

Assessment Checklist Based on the Swedish Association of Local Authorities and Regions (SALAR) Code of Conduct example

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1 Instructions

Describe in detail the audit process (methodology used) and how you have conducted the research in this specific case. The presentation should be approximately one page long (circa 400 words).

The final report should give

- A completed checklist with a presentation of the suggested most urgent corrective actions identified by the auditor.
- An indication of the relevance of the audit results. For example, present possible weaknesses in the method used. Indicate how many local stakeholders have been interviewed. When possible, use several and unrelated sources of information (triangulation).

2 Company (supplier) Information

Company Name	
Company Headquarters Mailing Address	
Name of Facility Audited	
Address of Facility	
Contact Person	
Tel	
Fax	
E-mail	
Products Manufactured	
Production Process Flow	
Equipment used	

Employees details			
	Male	Female	Total
Supervisors / Managers			
Administration Staff			
Quality Control Staff			
Engineering Staff			
Workers			
Sub-total			

Miscellaneous		
	Yes/No /NA	Comment
Has the facility undergone a social audit previously? If yes, report when the audits have been conducted		
Does the facility cooperate with any local trade unions, NGO:s or other external organisations? If yes, describe the cooperation and its scope		
Does the facility have any documented policies regarding CSR issues? If yes, give a brief description / overview		

3 Team of auditors

Auditor name	Auditing company	Role in the team	Audit date

4 Representatives of audited company

Name	Position / department

Number of employees interviewed	
Number of individual interviews	
Number of group interviews	

5 Compliance Summary

Issues		Acceptable ¹	
		Y	N
a	Freedom of Association ²		
b	Child Labour		
c	Forced Labour and Disciplinary Practices		
d	Discrimination		
e	Local legislation, including workers rights, social insurance and minimum wage		
Conclusion			

1 A yes mark requires that the overall rating of the section is "Fully acceptable" or that the identified areas of improvement are few and not judged as severe.

2 In the case of countries where freedom of association is restricted by law, the auditor should evaluate other means used by the factory to facilitate free and open negotiations between employer and employees.

6 Assessment Checklist

a. Freedom of Association

<u>Question no.</u>	<u>Requirement</u>	<u>Yes/No/NA</u>	<u>Comments</u>
a.1	Does the facility have a copy of valid laws and regulations on trade union and freedom of association?		
a.2	Does the facility understands its requirements?		
a.3	Is workers' right to form and join free trade unions and workers associations acknowledged by the management and workers?		
a.4	Are trade unions or workers' associations formed at the facility? If no, why? If yes, please report name of organisation and contact person.		
a.5	Do workers elect their own representatives / spokespersons? If yes, please specify their title.		
a.6	Do worker representatives have access to members at workplace?		
a.7	Is any evidence identified on disparate treatment between union/non-union workers?		
a.8	If restricted by law or if there is no formal workers union / association, does the facility facilitate parallel means such as worker committee? If yes, describe the way it works.		
a.9	For non-unionised facility, are fair and effective mechanisms to ventilate and resolve grievances of workers in place? If yes, describe the way it works.		
a.10	Does the facility provide workers to choose a representative from their own group to facilitate communication with senior management?		
a.11	Does the facility encourage workers to formally join and carry out activities like complaints and resolutions of workers grievances, health and safety related activities, etc?		
a.12	Do interviews with workers and representative confirm the above findings?		
a.13	Do interviews with local trade unions and / or NGO:s confirm the above findings? If anything else of relevance is mentioned in these interviews, please report.		

<u>Freedom of Association:</u> <u>Overall rating</u>	<u>Y</u>	<u>N</u>	<u>Comment / description</u>
Non conformances			
Areas of improvement			
Fully acceptable			

<u>Corrective Actions recommended by auditor</u>	<u>Name of responsible department or similar</u>	<u>Suggested deadline</u>
1		
2		
3		
4		

<u>Other relevant comments from the interviews</u>

b. Child Labour

<u>Question no.</u>	<u>Requirement</u>	<u>Yes/No/NA</u>	<u>Comments</u>
b.1	Does the facility have a copy of valid laws and regulations on child labour?		
b.2	Does the facility understands its requirements?		
b.3	Does the facility have a copy of valid regulations and laws on young worker protection or understands its requirements?		
b.4	Does the facility have effective procedures to verify the age of worker at the time of recruitment? If yes, please describe these procedures.		
b.5	Does the facility keep adequate age documents of workers such as ID copies and personnel records?		
b.6	Is any evidence identified that child labour was employed at the facility?		
b.7	Does the youngest age of workers at the facility comply with local legal requirements?		
b.8	Are suspected young worker age records such as age certificate, local records or certificate from surgeon verified?		
b.9	Are children or young workers engaged in hazardous work?		
b.10	Are children or young workers employed at night shift?		
b.11	Does the facility implement any work experience scheme or similar for school age children?		
b.12	Does the facility use subcontracting? If yes, describe how it is assured that subcontractors do not employ children.		
b.13	Are above findings confirmed through interviews with workers?		
b.14	Do interviews with local trade unions and / or NGO:s confirm the above findings? If anything else of relevance is mentioned in these interviews, please report.		

<u>Child Labour:</u>	<u>Y</u>	<u>N</u>	<u>Comment / description</u>
<u>Overall rating</u>			
Non conformances			
Areas of improvement			
Fully acceptable			

<u>Corrective Actions recommended by auditor</u>	<u>Name of responsible department or similar</u>	<u>Suggested deadline</u>
1		
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3		
4		

<u>Other relevant comments from the interviews</u>

c. Forced Labour and Disciplinary Practices

<u>Question no.</u>	<u>Requirement</u>	<u>Yes/No/NA</u>	<u>Comments</u>
c.1	Does the facility have a copy of valid laws and regulations on forced labour?		
c.2	Does the facility understand its requirements?		
c.3	Are workers free to leave the premises after working hours?		
c.4	Are workers permitted time-off with doctor's certificate when sick or for maternity leave?		
c.5	Is any evidence of physical or verbal abuse or use of force identified?		
c.6	Do all workers sign employment contracts with the facility? If yes, please ask for copies.		
c.7	Is any evidence identified that security guards were used to coerce workers?		
c.8	Are workers required to lodge deposits or original documents such as ID papers, training certificate, etc?		
c.9	Is any physical method impeding freedom of workers such as surveillance camera, locked exits during working hours, fences, etc? If no, describe the alternative methods in place to discipline the workers		
c.10	Is any evidence identified on the use of forced labour or prison labour?		
c.11	Does the facility have a copy of valid laws and regulations on disciplinary practices?		
c.12	Does the facility understand its requirements?		
c.13	Does any evidence exist for mental / physical coercion?		
c.14	Is any evidence deductions from pay for non-fulfilling production targets or sickness?		
c.15	Is the facility free of any penalty from violation of laws and regulations in the past 12 months?		
c.16	Are above findings confirmed through interviews with workers?		
c.17	Do interviews with local trade unions and / or NGO:s confirm the above findings? If anything else of relevance is mentioned in these interviews, please report.		

<u>Forced Labour:</u> <u>Overall rating</u>	<u>Y</u>	<u>N</u>	<u>Comment / description</u>
Non conformances			
Areas of improvement			
Fully acceptable			

<u>Corrective Actions recommended by auditor</u>	<u>Name of responsible department or similar</u>	<u>Suggested deadline</u>
1		
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3		
4		

<u>Other relevant comments from the interviews</u>

d. Discrimination

<u>Question no.</u>	<u>Requirement</u>	<u>Yes/No/NA</u>	<u>Comments</u>
d.1	Does the facility have a copy of valid laws and regulations on non-discrimination?		
d.2	Does the facility understands its requirements?		
d.3	Can the facility demonstrate that it has working practices to avoid discrimination, when hiring workers as well as during employment?		
d.4	Is any evidence identified on discrimination in employment, promotion, compensation, welfare, dismissal and retirement, etc?		
d.5	Do employment reflect local ethnic and / or religious breakdown, i.e. no domination of one group? (please note that this should be checked also for different positions at the facility such as supervisors)		
d.6	Does employment records show any evidence of discrimination, for example patterns of dismissal?		
d.7	Do workers have access to and familiarity with procedures for filing complaints about discrimination?		
d.8	Is equal pay for equal work for male and female workers implemented at the facility?		
d.9	Is there any existence of sexual harassment, especially of young female workers?		
d.10	Is any evidence identified on discrimination through interview with workers, individual and collective?		
d.11	Are above findings confirmed through interviews with workers?		
d.12	Do interviews with local trade unions and / or NGO:s confirm the above findings? If anything else of relevance is mentioned in these interviews, please report.		

<u>Discrimination:</u>	<u>Y</u>	<u>N</u>	<u>Comment / description</u>
<u>Overall rating</u>			
Non conformances			
Areas of improvement			
Fully acceptable			

<u>Corrective Actions recommended by auditor</u>	<u>Name of responsible department or similar</u>	<u>Suggested deadline</u>
1		
2		
3		
4		

<u>Other relevant comments from the interviews</u>

e. Local legislation

<u>Question no.</u>	<u>Requirement</u>	<u>Yes/No/NA</u>	<u>Comments</u>
e.1	Does the facility have a copy of valid laws and regulations on working hours?		
e.2	Does the facility understands its requirements?		
e.3	Does the facility have a written policy on working hours, rest and vacations?		
e.4	If yes, is the policy communicated to all workers?		
e.5	Does the working hours policy meet local laws and regulations?		
e.6	Is the working hours of individual workers recorded?		
e.7	What is the facility's average working hours per day and week (including overtime)? Does it meet legal requirements? Ask for documentation		
e.8	What is the facility's maximum working hours per day and week? Does it meet legal requirements? Ask for documentation		
e.9	What are the average overtime hours of individual workers on a weekly basis? Does it meet legal requirements? Ask for documentation		
e.10	Does the facility have a copy of valid laws and regulations on compensation and benefits?		
e.11	Does the facility understands its requirements?		
e.12	Does the facility have a written policy on compensation and benefits?		
e.13	Does the facility have a written policy on vacations?		
e.14	If yes, is the policies communicated to all workers? Describe how this is done		
e.15	What is the payed minimum wages at the facility?		
e.16	Do all workers' wages meet local minimum wages (including trainees / apprentice workers)?		
e.17	Is the method for calculating compensation, including overtime, communicated to all workers and understood by them?		
e.18	Are fair and legal rates paid for overtime?		
e.19	Do workers receive correctly calculated wages per local legal requirements?		

e.20	Are all workers provided social insurance per local legal requirements?		
e.21	Does the facility have a copy of valid laws and regulation on health and safety?		
e.22	Does the facility understand its requirements?		
e.23	Does the facility arrange health and safety training for new workers?		
e.24	Are training and awareness programs on health and safety arranged regularly for all workers?		
e.25	Are accidents reported and recorded? Ask for documentation		
e.26	Does the facility have valid fire inspection certificates issued by local fire service authority?		
e.27	Does the facility have adequate number of fire extinguishers at each facility floor?		
e.28	Are fire drills conducted regularly at least once a year?		
e.29	Are fire exits and escape routes adequate at each facility floor?		
e.30	Does the facility have valid inspection certificates for boilers, elevators, pressure vessels and other equipment per local regulation?		
e.31	Are the operators of above mentioned equipment trained and qualified per local regulation?		
e.32	Are adequate guarding installed for moving parts of pulleys, belts or any other dangerous machines?		
e.33	If hazardous fumes exist – is air quality tests done?		
e.34	Are dangerous/hazardous substances used or stored at the facility?		
e.35	Are these substances safely and securely stored?		
e.36	Are personal protective equipment (PPE) such as goggles, glasses, gloves, earplug / muff, boots, or protective clothing provided at facility cost and in fully acceptable condition?		
e.37	Are the PPE equipment used by workers?		
e.38	Does the facility have a suitable working environment in respect of ventilation, temperature, lightning, cleanliness, and crowding?		

e.39	Are there adequate evidence (such as health examinations) confirming that the workers health is not affected by hazardous factors?		
e.40	Does the facility have any occupational health certificate issued by local government authority?		
e.41	Are adequate first aid kits located at each facility floor and marked with signs?		
e.42	Are workers trained on first aid? If yes, how many?		
e.43	Is potable water accessible and adequate at each facility floor?		
e.44	Are lavatory facilities accessible, clean and reasonable in number at each facility floor? Does it meet local requirements?		
e.45	Are the facility kitchen and canteen clean and hygienic with adequate facilities?		
e.46	Are kitchen and canteen subject to local government licensing?		
e.47	If yes, does the facility have such a permit or license?		
e.48	What is the average dormitory space per worker?		
e.49	How many workers per room?		
e.50	Does the dormitories meet with local norms and standards?		
e.51	Does the living space for each worker meet the requirements of relevant local regulations?		
e.52	Are kitchen, laundry facilities available in dormitory?		
e.53	Do the dormitory buildings appear structurally sound and in acceptable repair?		
e.54	Are dormitory exits unblocked and unlocked for emergency evacuation?		
e.55	Do interviews with local trade unions and / or NGO:s confirm the above findings? If anything else of relevance is mentioned in these interviews, please report.		

<u>Local legislation:</u>	<u>Y</u>	<u>N</u>	<u>Comment / description</u>
<u>Overall rating</u>			
Non conformances			
Areas of improvement			
Fully acceptable			

<u>Corrective Actions recommended by auditor</u>	<u>Name of responsible department or similar</u>	<u>Suggested deadline</u>
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<u>Other relevant comments from the interviews</u>