text. |
| **State/Province:** | Click or tap here to enter text. |
| **Postal Code:** | Click or tap here to enter text. |
| **Country:** | Choose an item. |
| **Geo Coordinates of the location:** | Click or tap here to enter text. |
|  |
| **Contact Person:** | Click or tap here to enter text. |
| **Phone:** | Click or tap here to enter text. |
| **Cell Phone** | Click or tap here to enter text. |
| **Email:** | Click or tap here to enter text. |
|  |
| **Does the company have a business license?** |  |  |
| **Is the business license valid?** |  |  |
| **Does the facility have any currently valid certification?** |  |  |
| **If yes, please list what kind of certification, the date of issuance and the date of expiry:** | Click or tap here to enter text. |
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| **FACILITY WORKFORCE** |
| Total number of employees present on the day of audit. |  |
| Number of male workers. |  |
| Number of female workers. |  |
| **Interviews** |
| Full time workers interviewed during inspection |  |
| Part time workers interviewed during inspection |  |
| Seasonal workers interviewed during inspection |  |
| Migrant workers interviewed during inspection |  |

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| **1. MANAGEMENT SYSTEM** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| **Company Policy and Its Implementation:** |
| Is the company dedicated towards the conformance of all requirements of ISES 2020?  |[ ] [ ] [ ]
| Is the company policy regarding social and environmental standards defined in clear words and understandable language for all employees? |[ ] [ ] [ ]
| Are these communicated clearly and understandably to all employees? |[ ] [ ] [ ]
| Is the documented policy accessible to all interested parties? |[ ] [ ] [ ]
| Does the company policy include the commitment to comply with national and other applicable laws and regulations? |[ ] [ ] [ ]
| Is there a procedure that assures a continuous review in changes in national and international regulations? |[ ] [ ] [ ]
| Does the company policy envisage a system of periodical and regular review of the policy, procedures and performance respective its social and environmental performance? |[ ] [ ] [ ]
| Does the company policy available for everyone / displayed at a notice board, etc.? |[ ] [ ] [ ]
| Is the company policy mentioned in the local language? |[ ] [ ] [ ]
| Is there a formal procedure of internal monitoring the compliance with the social and environmental requirements? |[ ] [ ] [ ]
| Are the results and recommendations of external checks and audits considered by the company management? |[ ] [ ] [ ]
| Has the company implemented any remedial and corrective actions to rectify non-conformance identified? |[ ] [ ] [ ]
| Is there a list of priorities of the most urgent social back-up measures? |[ ] [ ] [ ]
| Is there a senior management authority to ensure that the requirements of the standard are met? |[ ] [ ] [ ]
| Are the roles and responsibilities of each worker and employee clearly defined? |[ ] [ ] [ ]
| Do the company’s suppliers meet the requirements of the standard? |[ ] [ ] [ ]
| Are all the workers informed about the company’s policies and their social rights and obligations? |[ ] [ ] [ ]
| Is the company maintaining copies of ID cards and work contracts? |[ ] [ ] [ ]

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| **2. CHILD LABOUR** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Any worker below the age of 14 found working at the site? |[ ] [ ] [ ]
| Have children ever worked in the company? |[ ] [ ] [ ]
| Do children sometimes help their parents? |[ ] [ ] [ ]
| Is the school attendance of young workers checked regularly? |[ ] [ ] [ ]
| Has the company maintained proper age records of workers? |[ ] [ ] [ ]
| Are the children of workers attending school? |[ ] [ ] [ ]
| Are any young workers, who have not finished compulsory school, working in the company during school hours? |[ ] [ ] [ ]
| Is any child between 14 to 18 years of age, working during school hours? |[ ] [ ] [ ]
| Are children exposed to any kind of hazardous, unsafe or unhealthy environment? |[ ] [ ] [ ]
| Did the children between 14 to 18 years of age have certificate of fitness to work? |[ ] [ ] [ ]
| Are there juveniles found working for more than 4.5 hours? |[ ] [ ] [ ]
| Are juveniles exposed to any kind of hazardous, unsafe or unhealthy environment? |[ ] [ ] [ ]
| Are juveniles working in night shifts? |[ ] [ ] [ ]
| Are juveniles found in any kind of heavy lifting inappropriate to their age and physical status? |[ ] [ ] [ ]
| Is proof of age of workers available for verification? |[ ] [ ] [ ]
| Does the company employ school children for extra-contractual of additional work? |[ ] [ ] [ ]
| Is it ensured that the total period of school attendance, transport and work does not exceed 10 hours/day? |[ ] [ ] [ ]
| Is there a procedure to sensitize and inform all employees and interested parties about the companies’ policy against child labour? |[ ] [ ] [ ]
| Are mistakes and unintentional errors ruled out in terms of age and qualifying criteria when young people are employed? |[ ] [ ] [ ]
| Is the recruitment personnel trained in the identification of child labour? |[ ] [ ] [ ]

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| **3. FORCED LABOUR** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Is there any kind of indication from independent sources that forced labour is being practiced in the company? |[ ] [ ] [ ]
| Are there indications in the company regarding bonded labour or similar working conditions? |[ ] [ ] [ ]
| Does the company keep the original documents (ID cards, passports, birth certificates, monetary deposits) of the workers after verification in order to exert pressure?  |[ ] [ ] [ ]
| Can the workers move and leave the company site freely at any time? |[ ] [ ] [ ]
| Can the family members visit the workers as per their will? |[ ] [ ] [ ]
| Is the workforce compelled to use company’s dormitories, food or transport at higher cost than usual rates? |[ ] [ ] [ ]
| Do any of the staff members have to deposit security amount before starting work? |[ ] [ ] [ ]
| Are earnings/payments retained as security? |[ ] [ ] [ ]
| Are workers indebted to a broker/contractor for obtaining work? |[ ] [ ] [ ]
| Are workers indebted to a broker or the company for pay off of loan, etc? |[ ] [ ] [ ]
| Are there any indications for subcontracted labour from prisons or penal camps? |[ ] [ ] [ ]
| Are the employers holding any pay to which workers are entitled to? |[ ] [ ] [ ]
| Are the employers using physical and mental compulsion for disciplining employees? |[ ] [ ] [ ]
| Is the company following transparent loan and credit system with fair conditions for workers? |[ ] [ ] [ ]

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| **4. HEALTH AND SAFETY** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| **General requirements for Health and Safety**  |
| Is there a company representative responsible for the implementation and monitoring of health and safety matters? |[ ] [ ] [ ]
| General health and safety instructions are clearly mentioned anywhere? |[ ] [ ] [ ]
| Are these instructions mentioned in the local language? |[ ] [ ] [ ]
| Are these instructions accessible to all?  |[ ] [ ] [ ]
| Are his functions and responsibilities documented? |[ ] [ ] [ ]
| Does he have direct access to the company management and are his requests accepted? |[ ] [ ] [ ]
| Are there indications and /or records that the health and safety matters are regularly updated and monitored? |[ ] [ ] [ ]
| Are employees trained in health and safety matters? |[ ] [ ] [ ]
| Are the workers provided with regular health and safety training? |[ ] [ ] [ ]
| Are there records maintained for health and safety training? |[ ] [ ] [ ]
| Is the training repeated for new personnel at the job? |[ ] [ ] [ ]
| Are there any systems established to detect, avoid, or respond to potential threats to the health and safety of all personnel? |[ ] [ ] [ ]
| Are healthy and safety guidelines provided to the workers? |[ ] [ ] [ ]
| Is sand blasting process is prohibited in factory? (except with the prior written approval of the Chief Inspector) |[ ] [ ] [ ]
| Is the company implement control equipment to reduce and maintain employee exposure to mineral dust below the limits? |[ ] [ ] [ ]
| **Cleanliness**  |
| Is the factory site kept clean? |[ ] [ ] [ ]
| Is there a cleaning plan for the company? |[ ] [ ] [ ]
| Are there proper disposal containers for waste? |[ ] [ ] [ ]
| Are workers, who are exposed to a lot of dirt, provided with appropriate working clothes and/or other protective means?  |[ ] [ ] [ ]
| Is proper drainage system maintained? |[ ] [ ] [ ]
| Are the drains cleaned regularly? |[ ] [ ] [ ]
| Are the floors of the factory cleaned at least once a week? |[ ] [ ] [ ]
| Is there availability of changing rooms for workers? (for workers who work in conditions of considerable and unavoidable dirt) |[ ] [ ] [ ]
| Is wet processing is applied? (like during drilling, sawing or any kind of process in which dust is emitted during the process) |[ ] [ ] [ ]
| Does the water spray produced by the water spray equipment is evenly distributed as possible and cover the entire surface of the mineral processing area? |[ ] [ ] [ ]
| Does the size of water droplets of the water spray, as far as is practicable, is of optimal size to ensure maximum removal of airborne mineral dust? |[ ] [ ] [ ]
| Is the water supply used for spraying is free of particles greater than 0.5 millimetre in diameter? |[ ] [ ] [ ]
| Is water used by water sprayer free from acids? |[ ] [ ] [ ]
| Are all surfaces in a mineral processing area maintained, as far as is practicable, in a clean state and free from accumulations of mineral dust? |[ ] [ ] [ ]
| The cleaning is not been done by the use of compressed air or any other method which may disperse mineral dust exceeding the limits into the breathing air of any employee.  |[ ] [ ] [ ]
| **Ventilation and Temperature**  |
| Is the temperature and ventilation adequate in the company? |[ ] [ ] [ ]
| Is the temperature and ventilation system maintained properly? |[ ] [ ] [ ]
| Are the climate conditions acceptable? |[ ] [ ] [ ]
| Are workers wearing protective clothing against heat/cold, in workplaces where they are exposed to extreme heat/cold? |[ ] [ ] [ ]
| Are windows in the work place properly placed to ensure air ventilation? |[ ] [ ] [ ]
| Is dust extracted from the working area by suction? |[ ] [ ] [ ]
| Is there proper ventilation for health-hazardous chemical vapours? |[ ] [ ] [ ]
| Is there availability of respiratory protection equipment?  |[ ] [ ] [ ]
| **Lighting** |
| Are the company site and the workplaces appropriately lit? |[ ] [ ] [ ]
| Is there availability of windows so that workers work under natural light and not depend on artificial light throughout the day? |[ ] [ ] [ ]
| Are lighting equipments in proper conditions and well-maintained? |[ ] [ ] [ ]
| **Noise**  |
| Is the noise at a reasonable level in the company? |[ ] [ ] [ ]
| Are workers provided with appropriate noise protection equipment? |[ ] [ ] [ ]
| **Drinking water** |
| Are the drinking water points clean and situated in an adequate point in company? |[ ] [ ] [ ]
| Does all staff have access to drinking water? |[ ] [ ] [ ]
| Is the drinking water sufficient for the number of staff? |[ ] [ ] [ ]
| Is the use of drinking water charged? |[ ] [ ] [ ]
| **Sanitary facilities**  |
| Are there sufficient sanitation facilities for all staff? |[ ] [ ] [ ]
| Are there separate and equally equipped sanitation facilities for men and women? |[ ] [ ] [ ]
| Are the sanitary facilities intact, functional and clean? |[ ] [ ] [ ]
| Are the sanitary facilities at an accessible distance from the workplaces? |[ ] [ ] [ ]
| Are the workers allowed to use sanitation facilities at any time? |[ ] [ ] [ ]
| Is anyone appointed to clean the sanitation areas daily? |[ ] [ ] [ ]
| **First-aid Facilities** |
| Are there sufficient first-aid boxes/cupboards in the company?  |[ ] [ ] [ ]
| Are the first-aid boxes/cupboards appropriately equipped? |[ ] [ ] [ ]
| Is medical care guaranteed within or outside the company?  |[ ] [ ] [ ]
| Is the first-aid room clean and appropriately equipped? |[ ] [ ] [ ]
| Are the medical facilities accessible by all the workers?  |[ ] [ ] [ ]
| Are the medical facilities qualitatively and quantitatively sufficient? |[ ] [ ] [ ]
| Is there a proper ambulance room with nursing staff for companies employing more than 500 workers? |[ ] [ ] [ ]
| Are there any records maintained about injuries of workers in the past? |[ ] [ ] [ ]
| Are records maintained for medical treatment of employees? |[ ] [ ] [ ]
| Is each first-aid facility sufficient for every 150 employees? |[ ] [ ] [ ]
| Is the person providing first-aid trained by any institute recognized by government? |[ ] [ ] [ ]
| **Eating facilities** |
| Are there appropriate eating facilities in the company? |[ ] [ ] [ ]
| Are eating facilities clean and separate from the working area? |[ ] [ ] [ ]
| Does the company contribute to the provision of food and beverages? |[ ] [ ] [ ]
| Are there appropriate places for the workers to store their food/meals safely and cleanly? |[ ] [ ] [ ]
| Is there a danger from parasites of epidemics in the company? |[ ] [ ] [ ]
| Is there a canteen available at premises where numbers of workers at the factory exceed 250? |[ ] [ ] [ ]
| **General Safety**  |
| Is the factory building and machines in good and sage conditions? |[ ] [ ] [ ]
| Are corridors, paths and stairs free from obstacles and safe? |[ ] [ ] [ ]
| Are all machines equipped properly with necessary protective facilities?  |[ ] [ ] [ ]
| Are appropriate danger warning-signs put up wherever necessary? |[ ] [ ] [ ]
| Are employees’ trained in health and safety matters? |[ ] [ ] [ ]
| **Chemicals**  |
| Are handling, storage and disposal procedures of chemicals safe? |[ ] [ ] [ ]
| Are chemical substances properly marked? |[ ] [ ] [ ]
| Is access to chemicals granted to only authorized and trained personnel? |[ ] [ ] [ ]
| Is protective clothing or equipment provided wherever necessary? |[ ] [ ] [ ]
| Are chemicals stored at a fire safe place? |[ ] [ ] [ ]
| Are sufficient quantities of protective clothing available? |[ ] [ ] [ ]
| Are the workers using protective clothing while handling chemicals? |[ ] [ ] [ ]
| Are appropriate material safety data sheets being used? |[ ] [ ] [ ]
| **Electric power** |
| Is the electric installation properly installed and safe? |[ ] [ ] [ ]
| Is the access to electrical installation blocked? |[ ] [ ] [ ]
| Are high voltage signs put up? |[ ] [ ] [ ]
| Are all electrical installations being inspected regularly?  |[ ] [ ] [ ]
| **Fire protection and Emergency system** |
| Are their fire alarms with proper smoke sensors installed? |[ ] [ ] [ ]
| Are the escape routes in the company well marked and non-obstructed? |[ ] [ ] [ ]
| Does the company have an appropriate and well-functioning emergency and fire protection system? |[ ] [ ] [ ]
| Are there enough and appropriately equipped fire extinguishers in the company? |[ ] [ ] [ ]
| Can the staff use all emergency and fire protection facilities?  |[ ] [ ] [ ]
| Are there evacuation plans, measures and rules of behaviour for emergency? |[ ] [ ] [ ]
| Do employees know of these emergency rules? |[ ] [ ] [ ]
| Are there appropriate and regular sessions on evacuation, emergency and fire drills as well as training sessions in the company? |[ ] [ ] [ ]
| Are there records maintained for these drills and training?  |[ ] [ ] [ ]
| Are the escape routes unblocked and do they permit a rapid escape at any time? |[ ] [ ] [ ]
| Are escape routes appropriately marked?  |[ ] [ ] [ ]
| Are escape routes unlocked during work hours? |[ ] [ ] [ ]
| Is fire training provided to workers? |[ ] [ ] [ ]
| Is there a safety officer in factories employing more than 1000 workers? |[ ] [ ] [ ]
| **Safety of Machines**  |
| Do the machines meet all the necessary safety regulations? |[ ] [ ] [ ]
| Is the company premises well equipped with fire alarm? |[ ] [ ] [ ]
| Is the firefighting equipment adequate? |[ ] [ ] [ ]
| Are the pulley guards on machines maintained? |[ ] [ ] [ ]
| Are the machines equipped with necessary safety protective gear? |[ ] [ ] [ ]
| Are appropriate danger warning signs put up? |[ ] [ ] [ ]
| Are the workers trained in all safety matters concerning the proper use of their machines? |[ ] [ ] [ ]
| Are there signs to remind workers to wear safety equipments and clothing? |[ ] [ ] [ ]
| Are machines in fitted cases and have emergency cut-off switches? |[ ] [ ] [ ]
| **Dormitories**  |
| Does the company provide recreational facilities/bedrooms/ dormitories?  |[ ] [ ] [ ]
| Are the bedrooms/dormitories clean and in sanitary conditions? |[ ] [ ] [ ]
| Can the occupants freely enter and leave the recreational facilities? |[ ] [ ] [ ]
| Is the number of bedrooms/dormitories sufficient for the number of users? |[ ] [ ] [ ]
| Are there clean and appropriate sanitary facilities in the vicinities of the bedroom/dormitories? |[ ] [ ] [ ]
| Are the bedrooms/dormitories safe against danger and emergency?  |[ ] [ ] [ ]
| Are there lockable cupboards available for workers? |[ ] [ ] [ ]
| Are there separate dormitories for men and women? |[ ] [ ] [ ]
| Is there availability of safe drinking water in dormitories? |[ ] [ ] [ ]

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| **5. FREEDOM OF ASSOCIATION AND RIGHTS TO COLLECTIVE BARGAINING** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Are the rights of workers to form and join unions accepted in the company? |[ ] [ ] [ ]
| Is there any system to listen to complaints of workers? |[ ] [ ] [ ]
| Does the company have a grievance committee? |[ ] [ ] [ ]
| Does the company respect the right to trade union activity and collective pay negotiations? |[ ] [ ] [ ]
| Does the staff know about their rights and can confirm free and collective pay negotiations? |[ ] [ ] [ ]
| Are there internal or external indications of labour conflicts in the recent past? |[ ] [ ] [ ]
| Are the backgrounds to these labour conflicts adequately documented? |[ ] [ ] [ ]
| Does the staff have freedom of assembly and discussion within an appropriate framework? |[ ] [ ] [ ]
| Does the company give the staff sufficient opportunity to discuss and organize their affairs? |[ ] [ ] [ ]
| Does the company provide appropriate rooms and times for this?  |[ ] [ ] [ ]
| Does the company make it clear for all staff that the discussion and organization of labour affairs is legally admissible and can be conducted without sanctions? |[ ] [ ] [ ]
| Are there indications (from NGOs) that individual workers or groups are harassed or discriminated against due to their actions in the workers’ interests? |[ ] [ ] [ ]
| Are there indications that member of trade unions have left the company due to either direct or indirect pressure, or on the basis or special settlements?  |[ ] [ ] [ ]

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| **6. DISCRIMINATION** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Are workers treated equally? |[ ] [ ] [ ]
| Are there any indications of discriminatory practices in the company? |[ ] [ ] [ ]
| Does the company engage in discrimination when hiring, providing compensation, training, promotion, or retirement based on race, caste, national origin, religion, disability, gender, sexual orientation, union membership, or political affiliation? |[ ] [ ] [ ]
| Are these corporate principles understood and taken seriously by all staff? |[ ] [ ] [ ]
| Does the staff receive the same opportunities for in-house promotion and further training? |[ ] [ ] [ ]
| Are there binding guidelines or codes according to which workplaces or performance are evaluated? |[ ] [ ] [ ]
| Are minorities given equal treatment? |[ ] [ ] [ ]
| Are there statements by affected persons or third parties regarding any kind of discriminatory practices? |[ ] [ ] [ ]
| Does the employment questionnaire or the employment procedure of the company contain questions about race, ethnic group, caste, religion, which do not have a reasonable connection with the position to be filled? |[ ] [ ] [ ]
| Does the employment questionnaire or procedure contain questions about pregnancy and birth control? |[ ] [ ] [ ]
| Are their indications of pregnancy tests or exceptional medical examinations when women are employed? |[ ] [ ] [ ]
| Are there indications of harassment in the workplace (e.g. by words, signs, gestures or remarks? |[ ] [ ] [ ]
| Do women and men receive equal pay for equal work? |[ ] [ ] [ ]
| Do women and men have the same chances to improve their qualifications? |[ ] [ ] [ ]
| Are regular training and education measures for all personnel and managerial staff documented which contains the interdiction of discrimination and discriminatory practices at the workplace? |[ ] [ ] [ ]
| Does the company have strict policies against sexual harassment and sexual abuse? |[ ] [ ] [ ]
| Are there any signs of verbal abuse? |[ ] [ ] [ ]
| Are there any signs of physical abuse? |[ ] [ ] [ ]

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| **7. DISCIPLINARY PRACTICES** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Does a documented disciplinary system exist that regulates disciplinary procedures and measures in the company? |[ ] [ ] [ ]
| Do all employees, trade unions and NGOs know the disciplinary system? |[ ] [ ] [ ]
| Are there indications of unusual and unequal treatment or measures in the personnel accounts department? |[ ] [ ] [ ]
| Are there indications of physical punishment? |[ ] [ ] [ ]
| Are there indications of other inadmissible disciplinary measures such as arrests and arbitrary endangerment?  |[ ] [ ] [ ]
| Are dismissals backed up with proper documentation and reasons?  |[ ] [ ] [ ]
| Are there indications or inadmissible disciplinary measures from local or superregional non-governmental organization (NGOs)? |[ ] [ ] [ ]
| Does the company indulge in corporal punishment, mental or physical coercion and verbal abuse? |[ ] [ ] [ ]
| Is the salary of workers reduced to compel them to follow discipline? |[ ] [ ] [ ]

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| **8. WORKING HOURS** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Is there a time record system established in the company? |[ ] [ ] [ ]
| Is it stated somewhere mentioned in local language on the premises that the standard working hours per week are 48 hours? |[ ] [ ] [ ]
| Are there guidelines or agreements, which define “special company requirements” as a reason for overtime/extra work? |[ ] [ ] [ ]
| Are these guidelines clear, practicable and reasonable? |[ ] [ ] [ ]
| Are there any indications of forced leave or frequently cancelled shifts? |[ ] [ ] [ ]
| Are there any indications of work shifts of more than 12 hours? |[ ] [ ] [ ]
| Are there indications of forced overtime? |[ ] [ ] [ ]
| Are there any measures established to reduce/avoid overtime? |[ ] [ ] [ ]
| Is the company employing workers for more than 12 hours of overtime? |[ ] [ ] [ ]
| Are they paid at a premium for overtime? |[ ] [ ] [ ]
| Are the workers given a day’s off? |[ ] [ ] [ ]
| Are the workers provided with breaks after 5 hours of work? |[ ] [ ] [ ]
| Are their proper systems to note beginning and end of work time everyday for all the workers? |[ ] [ ] [ ]
| Is there proper system to record absence leaves, rest days, overtime, etc.?  |[ ] [ ] [ ]

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| **9. COMPENSATION** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Are the workers paid a minimum wage according to their work and as per the ILO guidelines? |[ ] [ ] [ ]
| Are wages paid on time? |[ ] [ ] [ ]
| Has the company maintained payment records? |[ ] [ ] [ ]
| Has the company taken social welfare programmes/measures? |[ ] [ ] [ ]
| Is the overtime appropriately rewarded (double amount of the normal wage rate)? |[ ] [ ] [ ]
| Do the wages and benefits paid correspond to the currently valid standard for the business sector and/or region? |[ ] [ ] [ ]
| Are the wages meeting minimum industry standards? |[ ] [ ] [ ]
| Are the average wages below basic needing wage?  |[ ] [ ] [ ]
| If Yes: Are there any considerations/plans to raise the wage level accordingly in the foreseeable future? |[ ] [ ] [ ]
| Do all workers receive their wage regularly and punctually? |[ ] [ ] [ ]
| Are the pay slips handed out to the workers? |[ ] [ ] [ ]
| Are the modes of pay appropriate for the workers? |[ ] [ ] [ ]
| Are there indications of arbitrary pay cuts or reductions?  |[ ] [ ] [ ]
| Does the company issue comprehensible pay slips?  |[ ] [ ] [ ]
| Are the nature, amount and accounting of wage payments understandable for all workers? |[ ] [ ] [ ]
| Are there wage reductions for the workers for machine downtimes or due to shortage of raw materials of energy?  |[ ] [ ] [ ]
| Are there indications that days lost due to illness are used as a reason for pay deductions?  |[ ] [ ] [ ]
| Are there indications for misuse of apprenticeships-contracts?  |[ ] [ ] [ ]
| Are wages and benefits given by any other means other than providing them in cash or cheque? |[ ] [ ] [ ]

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| **10. SUB – SUPPLIERS** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| Has the company developed a formal evaluation procedure for selecting its upstream suppliers?  |[ ] [ ] [ ]
| Are the suppliers/contractors/sub-contractors adhered to the Code of Conduct? |[ ] [ ] [ ]
| Are the company’s suppliers/contractors/sub-contractors paying minimum wages to their workers? |[ ] [ ] [ ]
| Has the company created a transparent controlling system regarding social and environmental standards to monitor their suppliers and upstream suppliers? |[ ] [ ] [ ]
| Are the social and environmental standards part of the contract between the company and its suppliers/upstream suppliers? |[ ] [ ] [ ]
| Does the company maintain complete and transparent documentation about their suppliers and the evaluation of them?  |[ ] [ ] [ ]
| Are home workers selected and monitored on the basis of social and environmental standards?  |[ ] [ ] [ ]
| If the pre-products are produced via agents or intermediaries, is it ensured that these evaluate their sources using the same criteria as the company itself?  |[ ] [ ] [ ]

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| **11. ENVIRONMENTAL ASPECTS** | Score:Compliance:   Non-Compliance:    |
|  | **Yes** | **No** | **Not Applicable** |
| **General aspects** |
| Is there a complete inventory of all environmentally relevant factors for the entire entrepreneurial activity (emissions, water pollution, energy consumption, health hazards etc.)? |[ ] [ ] [ ]
| Has the company defined a need of action in terms of environmental protection measures? |[ ] [ ] [ ]
| Is there a list of priorities of the most necessary environmental protection measures?  |[ ] [ ] [ ]
| Is there information from NGOs and/or third parties about corporate behavior which is not environmentally sound?  |[ ] [ ] [ ]
| Does the company maintain clear documentation of its own contributions to environmental protection?  |[ ] [ ] [ ]
| Are proper documents prepared for energy usage, water usage, and effluent treatment performance? |[ ] [ ] [ ]
| Is there any representative to ensure that environmental requirements are being implemented? |[ ] [ ] [ ]
| **Waste/Hazardous Waste**  |
| Has the company established good housekeeping measures to minimize the accumulation of waste? |[ ] [ ] [ ]
| Is waste/hazardous waste stored safely so that it cannot cause damage to the environment? |[ ] [ ] [ ]
| Are employees sensitive towards environmental protection? |[ ] [ ] [ ]
| Does the company recycle waste? |[ ] [ ] [ ]
| **Chemicals**  |
| Has the company established good housekeeping measures to avoid contamination of the environment by chemicals?  |[ ] [ ] [ ]
| Is the storage, use disposal of chemicals regulated and sage for the environment?  |[ ] [ ] [ ]
| Are employees working with chemicals trained accordingly?  |[ ] [ ] [ ]
| Is the chemical waste being discharged in drains and nearby water bodies? |[ ] [ ] [ ]
| Are chemicals, oils, solvents disposed of separately? |[ ] [ ] [ ]
| **Water/Wastewater** |
| Has the company established good housekeeping measures to minimize the water consumption? |[ ] [ ] [ ]
| Does the wastewater undergo a preliminary treatment?  |[ ] [ ] [ ]
| Is consumption of water monitored every day? |[ ] [ ] [ ]
| Is there water meters installed? |[ ] [ ] [ ]
| Does the company take measures to harvest rainwater? |[ ] [ ] [ ]
| **Air** |
| Has the company established good housekeeping measures to minimize the emission of toxic gases in the air? |[ ] [ ] [ ]
| Has the company established a monitoring system to regularly check the values of its emissions?  |[ ] [ ] [ ]
| Is the emission of toxic and unnatural substances in air pre-treated?  |[ ] [ ] [ ]
| **Energy conservation**  |
| Has the company established good housekeeping measures to minimize the use for energy?  |[ ] [ ] [ ]
| Has the company established an energy conservation plan?  |[ ] [ ] [ ]
| Are there interests of the company to change to regenerative energy?  |[ ] [ ] [ ]
| Has the company established an energy conservation plan that considers the minimization of heating and cooling, water heating, windows and lighting? |[ ] [ ] [ ]
| Is the consumption of energy monitored on a daily basis? |[ ] [ ] [ ]
| Are machines running uselessly without being in actual use? |[ ] [ ] [ ]