

ICTI Ethical Toy Program Checklist 2018

V1.0 June 2018

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Section 1 Audit Process

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
1.1 Transparency			
1.1.1	<p>*New* Has the factory allowed the audit to be conducted without denial of access?</p>	<p>Yes <input type="checkbox"/></p> <p>Zero Tolerance <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Auditors must have full access to the factory for the purpose of the audit (e.g. documentation, areas in the facility, workers for interview).</p> <p><u>Notes:</u> 1. Access to information must be under permission of factory management or accompanied by personnel authorized by the factory. 2. Access to workers' testimony through workers' interview should be managed in a safe way (especially handling sensitive issues such as sexual harassment or abuse cases) with private space provided to avoid retaliation from factory management.</p>
1.1.2	<p>*New* Has the factory allowed the audit to be conducted without intentional concealment or hidden audit scope?</p>	<p>Yes <input type="checkbox"/></p> <p>Zero Tolerance <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Examples of hidden audit scope include but is not limited to: a. hidden workers, b. hidden production sites, and c. hidden records (e.g. documents).</p>
1.2 Interference			
1.2.1	<p>*New* Is the whole assessment process free from bribery attempts?</p>	<p>Yes <input type="checkbox"/></p> <p>Zero Tolerance <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. The whole assessment process must be free from bribery attempts of any kind.</p>
1.2.2	<p>*New* Is the coaching of workers prohibited?</p>	<p>Yes <input type="checkbox"/></p> <p>Critical <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Workers cannot be coached for audits. 2. Coaching examples: a. Workers are instructed to give false information (e.g. wages, working hours, living/working conditions), and b. Workers are instructed to avoid answering certain questions or types of questions.</p>

Section 2 Business Ethics

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
2.1 Policy			
2.1.1	<p>*New* Does the factory have a Business Integrity policy?</p>	<p>Yes <input type="checkbox"/></p> <p>Minor <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. The Business Integrity policy needs to:</p> <ul style="list-style-type: none"> a. cover unethical behavior such as bribery, corruption, and fraud (e.g. credit card fraud); b. apply to the factory and its brokers/agents; and c. indicate the reporting channel when fraudulent business practices occur.
2.1.2	<p>*New* Is there a designated staff member responsible for implementing the Business Integrity policy?</p>	<p>Yes <input type="checkbox"/></p> <p>Minor <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<ul style="list-style-type: none"> 1. The designated staff member needs to be aware of the policy for implementation. 2. The auditor may interview the designated staff member to assess his or her awareness of the policy.
2.2 Training			
2.2.1	<p>*New* Are staff, who may be exposed to unethical behavior, trained on the contents of the policy?</p>	<p>Yes <input type="checkbox"/></p> <p>Minor <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<ul style="list-style-type: none"> 1. Staff who may be exposed to unethical behavior such as purchasing personnel, staff working with certification bodies. 2. Even if the factory does not have a written policy, the designated staff must be trained on the contents (i.e. unethical behavior). 3. Training contents and records must be accurately maintained.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
3.1 Policy			
3.1.1	Does the factory have a written minimum working age policy in line with legal and IETP requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. include the legal minimum working age requirement; c. include IETP minimum working age requirement, which is 15; and d. state that the minimum working age in the factory is the legal requirement or IETP requirement, whichever is higher.
3.1.2	Are the contents of the policy made available and effectively communicated to all workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contents of the policy include, but are not limited to, minimum age requirements. 2. At a minimum, the contents must be communicated to workers at employment orientation. 3. Other acceptable means of communication may include in the Worker Handbook, in workers contracts, or on notice boards throughout the factory, and it must be communicated in a manner which workers are able to understand in the local legal language. 4. Even if the factory does not have a written policy, the contents (i.e. the factory's minimum age requirements) still need to be communicated to workers. 5. Auditors must verify that the contents of the policy have been communicated to all workers (e.g. through orientation records). 6. Workers to be notified of any changes to the contents. 7. Advisory support should be available to workers, and workers need to know where to get help and support when they need it (e.g. through HR or Worker Services department).
3.2 Training			
3.2.1	Are staff responsible for hiring trained with records maintained?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Designated staff must be trained to implement the minimum age policy and related operation management. 2. Staff responsible for hiring and other personnel functions must be properly trained to: a. ensure no underage workers are hired, and b. verify age and ID validity.
3.3 Underage Workers			
3.3.1	Are underage workers prohibited in the factory?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	1. Underage worker means a worker whose age is lower than the factory minimum working age. 2. Minimum working age in the factory is the legal requirement or IETP requirement of 15 years old, whichever is higher. <u>Notes:</u> 1. If an underage worker has been hired, the factory must immediately stop them from working in the factory. 2. The factory must provide a health check for the underage worker (if they were found working on hazardous or chemical processes, an occupational check must also be conducted). 3. The factory must proceed according to IETP Underage Worker Rescue Procedure.
3.3.2	*New* Does the factory have no cases of historical underage workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. No cases of historical underage workers have been discovered in the audit scope period. 2. Definition of historical underage workers: a. workers who were below the minimum age when they were employed by the factory, but who have since reached the minimum age and are still working at the factory when the audit is conducted; or b. workers who were below the minimum age when they were employed by the factory, but who have since left the factory. The workers are no longer working at the factory when the audit is conducted.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
3.4 Documentation			
3.4.1	Are workers' personnel files accurately maintained?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. All workers' records must be accurate and traceable. 2. Workers' records must include a copy of workers' identification and age verification documents.
3.4.2	Are workers' identification documents valid?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Auditors will sample workers and request their ID to review for validation. 2. Invalid forms of ID include, but are not limited to, falsified ID, ID belonging to another person.
3.5 Contracts			
3.5.1	Do workers' labor contracts meet regulatory and legal requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Labor contracts need to: a. fulfill local legal requirements; b. be in the local legal language; c. be comprehensive, they must include, but are not limited to, employment conditions, rights, responsibilities, wages, compensation, benefits, withholdings, deductions, and duties; and d. include terms that are proper, they must include, but are not limited to, description of terms and conditions of employment (including nature of work and terms of physical environment or housing) that are transparent, accurate, and understandable prior to employment. 2. Original contract terms cannot be replaced, or changed, without consent from the factory and the workers affected. 3. Contracts are explained accurately and thoroughly for workers who cannot read. This is done prior to signing the contracts. 4. Workers must only be required to sign the contract after all the required information that is listed has been explained.
3.5.2	Is a labor contract signed with each worker, where required and applicable?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers may be required by law to enter into a labor contract within a certain period after commencing employment. (e.g. days after commencing work, completion of certain processes such as health check).
3.5.3	Do workers receive the contract signed by both parties?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Each worker must receive their labor contract, signed by both parties, for their records.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
3.6 Homework and Cottage Work			
3.6.1	Are homework and cottage work prohibited?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers are not allowed to work outside of the factory production area (i.e. take work home or to dormitories). 2. Cottage work refers to work distributed by the factory to outsiders (e.g. villagers) for production.
3.7 Recruitment Fees			
3.7.1	*New* Does the factory have a policy which prohibits charging recruitment fees to workers?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. explicitly state that all workers, including foreign migrant workers, must not pay fees, deposits, or incur debt as part of the recruitment process; c. include the designated person responsible for communicating, deploying, and monitoring that the policy is enforced; and d. have procedures on handling and remediation of violations of the policy where workers have paid unauthorized fees in their recruitment process through brokers or agents.
3.7.2	*New* Has the factory verified that recruitment brokers and agents used adhere to legal hiring practices?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory should validate and keep records of licenses for all brokers/agents used. 2. The factory should ensure brokers/agents used have policies on the local legal labor requirements and that they adhere to them. 3. The policy should explicitly state that workers are hired on a voluntary basis. 4. The policy should explicitly state that all workers are not charged any fees and are not employed under any other financial or collateral guarantee. 5. This is applicable to any new or renewed contract from Jan 1st 2019.
3.8 Foreign Migrant Workers			
3.8.1	*New* Does the employment of foreign migrant workers comply with legal requirements?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	1. Foreign migrant workers employed through brokers/agents or employed by the factory must comply with legal requirements.
3.8.2	*New* Does the factory prohibit charging foreign migrant workers recruitment related fees?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Any recruitment fees paid by workers during the recruitment process must be prohibited.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
4.1 Young Workers			
4.1.1	If young workers are present, are they working on allowable assignments, as specified by legal and IETP requirements?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. A young worker is defined as one above the minimum working age but below the legal age of adulthood (typically 18). 2. Where there are legal work restrictions for young and student workers, they should be followed (e.g. prohibiting working on hazardous operations, or night shifts). 3. IETP requires that young workers are: a. not assigned to heavy machinery or chemical processes, b. not assigned to night shifts, and c. provided health checks free of charge.
4.1.2	Does the factory keep a list of appropriate assignments for young workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The list records information accurately on young workers and their job assignments. 2. The list must be kept up-to-date.
4.2 Pregnant Workers			
4.2.1	*New* Are pregnant workers assigned appropriate job tasks?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Pregnant workers are not to be assigned to labor-intensive work involving long hours standing, heavy lifting, etc.
4.2.2	*New* Are pregnant workers given additional necessary and reasonable breaks?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	
4.2.3	*New* Are female workers with breastfeeding needs provided with appropriate space and breaks?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Refer to legal requirements if any.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
5.1 Policy			
5.1.1	Does the factory have a written working hours policy that meets IETP requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. include working hours, working days, and overtime in line with IETP requirements; and c. include the designated qualified person responsible for communicating, deploying, and monitoring that the policy is enforced.
5.1.2	Are the contents of the policy made available and effectively communicated to all workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contents of the policy include, but are not limited to, working hours, working days and overtime. 2. At a minimum, the contents must be communicated to workers at employment orientation. 3. Other acceptable means of communication may include in the Worker Handbook, in workers contracts, or on notice boards throughout the factory, and it must be communicated in a manner which workers are able to understand in the local legal language. 4. Even if the factory does not have a written policy, the contents (i.e. the factory's working hours, working days, and overtime) still need to be communicated to workers. 5. Auditors must verify that the contents of the policy have been communicated to all workers (e.g. through orientation records). 6. Workers to be notified of any changes to the contents. 7. Advisory support should be available to workers, and workers need to know where to get help and support when they need it (e.g. through HR or Worker Services department).
5.2 Documentation			
5.2.1	Do working hour and payroll records accurately reflect all time worked?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers' time records must accurately reflect actual hours worked and show compensation.
5.2.2	Are all hours worked documented?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 20% sampled records are incomplete or with errors Major <input type="checkbox"/> ≤ 20% sampled records are incomplete or with errors N/A <input type="checkbox"/>	1. Examples of acceptable time records: a. time clock system (worker's signature confirmation is needed once per month), b. piece rate records (worker's signature confirmation is needed once per month), c. manual time recording system (worker's signature confirmation is needed once per week), or d. computer recording system. 2. Time records must be complete and include, but are not limited to: a. information about the worker, and b. signature confirmation where required. 3. Time records must be provided for the required audit period (e.g. 12 months). 4. Time records must cover all workers in the factory.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
5.2.3	Are workers aware of, and able to verify, their working hours in their time records?	Yes <input type="checkbox"/> Major <input type="checkbox"/> No such verification channel exists / > 20% of sampled workers cannot verify or are unaware of the verification channel Minor <input type="checkbox"/> ≤ 20% of sampled workers cannot verify or are unaware of the verification channel N/A <input type="checkbox"/>	1. Workers should be able to freely verify their time records. 2. For electronic time cards, workers need to have the means to freely check their working hours (e.g. via a computer terminal, printout). 3. The factory needs to ensure that all workers are aware of such verification channel.
5.3 Working Hours			
5.3.1	*New* Are maximum weekly working hours within IETP requirements?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Max. weekly working hours > 78 hours Major <input type="checkbox"/> 72 hours < max. weekly working hours ≤ 78 hours N/A <input type="checkbox"/>	
5.4 Breaks			
5.4.1	Do workers receive 1 day off in a pre-defined week?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 20% of sampled workers are not given the day off / 1 sampled worker has worked more than 13 days consecutively Major <input type="checkbox"/> ≤ 20% of sampled workers are not given the day off N/A <input type="checkbox"/>	

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
5.4.2	Do workers receive meal breaks of at least 30 minutes?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 20% of sampled workers do not receive such breaks Major <input type="checkbox"/> ≤ 20% of sampled workers do not receive such breaks NA <input type="checkbox"/>	
5.4.3	Do workers receive breaks of at least 15 minutes after 6 consecutive hours worked?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 20% of sampled workers do not receive such breaks Major <input type="checkbox"/> ≤ 20% of sampled workers do not receive such breaks N/A <input type="checkbox"/>	
5.4.4	Are workers provided with at least 10 consecutive hours rest in a predefined 24-hour cycle?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 20% of sampled workers are not provided with such rest / 1 sampled worker has less than 8 hours Major <input type="checkbox"/> ≤ 20% of sampled workers are not provided with such rest N/A <input type="checkbox"/>	

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
5.4.5	Are workers allowed toilet and water breaks?	Yes <input data-bbox="674 212 734 264" type="checkbox"/> Critical <input data-bbox="674 284 734 336" type="checkbox"/> > 20% of sampled workers are restricted in taking these breaks Major <input data-bbox="674 355 734 408" type="checkbox"/> ≤ 20% of sampled workers are restricted in taking these breaks N/A <input data-bbox="674 427 734 480" type="checkbox"/>	1. Workers are free to go to the toilet and to drink water at any time (i.e. there are no restrictions or special approval required).

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
6.1 Policy			
6.1.1	Does the factory have a written policy for wages and benefits that meet local laws and IETP requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. include wages and benefits that meet local laws and IETP requirements; c. include minimum wage as per local legal requirements; d. include any withholdings or deductions; and e. include the designated qualified person responsible for communicating, deploying, and monitoring that the policy is enforced. 2. IETP requires: a. 100% worker injury insurance coverage, and b. wages are paid directly to workers. 3. Legally required withholdings or deductions can include, but are not limited to, taxes, retirement funds and social insurance.
6.1.2	Are the contents of the policy made available and effectively communicated to all workers with advisory support made available?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contents of the policy include, but are not limited to, local legal and company minimum wage rates, withholdings, and deductions. 2. At a minimum, the contents must be communicated to workers at employment orientation. 3. Other acceptable means of communication may include in the Worker Handbook, in workers contracts, or on notice boards throughout the factory, and it must be communicated in a manner which workers are able to understand in the local legal language. 4. Even if the factory does not have a written policy, the contents (i.e. the factory's wages and benefits) still need to be communicated to workers. 5. Auditors must verify that the contents of the policy have been communicated to all workers (e.g. through orientation records). 6. Workers to be notified of any changes to the contents. 7. Advisory support should be available to workers, and workers need to know where to get help and support when they need it (e.g. through HR or Worker Services department).
6.2 Wages and Benefits			
6.2.1	Are all wages and benefits documented on payroll records?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 20% samples are incomplete or with errors Major <input type="checkbox"/> ≤ 20% samples are incomplete or with errors N/A <input type="checkbox"/>	1. Payroll records must include all legally required items (e.g. basic wage). 2. Payroll records must be provided for the required audit period (e.g. 12 months). 3. Payroll records must cover all workers in the factory. 4. Bank transfer records need to be available for review during audit.
6.2.2	Do wages paid to workers meet legal requirements?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Wages paid cannot be lower than legal requirements. 2. Wages paid cannot be lower than the amount agreed in the signed contract.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
6.2.3	Does the factory provide 100% coverage on worker injury insurance and other legally required benefits to workers?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. IETP requires 100% coverage on worker injury insurance. 2. Legally required benefits can include, but are not limited to, annual leave, sick leave, and maternity leave.
6.3 Withholdings and Deductions			
6.3.1	*New* Does the factory have a written policy for replacement items in the case of loss or damage by workers?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Replacement items can include, but are not limited to, tools, personal protective equipment (PPE), and facilities. 2. The policy needs to include: a. item descriptions with replacement charges, and b. explanation as to why workers would be required to pay such charges in the case of loss or damage.
6.3.2	Are deposits for factory provided items prohibited?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Deposits cannot be required for factory provided items such as tools, personal protective equipment (PPE), uniforms, and identification cards.
6.3.3	Are withholdings or deductions reasonable?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. No replacement charges can be more than the cost of the item itself. 2. Replacement due to wear and tear or malfunction cannot be charged to workers.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
6.3.4	Are all legal withholdings or deductions recorded and paid to authority(s)?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> >20% samples are not in line, not recorded, or not paid to authority(s) Major <input type="checkbox"/> ≤20% samples are not in line, not recorded, or not paid to authority(s) N/A <input type="checkbox"/>	1. Legal withholdings or deductions can include, but are not limited to, taxes, retirement funds, and social insurance. 2. Legally required withholdings must be recorded and provided to the relevant proper authority(s). 3. Verification of records by auditors is required (e.g. payment slips to government authorities on taxes). 4. All legal withholdings or deductions must comply with legal requirements.
6.3.5	Are workers given the choice of enrollment for reasonably priced food and housing?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Where the factory offers food and housing, workers are free to decide if they wish to enroll. 2. The total price for food and housing per paid period must be less than 50% of the legal minimum wage for the same period (excluding overtime and bonuses). 3. Workers must not be required to sign up to excessively long rental periods for accommodation or lodge excessive deposits with financial penalties for leaving employment early.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
6.4 Payroll and Pay slips			
6.4.1	Are all workers paid on time?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers must be paid in a timely manner as required by local law. 2. Workers must be paid no more than one month following the work period. 3. This includes workers who have resigned.
6.4.2	Are workers paid directly?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. This includes all wages and benefits which must be paid directly to the worker. 2. Paying workers through a recruitment agency, or any other person or group other than the worker themselves is prohibited.
6.4.3	Are workers provided with detailed and accurate pay slips?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Pay slip details need to include, where applicable: a. worker information, i.e. name, and department; b. working hours, i.e. normal, overtime, holiday and national holiday overtime; c. wages, i.e. normal, overtime, holiday and national holiday overtime, bonus, allowance, gross wages, and net income; d. details of the piece rate; e. withholdings or deductions, i.e. social security, tax deductions, and fees for accommodation or meals; and f. leave, i.e. paid leave, and unpaid leave. 2. All details on the pay slips need to be accurate.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
7.1 Policy			
7.1.1	Does the factory have a written policy for disciplinary practices detailing the handling procedures for disciplinary cases?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. comply with local laws on the subject of disciplinary practices; c. include freedom from all forms of harassment and abuse such as verbal and mental abuse, physical coercion, corporal punishment, intimidation, and threats; d. have procedures on handling any violations to the policy including, but not limited to, fines, formal warning procedures, grounds for contract termination, guidance on unacceptable behavior, appropriate disciplinary actions for unacceptable behavior, and complaint procedures including the method of investigation and resultant actions; and e. apply to the behavior of all workers, including supervisory and management personnel.
7.1.2	Are the contents of the policy made available and effectively communicated to all workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contents of the policy include, but are not limited to, disciplinary practices and handling procedures. 2. At a minimum, the contents must be communicated to workers at employment orientation. 3. Other acceptable means of communication may include in the Worker Handbook, in workers contracts, or on notice boards throughout the factory, and it must be communicated in a manner which workers are able to understand in the local legal language. 4. Even if the factory does not have a written policy, the contents (i.e. the factory's disciplinary practices and handling procedures) still need to be communicated to workers. 5. Auditors must verify that the contents of the policy have been communicated to all workers (e.g. through orientation records). 6. Workers to be notified of any changes to the contents. 7. Advisory support should be available to workers, and workers need to know where to get help and support when they need it (e.g. through HR or Worker Services department).
7.2 Training			
7.2.1	Are supervisory staff trained on disciplinary policies and procedures?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Training contents and records must be accurately maintained.
7.3 Implementation			
7.3.1	Are physical abuse, coercion, corporal punishment and harassment prohibited?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	

Section 7 Disciplinary Practices

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
7.3.2	Is unacceptable behavior of any kind prohibited?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Examples of unacceptable behavior include, but are not limited to: a. gestures; b. abusive language; c. mental and emotional abuse.
7.3.3	Is it prohibited to impose monetary fines on workers or demand excessive economic compensation from them?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Monetary fines for disciplinary purposes must be prohibited. 2. Examples of unreasonable economic compensation include, but are not limited to, charges which are extravagant, unethical, unlawful or which exceed the cost (i.e. the cost of repairing/replacing damaged property).
7.3.4	Are security staff roles and responsibilities appropriate and communicated?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Security staff cannot execute disciplinary practices. 2. Roles and responsibilities must be written and understood by the staff.
7.3.5	Do security staff adhere to their roles and responsibilities?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Auditors should review the security staff, observe their behavior, and verify accordingly through interviews. 2. Security staff cannot execute disciplinary practices.
7.3.6	Does the factory employ adequate measures to avoid repeated instances of non-compliance in disciplinary practices?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory should document investigation reports. 2. Examples of adequate measures include, but are not limited to: a. moving workers to different positions within the factory, b. terminating employment of individuals who violate factory policies, and c. conducting additional training to inform workers and supervisors about policies and procedures again. 3. The factory must have channels for workers to report abusive disciplinary practices to management rather than their direct supervisor.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
8.1 Policy			
8.1.1	Does the factory have a written policy for forced and prison labor that meets IETP requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. cover the scope of workers directly recruited by the factory and dispatched workers from agencies; c. cover the scope of factory facilities and subcontracting; and d. include the designated qualified person responsible for communicating, deploying, and monitoring that the policy is enforced.
8.1.2	Are the contents of the policy made available and effectively communicated to all workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contents of the policy include, but are not limited to, the scope of forced labor and different forms of practices. 2. At a minimum, the policy must be communicated to workers at employment orientation. 3. Other acceptable means of communication may include in the Worker Handbook, in workers contracts, or on notice boards throughout the factory, and it must be communicated in a manner which workers are able to understand in the local legal language. 4. Even if the factory does not have a written policy the contents (i.e. the scope of forced labor and different forms of practices, prison labor is prohibited) still need to be communicated to workers. 5. Auditors must verify that the contents of the policy have been communicated to all workers (e.g. through orientation records). 6. Workers to be notified in advance of any changes to the policy. 7. Advisory support should be available to workers, and workers need to know where to get help and support when they need it (e.g. through HR or Worker Services department).
8.2 Training			
8.2.1	Are staff responsible for hiring trained with records maintained?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Designated staff must be trained to implement the forced labor and prison labor prevention policy and related operation management. 2. The factory must maintain hiring documents for all workers that affirm workers are agreeing to employment voluntarily. <u>Notes:</u> 1. Staff responsible for hiring and other personnel functions must be properly trained to: a. ensure workers are hired of their own free will; and b. communicate, implement, and enforce the policy and practices of effectively prohibiting involuntary or forced labor; 2. Training contents and records should be accurately maintained. 3. Hiring documents must be verified as proof of voluntary employment.
8.3 Implementation			
8.3.1	Are workers free from any form of forced labor?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers should not be pressured, coerced, or threatened in any way or forced to accept a job and/or maintain employment. 2. Forms of forced labor may include, but are not limited to: a. indebted workers (financial or collateral) or other forms of bondage or indenture; b. workers subjected to physical violence; c. workers subjected to threats to themselves or to their family; or d. workers subjected to fear or detention. 3. If workers decide to break their contract, they should not be physically prevented from leaving the factory.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
8.3.2	Is the withholding or confiscating of workers' belongings prohibited?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	1. Examples of workers' belongings can include, but are not limited to, ID, passport, money, phone, and personal valuables.
8.3.3	Are workers allowed freedom of movement during non-working hours?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	
8.3.4	Is the intentional retention of workers within certain areas prohibited?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers are expected to be present at their post during working hours, but their movement should not be restricted (e.g. workers must not be locked within the workshop).
8.3.5	Is unreasonable curfew prohibited?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Curfew instructed by local government in the case of emergencies is acceptable. 2. Factories can take security measures for the sake of residents safety, such as resident registration and ID verification after certain hours. 3. It is recognized that reasonable curfew times may be in place for the safety consideration of the residents, workers need to be able to exit and re-enter the dormitory at will during the curfew time.
8.3.6	Are workers free to resign?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Reasonable notice period of resignation is the length of interval between payments to the worker, i.e. if workers are paid every 30 days, 30 days would constitute reasonable notice by either party. 2. The factory must not withhold wages or benefits to retain workers. 3. Workers must be paid for all time worked as well as accrued leave and benefits until termination of employment.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
8.3.7	Are workers informed of overtime expectations and procedures?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers must be informed of overtime expectations and procedures during the hiring process. 2. The overtime procedures, including the opt-out procedure, must be documented.
8.3.8	Is forced overtime prohibited?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> Overtime work is not voluntary Critical <input type="checkbox"/> Workers seek permission to opt out of overtime work N/A <input type="checkbox"/>	1. Overtime work assignments must be voluntary. 2. Workers must not be asked to seek permission or approval if they do not want overtime work assignments. 3. It is acceptable for workers to notify the factory, without permission or approval of any kind required, to opt-out of overtime work. 4. Verbal confirmation with the line supervisor can be regarded as an acceptable way to opt-out of overtime work.
8.3.9	Is prison labor prohibited?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	1. Prison labor includes, but is not limited to: a. using prison labor to carry out production in the factory, or b. subcontracting to prisons or facilities where prison labor is used.
8.4 Human Trafficking			
8.4.1	*New* Is human trafficking activity prohibited?	Yes <input type="checkbox"/> Zero Tolerance <input type="checkbox"/> N/A <input type="checkbox"/>	1. Human trafficking activity includes, but is not limited to, the recruitment, transportation, transferring, harboring or receipt of persons by threat or use of force, coercion, abduction, fraud, deception, abuse of power or vulnerability, or giving payments or benefits to a person in control of the victim, for the purpose of exploitation, which includes forced labor and slavery. 2. The factory needs to ensure recruitment process must be free from human trafficking activities.

Section 9 Discrimination

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
9.1 Policy			
9.1.1	Does the factory have a written policy for discrimination that meets legal and IETP requirements?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. comply with local laws and IETP requirements; c. include discrimination in hiring, compensation, access to training, promotion, termination of employment, retirement, or any other aspect of employment based on race, caste, nationality, religion, age, disability, gender, marital status, pregnancy, sexual orientation, union membership, or political affiliation or any other protected status; d. include the designated qualified person responsible for communicating, deploying, and monitoring that the policy is enforced; e. include a procedure for handling violations and remediation; and f. be posted in local legal language. 2. The factory should have access to legal requirements on the subject of discrimination in the workplace.
9.1.2	Are the contents of the policy made available and effectively communicated to all workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contents include but, are not limited to, discrimination. 2. At a minimum, the policy must be communicated to workers at employment orientation. 3. Other acceptable means of communication may include in the Worker Handbook, in workers contracts, or on notice boards throughout the factory, and it must be communicated in a manner which workers are able to understand in the local legal language. 4. Even if the factory does not have a written policy, the contents (i.e. discrimination of any kind is not permitted) still need to be communicated to workers. 5. Auditors must verify that the contents of the policy have been communicated to all workers (e.g. through orientation records). 6. Workers to be notified of any changes to the contents. 7. Advisory support should be available to workers, and workers need to know where to get help and support when they need it (e.g. through HR or Worker Services department).
9.2 Implementation			
9.2.1	Is factory free from discrimination?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory adheres to legal requirements against discriminatory employment. 2. Training records, recruitment documents, promotion and demotion records, termination records, and complaint records to be well maintained.
9.3 Reporting Mechanism			
9.3.1	Is there an effective reporting mechanism in place which allows workers to report concerns directly to management?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Reporting mechanisms for cases of discrimination which allow workers to alert and engage management should be developed in an effective way. 2. Traceability of report records and improvement progress shall be verified.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
10.1 Policy			
10.1.1	Does the factory have a written policy on workers' rights in line with legal and IETP requirements?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. The policy needs to: a. be dated; b. include the right of workers to exercise their rights of freedom of association and collective bargaining; c. include the designated qualified person responsible for communicating, deploying, and monitoring that the policy is enforced; and d. be posted in the local legal language. 2. The factory should have access to local laws on the subject of worker representation in the workplace.
10.1.2	Are the contents of the policy made available and effectively communicated to all workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contents of the policy include, but are not limited to, workers' rights. 2. At a minimum, the policy must be communicated to workers at employment orientation. 3. Other acceptable means of communication may include in the Worker Handbook, in workers contracts, or on notice boards throughout the factory, and it must be communicated in a manner which workers are able to understand in the local legal language. 4. Even if the factory does not have a written policy, the contents (i.e. workers' rights) still need to be communicated to workers. 5. Auditors must verify that the contents of the policy have been communicated to all workers (e.g. through orientation records). 6. Workers to be notified in advance of any changes to the policy. 7. Advisory support should be available to workers, and workers need to know where to get help and support when they need it (e.g. through HR or Worker Services department).
10.2 Employee Representation			
10.2.1	Do workers have effective means of communication with management?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> No communication channel Major <input type="checkbox"/> Ineffective communication N/A <input type="checkbox"/>	1. Examples of effective means of communication to raise issues or concerns include, but are not limited to: a. a worker grievance procedure; b. a physical complaint box which workers can easily reach at anytime; c. an electronic mailbox, which workers can email, can be alternative form of complaint channel; or d. worker representatives. 2. Workers should receive a response in a timely manner depending on the urgency and severity of the issues raised. 3. Ineffective communication means there is a communication channel in place but it is not effectively used (e.g. workers are not aware of the channel).
10.2.2	Are there freely selected worker representatives in place?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Worker representatives are freely chosen, and participate voluntarily for the purpose of communicating with management. 2. Worker representatives need to represent the entire factory population.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
10.2.3	Are worker representatives treated the same as other workers?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Worker representatives must be treated the same as other workers.
10.2.4	Are there management representatives in place?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Management representatives are responsible for communicating with worker representatives and workers.
10.2.5	Are regular meetings scheduled with minutes recorded?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Meetings should be scheduled between management and worker representatives on a regular basis, at least quarterly. 2. Meeting minutes should be kept on file in the factory.
10.2.6	Are effective actions taken when issues are raised by workers?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Examples of ways workers can raise issues or concerns include, but are not limited to: a. a worker grievance procedure, or b. a suggestion system. 2. There should be objective evidence that management takes appropriate action on such matters.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
10.2.7	Are worker representatives aware of IETP requirements?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Worker representatives need to be made aware of IETP requirements (i.e. working hours, wages, forced labor, overtime, employee representation).
10.3 Freedom of Association			
10.3.1	Are union activities free from unreasonable management intervention or punishment?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Examples of unreasonable management intervention include, but are not limited to: a. factory management or personnel interfering with or restricting union activities without significant rationale; or b. workers who have participated in union activities such as labor strike subsequently being punished in any way, dismissed, or having their wages, normal work hours, or benefits reduced.
10.4 Worker Helpline			
10.4.1	Are workers given information on the IETP Worker Helpline?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Helpline Cards and/or printed Helpline Card contents must be distributed to all workers. 2. Current and up-to-date information of the IETP Helpline must be displayed in the factory (i.e. Helpline Posters). 3. This applies to countries where Helpline Cards and Posters are distributed by IETP.
10.4.2	*New* Are IETP Helpline Cards and Posters free from alteration?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. This applies to countries where Helpline Cards and Posters are distributed by IETP. 2. Any modification for the purpose of providing misleading information is not permitted.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
11.1 Policy			
11.1.1	Does the factory have a written policy/policy statement to adopt legal requirements governing the environmental, health, safety and working conditions in its facilities?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory needs to have access to legal requirements. 2. The factory needs to have a system to remain current with the legal requirements. 3. The factory needs to develop a policy statement on the subjects of environmental, health, safety and working conditions , indicating management’s commitment to follow legal requirements at a minimum. 4. The policy statement must be accessible to workers. 5. The policy statement needs to be signed by the senior management of the factory.
11.1.2	Is there a senior management representative responsible for health, safety, welfare, and general facilities?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. There needs to be at least one senior management representative responsible for matters of health, safety, welfare, and general facilities. 2. Workers need to know who the representative is for matters of health, safety, welfare and general facilities.
11.2 Emergency Communication			
11.2.1	Is an effective means of communication available for internal and external emergency alerts?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Effective communication is necessary as a means of alerting occupants of an emergency, and as a way to mobilize external emergency services such as a fire department or brigade, police, ambulance, etc. a. Means of communication need to be available throughout the factory in accessible locations. b. Emergency telephone numbers to be posted along with directions for use of the communications system in the event of an emergency. 2. Workers to be trained in the proper method of using the communication systems available in the factory. 3. Workers need know how to raise the alarm internally, and designated workers need to be trained in further communications.
11.3 Factory Security			
11.3.1	Are security guards effectively and adequately trained?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Security guards must be trained on: a. the safety policy, and be able to identify safety violations once detected; b. procedures to handle policy violations (i.e. workers violating the safety policy); c. emergency response and protection of facilities from unauthorized entry. 2. Training to be monitored for effectiveness. 3. Training records to be kept for review during audit.
11.3.2	*New* Are children prohibited from entering factory production areas and warehouses?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Factory production areas such as production lines, manufacturing areas, and warehouses prohibit children from entering. 2. In this context children does not refer to underage workers. Examples include, but are not limited to, a young family member of a worker who may live in the dormitory of the factory. 3. The passage of the worker’s young family members cannot go through the factory production areas or warehouses.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
11.4 Building Safety			
11.4.1	Has the physical and structural integrity of all buildings been professionally assessed?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The physical and structural integrity of all buildings (including all shop areas, canteen, dormitory, etc.) must be assessed by a certified professional or related government body (i.e. to obtain necessary building permits). 2. If there has been a significant change in the use of the building, reassessment is required. 3. The physical condition of buildings and surrounding property such as walls, floors, driveways, sidewalks, etc., must be well maintained and kept free of damage which can cause personal injury. 4. Holes, uneven surfaces, and cracks can cause hazards if left in disrepair and can be indicative of structural integrity issues. 5. A copy of assessment results must be maintained on file by site management. 6. Besides visually checking deficiencies, actual measurements shall be made on significant findings. 7. Cracks or other potential structural concerns will be photographed and recorded in the audit. 8. If there is reasonable doubt concerning the integrity of the buildings (i.e. major cracks or structure concerns), the factory will be requested to show a separate assessment by a certified professional or related government body to verify the structure's safety.
11.4.2	Are allowable floor loading weights determined, posted, and adhered to?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Any floor exceeding limit Minor <input type="checkbox"/> Missing signage N/A <input type="checkbox"/>	1. Load limits for floors must be strictly followed. 2. The weight of materials, machinery, equipment, forklifts, people, etc., need to be analyzed to determine loading compliance. 3. Carried loads must be within the requirements, it's recommended that heavy machinery such as injection presses, metal casting machines, etc., are located on the ground floor. 4. Allowable floor-loading limits must be posted on each floor.
11.5 Housekeeping			
11.5.1	Are factory areas clean and maintained in good condition?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The work environment must be safe, clean, and orderly. 2. House keeping should include but not be limited to proper equipment maintenance, established inspection routines, facility structure maintenance, and proper fire prevention.
11.5.2	Are housekeeping inspections conducted?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Housekeeping inspections must be conducted for all areas on a periodic basis. 2. Inspection records must be accurately maintained and available for review during audit, the records should include: a. date and time of the inspection, b. information on the personnel who conducted the inspection, and c. issues identified during inspections, and whether or not the issues were corrected.
11.5.3	Are housekeeping issues rectified with a corrective action plan?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Issues identified during the inspection are corrected and a corrective action plan (CAP), with the root cause identified and practices to be followed to prevent future issues, put in place. 2. The factory is encouraged to document all issues found along with root causes so that they can be corrected and prevented in the future through an established management system.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text																		
11.5.4	Are materials properly stored inside and outside of the building?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Goods such as pallets, combustible materials, cartons or un-cartoned goods must be stored properly. 2. Examples of proper storage include, but are not limited to: a. pallets must be stored in safe, stable stacks, of proper height in dedicated locations; b. storage practices include proper stacking and placement of cartons and un-cartoned goods; c. goods stored outside must be covered; and d. material must be clearly labelled on storage containers with correct contents indication together with notes for proper handling methods if necessary.																		
11.5.5	Is refuse properly managed and promptly removed?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Refuse must be placed in dedicated container with cover. 2. Refuse must be collected and removed from the factory on a regular basis and sent to an appropriate location for disposal.																		
11.6 Working Conditions																					
11.6.1	Does the factory have hot/cold stress mediation program?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory has established a hot/cold stress mediation program that references legal requirements. 2. The hot/cold stress mediation program is carried out according to the conditions. 3. Temperatures within the limits of the chart are deemed safe. 4. The factory need to keep temperatures within these limits by mechanical means such as air conditioners or heaters. 5. The factory can consider administrative controls such as production schedule re-arrangement. 6. Work practice controls such as special personal protective equipment and clothing may also be used to reduce temperature stress but should be considered as the least effective means of control. 7. Safe ambient air temperatures should be provided in occupied areas of the factory. <table border="1" style="margin-top: 10px; width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="background-color: #D3D3D3;">Functional Area</th> <th style="background-color: #D3D3D3;">Cold Stress Limit (Dry Bulb Temp)</th> <th style="background-color: #D3D3D3;">Heat Stress Limit* (Wet Bulb Temp)</th> </tr> </thead> <tbody> <tr> <td>Manufacturing – Sedentary (e.g., sewing, rooting, assembly)</td> <td>16°C(61°F)</td> <td>30°C(86°F)</td> </tr> <tr> <td>Manufacturing – Light (e.g., VUM, molding, die casting)</td> <td>4°C(39°F)</td> <td>30°C(86°F)</td> </tr> <tr> <td>Manufacturing – Moderate (e.g., rotomolding)</td> <td>4°C(39°F)</td> <td>30°C(86°F)</td> </tr> <tr> <td>Warehouse</td> <td>4°C(39°F)</td> <td>29°C(84°F)</td> </tr> <tr> <td>Office</td> <td>16°C(61°F)</td> <td>31°C(88°F)</td> </tr> </tbody> </table>	Functional Area	Cold Stress Limit (Dry Bulb Temp)	Heat Stress Limit* (Wet Bulb Temp)	Manufacturing – Sedentary (e.g., sewing, rooting, assembly)	16°C(61°F)	30°C(86°F)	Manufacturing – Light (e.g., VUM, molding, die casting)	4°C(39°F)	30°C(86°F)	Manufacturing – Moderate (e.g., rotomolding)	4°C(39°F)	30°C(86°F)	Warehouse	4°C(39°F)	29°C(84°F)	Office	16°C(61°F)	31°C(88°F)
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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
11.6.2	Do general ventilation controls provide a safe working environment?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Adequate ventilation to be provided in work areas. 2. Ventilation may be in the form of general ventilation or local exhaust ventilation. a. Where airborne contaminants are being generated, local exhaust ventilation should be provided to capture and remove the contaminant before it is released into the work environment. Airborne contaminants include, but are not limited to, dusts, vapors, gases, and fumes. b. When airborne contaminants are not being generated, general dilution ventilation should be provided to provide fresh air from outside of concern. 3. If there is any concern that ventilation is not adequate, measurements can be taken if necessary to ensure that the ventilation and concentrations are meeting one of the following two limits: a. For Air Conditioned or Forced Air Heated Premises - Outside Air Per Occupant: • FUNCTIONAL AREA MINIMUM Cubic Feet Per Minute (CFM) per PERSON General Office 20 cfm (10 L/s) General Factory 14 cfm (8 L/s) Restrooms 40 cfm (24 L/s) per w/c or urinal Warehouse 14 cfm (8 L/s) Cafeteria 14 cfm (8 L/s) Kitchen/Food Preparation 14 cfm (8 L/s) b. Indoor Air Quality Monitoring: • Measurements should be taken annually in the course of a normal working day to ensure that the concentrations of specific contaminants are below threshold limits in the general office, general factory, restrooms, warehouse, cafeteria, and kitchen/food preparation areas: • CONTAMINANT MAXIMUM CONCENTRATION Carbon dioxide (CO ₂) 1000 ppm Carbon monoxide (CO) 9 ppm
11.6.3	Is lighting for work areas adequate?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Lighting for work areas to be adequate and in line with legal requirements, or in their absence, in line with IETP requirements. 2. IETP lighting requirements can be found in IETP Audit Protocol Appendix – Lighting Levels Guideline .
11.6.4	Have any citations or penalties for violations of laws on working conditions in the past 12 months been rectified?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Records of any violations, penalties, or citations of the factory not being in compliance with legal requirements on working conditions must show objective evidence that they have been rectified within the required time frame established by the citing authority. 2. Periodic follow-ups by management must be made to prevent future violations.
11.6.5	*New* Any citations or penalties for violations of laws on working conditions in the past 12 months were reported to IETP within 48 hours?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
11.7 Drinking Water			
11.7.1	Do workers have access to clean drinking water?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Workers do not have access Major <input type="checkbox"/> Water provided is not protected N/A <input type="checkbox"/>	1. Workers must have easy access to potable water for drinking purposes. 2. Potable drinking water dispensers are designed, constructed, and serviced so that sanitary conditions are maintained. 3. Containers for drinking water must be covered to protect against contamination of any kind.
11.7.2	Is potable drinking water tested periodically?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Testing for chemical detection levels according to the local standards must be conducted by a qualified entity on at least an annual basis. 2. Qualified entities include the local water authorities or an independent testing company qualified by the authorities. 3. Sampling and testing must be conducted on at least one drinking water tap per production facility, dormitory, and canteen. 4. Pass result or certification to be maintained for review during audit. 5. In the absence of a local standard, the factory needs to comply with the standards found in IETP Audit Protocol Appendix - Potable Water Quality Standard .
11.8 Sanitation			
11.8.1	Are adequate toilet facilities available?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Toilet facilities should be provided with an adequate quantity for each gender based on the number of workers of each gender. Local regulations should be followed at a minimum.
11.8.2	Are toilet facilities maintained in good condition?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Toilet doors and side walls must be high enough to provide privacy. 2. Toilet door locks need to be functional and well maintained. 3. Toilets must be clean, functioning, well-lit, well-ventilated, and stocked with toilet paper.
11.8.3	Are hand washing facilities available, functional, sanitary, and located within the toilet facilities area?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Hand drying facility including paper towel or dryer is recommended.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
11.9 Medical Safeguards			
11.9.1	Does the factory have written procedures for handling medical emergencies?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory must have written procedures for handling medical emergencies in compliance with local laws, or where local laws do not exist, based on the advice of local medical authorities. 2. The procedure must include provisions for providing emergency medical treatment, training for first-aid personnel, management and the location of first-aid supplies.
11.9.2	Is an on-site medical clinic or nearby public emergency medical treatment facility available?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. If the available medical service is in-house, it needs to be staffed by certified medical personnel and operated under legal requirements. 2. If in-house medical service is not available, a nearby hospital, medical center, or clinic must be located within a reasonable distance of less than 15 minutes travel time. 3. Where this is not possible due to the lack of such facilities, the location, time and distance to the nearest facility must be posted and made available to workers.
11.9.3	Does each shift have adequate certified personnel in first aid and cardiopulmonary resuscitation (CPR)?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Designated personnel must have valid first aid and cardiopulmonary resuscitation (CPR) certification. 2. Number of certified personnel must be adequate and in line with legal requirements, and at least 2 per shift. 3. The number of certified personnel available must increase in proportion to factory size and number of workers, they must account for 1% of the total workforce.
11.9.4	Are first-aid supplies reasonably available in the production facility?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. First-aid supplies must be provided in a highly visible, accessible location. 2. If first-aid supplies are locked, workers must be able to access them within 3 minutes. 3. At a minimum, one first-aid kit per floor is required. 4. First-aid kits must contain basic supplies such as bandages, instant cold packs, cotton balls, scissors, disposable gloves, adhesive tape, eyewash solution, and antiseptic ointment. 5. First-aid supplies must be sufficient and valid. 6. No prescription medication intended to be taken by mouth is to be found in the first-aid kit. 7. First-aid stations must be posted with a first-aid sign.
11.9.5	Is medical waste segregated and properly disposed of?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory must segregate all medical waste from other waste. 2. The factory must dispose of all medical waste in a manner that prevents accidental contact or contamination. 3. The disposal of needles must be into containers labeled to indicate that they contain sharp objects. 4. Blood contaminated waste disposal must be in accordance with legal requirements.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
11.10 Vehicles			
11.10.1	Are appropriate signs and visual-aid tools used to help traffic awareness for both vehicle and pedestrians?	Yes <input data-bbox="645 252 703 300" type="checkbox"/> Minor <input data-bbox="645 316 703 363" type="checkbox"/> N/A <input data-bbox="645 379 703 427" type="checkbox"/>	1. Stop signs, mirrors, and speed limit signs must be posted in areas where vehicle and pedestrian traffic cross and where lines of sight are blocked.
11.10.2	Are trailers or containers secured from movement by wheel locks?	Yes <input data-bbox="645 459 703 507" type="checkbox"/> Minor <input data-bbox="645 523 703 571" type="checkbox"/> N/A <input data-bbox="645 587 703 635" type="checkbox"/>	1. Dock-locks may be used to restrain trailers.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.1 Policy			
12.1.1	Does the factory have a written emergency preparedness plan to handle natural disasters, fire emergencies, and industrial accidents?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The emergency preparedness plan needs to be dated and include procedures to be taken in the event of an emergency. 2. According to the area where the factory is located, incidents for which emergency preparedness is required may include, but are not limited to, fire, typhoon, hurricane, tsunami, flooding, earthquake, chemical emergency, or food poisoning. 3. The Emergency Preparedness Plan needs to include: a. factory information describing key elements of the factory (i.e. location of chemical storage and power generator) – this is useful for new workers and response agencies, such as local fire departments; b. information so that workers know how to report an emergency – this may include the activation of pull alarms or notifying the factory security center, consideration need to be given to methods of notifying local agencies such as the fire department; c. alarms and signals to alert workers must be identified – this may include audio alarms, highly visible lights, and/or public-address systems, consideration needs to be given to the potential for loss of electrical power in the event of an emergency and alternatives and “back-up” to mains powered alarms must be in place, management and workers need know what actions to take when an emergency alarm is activated; d. all emergency phone numbers need to be identified, listed in the emergency preparedness plan, and posted – emergency phone numbers need to include any factory numbers, local agencies, and any emergency-response personnel; e. all responsibilities must be clearly defined for management and workers – management needs to determine its strategy for responding to emergencies; f. a chain of command must be established to minimize any confusion – personnel need to be identified to coordinate the emergency-response actions; g. detection and alarm systems must be identified and described, testing and preventative maintenance procedures must be included; h. assembly areas need to be established and safe from hazards and clear of emergency vehicle traffic and activities; i. search and rescue procedures need to be established, only trained and authorized personnel can attempt search and rescue; and j. procedures for shutting down equipment during emergencies must be established, equipment operators must know the proper actions to take during an emergency.
12.1.2	*New* Does the factory have a written fire prevention policy?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The fire prevention policy needs to include: a. procedures for the storage and handling of combustible/flammable materials; b. housekeeping, and maintenance of fire fighting equipment; and c. fire hazard identification.
12.1.3	Are employees trained on emergency preparedness and fire prevention?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Managers, supervisors, staff and workers must be knowledgeable and need to be informed of the fire prevention procedures. 2. All workers must understand basic emergency action plans including alarm signals, emergency shutdown, primary/secondary exit routes, and assembly areas pertaining to their work assignments. 3. All workers must know how to safely evacuate their work areas and factory common areas during an emergency. 4. Training content and records must be accurately maintained.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.2 Emergency Response Personnel			
12.2.1	Have sufficient Emergency Response Personnel been designated and trained to administer the fire prevention procedures and emergency preparedness plans?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> No trained emergency response personnel Major <input type="checkbox"/> Insufficient number of emergency response personnel / they cannot be easily recognized N/A <input type="checkbox"/>	1. Designated emergency response personnel must be trained to notify workers of an emergency, report emergencies to the fire department or designated emergency response organization, assist in the evacuation of workers, and verify that all workers have exited the building. 2. Designated emergency response personnel must be trained annually on the use of fire extinguishers. 3. At least two emergency response personnel must be available per shift and there must be one per floor. 4. Emergency response personnel must be easily recognizable and identifiable during an emergency, methods may include, but are not limited to: a. armbands, b. visible badges or flags, or c. uniforms of a different color to other workers.
12.3 Fire Acceptance Certificate			
12.3.1	*New* Does the factory have an official Fire Acceptance Certificate?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory is required to have a Fire Acceptance Certificate as per legal requirements. 2. The Fire Acceptance Certificate must be renewed where there is any major renovation to existing buildings or construction of additional building structure. 3. Annual inspections from a local fire department or an authorized fire inspection company will also be accepted. Exemption until Dec 31, 2019: Factories that have not obtained a Fire Acceptance Certificate as per legal requirements.
12.4 Exit and Evacuation			
12.4.1	*New* Are emergency exits and evacuation paths built in line with legal requirements?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Evacuation paths include any passage leading to an emergency exit including stairwells. 2. Emergency exits and evacuation paths must be built according to legal requirements (i.e. width, design, number required). 3. If legal requirements do not exist, the evacuation path must be at least 1 meter wide. 4. Evacuation paths can not be routed through boiler rooms and other high hazard areas. 5. The number of emergency exits must be in line with legal requirements or, in their absence, two exits must be provided per floor. 6. Emergency exits on each floor must be reasonably located (e.g. appropriate distance apart, placed in opposition to each other). 7. A landing must be present at the emergency exit in line with legal requirements. A landing is a level walking surface between the doorframe and the stairs.
12.4.2	Are emergency exits and evacuation paths clearly marked, and illuminated?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Major <input type="checkbox"/> Insufficient inspections N/A <input type="checkbox"/>	1. Evacuation paths must be illuminated in an emergency to assist people in traveling to emergency exits. 2. Evacuation paths must be clearly identifiable and clearly marked with visible signs. 3. Floor markings and arrows are often used to direct people to the emergency exit. 4. Emergency exits must be marked with an illuminated sign at all times. 5. At a minimum, the factory is expected to conduct weekly inspections. Inspection records must be accurately maintained. 6. Inspection records must include inspector(s) details, dates and testing result.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.4.3	Are emergency exits and evacuation paths clear from obstruction?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Major <input type="checkbox"/> Insufficient inspections N/A <input type="checkbox"/>	1. Emergency exits and evacuation paths must be clear from obstruction (in addition to physical objects obstructing exits or paths, obstruction can include locking of any kind) 2. Each worker must have access to emergency exits (e.g. work stations should not be surrounded by goods preventing access to emergency exits). 3. There needs to be proper access for fire department vehicles and other fire-fighting equipment in the factory premises. 4. The factory is expected to conduct regular inspections.
12.4.4	Are non-emergency exits marked appropriately?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Doors, passageways, etc. which do not lead to emergency exit or exits not classified or designed as emergency exits must be appropriately marked with a message such as "NOT EMERGENCY EXIT" or similar.
12.4.5	Are emergency lights installed in line with legal requirements?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Emergency lights must be installed in line with legal requirements (i.e. lumens, location, power supply).
12.4.6	Are all emergency lights installed functional?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Major <input type="checkbox"/> Insufficient inspections N/A <input type="checkbox"/>	1. At a minimum, the factory is expected to conduct monthly inspections. Inspection records must be accurately maintained. 2. Inspection records must include inspector(s) details, dates and testing result.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.4.7	Are emergency exit doors appropriate, operable and can be opened with a single motion?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Emergency exit doors need to be able to open freely in the direction of evacuation with a single motion (e.g. a door knob/handle to turn then push open). 2. Unacceptable exit door examples include, but are not limited to, a glass to be broken or button to press before opening. 3. Emergency exits doors must be side-hinged. 4. Revolving doors are not acceptable. 5. Sliding and rolling doors have to be kept in an open position when the premises are occupied. 6. Inward opening doors must be kept in an open position by a locking device when premise is occupied. Exemption until Dec 31, 2019: Factories using sliding, rolling or inward opening doors.
12.4.8	Are evacuation floor plans with required information posted?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Evacuation floor plan needs to indicate the following up-to-date key information: a. indication of current location (i.e. "you are here" marking), b. emergency paths and exit doors, c. exits, and d. location of firefighting equipment. 2. The evacuation floor plan must be displayed in all major areas (e.g. production shop, production floor, warehouse, injection department, material warehouse) in a highly visible position. 3. Instructions must be in the local legal language which workers can read and understand.
12.5 Fire Fighting System			
12.5.1	Is the fire safety system inspected by a qualified entity?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The fire safety system must be inspected by an external entity periodically to protect effective use, at least on an annual basis. 2. The external inspection entity may be a county or higher level governmental fire department representative, or an independent fire inspection company qualified by government. The factory should provide a copy of the qualification certificate issued by government for review. 3. The contents of the external inspection should at a minimum include the fire extinguishers, fire alarm system, fire hydrant, and sprinkler system (if installed).
12.5.2	Is the number of functional and appropriate fire extinguishers in line with legal requirements?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The number of fire extinguishers must be in line with legal requirements. 2. All extinguishers must be functional. 3. The factory must ensure correct fire extinguisher types are used in specific areas in the factory (i.e. extinguisher for flammable liquids or gases can be different).
12.5.3	Are fire extinguishers properly installed?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Fire extinguishers need to be installed: a. according to legal requirements; b. high enough above floor level to be visible and identifiable; c. safely, avoiding hazards like tipping and falling; d. with a travel distance less than 23 meters (75 feet) or the legal requirement, whichever is lower; and e. in an upright position up to 1.5 meters (4.6 feet) to the top of the extinguishers or legal requirement, whichever is lower. 2. Fire extinguisher location must be marked posted in visible areas.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.5.4	Are fire extinguishers clear from obstruction?	Yes <input data-bbox="600 212 667 260" type="checkbox"/> Critical <input data-bbox="600 276 667 323" type="checkbox"/> N/A <input data-bbox="600 339 667 387" type="checkbox"/>	1. The factory is expected to conduct regular inspections.
12.5.5	Are fire extinguishers fully charged and inspected monthly?	Yes <input data-bbox="600 435 667 483" type="checkbox"/> Major <input data-bbox="600 499 667 547" type="checkbox"/> N/A <input data-bbox="600 563 667 611" type="checkbox"/>	1. A system of inspecting, maintaining, and recharging of all portable fire extinguishers must be in place. 2. Extinguishers must be inspected each month and recorded on a tag attached to each extinguisher.
12.5.6	Is the sprinkler and fire hydrant system functional?	Yes <input data-bbox="600 659 667 707" type="checkbox"/> Critical <input data-bbox="600 722 667 770" type="checkbox"/> N/A <input data-bbox="600 786 667 834" type="checkbox"/>	
12.5.7	Is the sprinkler and fire hydrant system clear from obstructions?	Yes <input data-bbox="600 882 667 930" type="checkbox"/> Critical <input data-bbox="600 946 667 994" type="checkbox"/> N/A <input data-bbox="600 1010 667 1058" type="checkbox"/>	
12.5.8	Is the sprinkler and fire hydrant system inspected monthly?	Yes <input data-bbox="600 1106 667 1153" type="checkbox"/> Major <input data-bbox="600 1169 667 1217" type="checkbox"/> N/A <input data-bbox="600 1233 667 1281" type="checkbox"/>	1. At a minimum, the factory is expected to conduct monthly inspections. Inspection records must be accurately maintained. 2. Inspection records must include inspector(s) details, dates and testing result.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.5.9	Is the water supply adequate for fire hydrant or sprinkler system?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. When a suction tank, elevated tank, or reservoir is present for fire hydrants and sprinklers, water level must be within 0.3 meter (1 foot) of the full level. 2. The factory must be able to prove that fire hydrant or sprinkler is connected to an adequate water supply. 3. If the facility is connected to a public water source, they need to provide an external inspection report to prove they have adequate water pressure (an external report should be provided at least annually).
12.5.10	Are emergency response personnel trained on the proper usage of firefighting equipment?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Emergency response personnel and equipment operators need to be trained on how to use firefighting equipment such as fire extinguisher, and fire hydrant. 2. Training must be conducted at least annually. 3. Training must be provided when new personnel and operator are selected.
12.6 Alert System			
12.6.1	Is a functional emergency alarm system installed appropriately?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The alarm system needs to: a. cover all areas in factory, b. have a back-up system in place in the event of loss of electrical power, c. be the proper type (e.g. a flashing alarm for areas of high noise levels), d. have switches/control panels which are easily identifiable, e. be visually and aurally distinctive compared to other alerts (e.g. lunch bell), f. be functional. 2. The use of flashing type alarm must comply with legal requirements for areas having noise level >90db. 3. Flashing type alarm is required for areas where typical alarm is difficult to be heard such as in sound proof rooms.
12.6.2	*New* Are emergency alarm system switches/control panels free from obstruction?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Emergency alarm system switches/control panels must be free from obstruction. 2. The factory is expected to conduct regular inspections.
12.6.3	Is the installed alarm system inspected and tested monthly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. At a minimum, the factory is expected to conduct monthly inspections. Inspection records must be accurately maintained. 2. Inspection records must include inspector(s) details, dates and testing result.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.7 Emergency Drills			
12.7.1	Does the factory conduct sufficient emergency evacuation drills in line with legal and IETP requirements?	Yes <input data-bbox="602 320 665 373" type="checkbox"/> Critical <input data-bbox="602 389 665 442" type="checkbox"/> N/A <input data-bbox="602 458 665 510" type="checkbox"/>	1. Emergency evacuation drills include fire and any drills that are legally required. 2. Drills conducted need to be in line with legal requirement, including minimum frequency requirements. 3. Auditors must record any violations of legal requirements. 4. In addition to legal requirements, IETP requirements for fire drills are, at a minimum: a. bi-annual drills are conducted; b. quarterly drills are conducted for factories with no fire hydrant or sprinkler system installed; and c. one of the fire drills is conducted in peak season, and the others are spread evenly apart during the rest of the year (e.g. semi-annual, quarterly). 5. For a fire drill to be valid: a. 100% on-site employee participation is a must; b. the drill needs to cover production and dormitory areas; c. the drill needs to cover all shifts (e.g. day and night); d. video records of the drill must be kept for verification during audit; and e. summary report with details such as evacuation time, date, which staff participated, on-site staff number, total employees, etc. must be kept for verification during audit.
12.7.2	*New* Does the factory plan additional fire drills where required?	Yes <input data-bbox="602 603 665 655" type="checkbox"/> Major <input data-bbox="602 671 665 724" type="checkbox"/> N/A <input data-bbox="602 740 665 793" type="checkbox"/>	1. Additional fire drill must be scheduled to be conducted within a 2 month timeframe when: a. any one conducted fire drill has a participation level of 70% or less of the total employees at the time, or b. at any time when more than 30% of total employees have never participated in a drill (e.g. 30% employees newly hired just after a drill conducted).
12.8 Electrics			
12.8.1	Is electrical wiring properly maintained, covered/insulated?	Yes <input data-bbox="602 879 665 932" type="checkbox"/> Critical <input data-bbox="602 948 665 1000" type="checkbox"/> N/A <input data-bbox="602 1016 665 1069" type="checkbox"/>	1. Wiring must be safe from: a. tripping and overhead hazards; b. impact and interference; c. frayed and worn cords; and d. non-insulated wires and exposure of copper wires. 2. All electrical leads on factory equipment need to be three-prong grounded or double insulated.
12.8.2	Are electrical wires properly attached?	Yes <input data-bbox="602 1098 665 1150" type="checkbox"/> Critical <input data-bbox="602 1166 665 1219" type="checkbox"/> N/A <input data-bbox="602 1235 665 1287" type="checkbox"/>	1. Wires must be properly attached to fixtures, plugs, circuit breakers, and other equipment. 2. Fixtures, plugs, circuit breakers, and other equipment need to comply with recognized standards. 3. Improper temporary wiring connections (e.g. bare wires in a socket, without a plug) are not permitted.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.8.3	Are electrical panels and junction boxes enclosed and readily accessible?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All junction boxes, outlets, and panel boards must be guarded with secured enclosures or covers. 2. Electrical panels, junction boxes and outlets must be readily accessible and free from obstruction.
12.8.4	Is the electrical system maintained by qualified personnel?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Maintenance must be conducted by a certified electrician. 2. The electrician's operating certificates need to be valid. 3. Maintenance records must be kept for review during audit.
12.9 Flammable and Combustible Hazards			
12.9.1	Are work areas free of excessive flammable/combustible materials?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Excessive flammable/combustible materials must be removed from the workplace to reduce the potential for fire. 2. More than two days' usage is considered excessive.
12.9.2	Are floors kept clean from spillages and materials?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Spillages and loose materials (e.g. parts, waste items) should be promptly removed from all floor areas.
12.9.3	Is flammable/combustible waste properly managed and removed from the work area promptly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Flammable/combustible waste includes, but is not limited to, industrial scraps, used oily rags, and other debris. 2. Waste needs to be stored in metal containers, and glass containers for corrosive materials. 3. Waste must be promptly removed from the work area and properly disposed of.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.9.4	Are flammable/combustible materials kept away from open flames or possible sources of ignition?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Flammable and combustible materials (including dust, grease, oil, and fibers) must be kept away from open flames or possible sources of ignition. For example, heat-producing equipment such as portable heaters, motors, ovens, etc.
12.9.5	Are areas for flammable/combustible dust-producing operations properly designed and maintained?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Flammable/combustible dust-producing operations such as wood, textiles, plastic/polymers, metal such as zinc, aluminum. 2. Flammable/combustible dust-producing operations must be at least 6 meters (20 feet) from flames, sparks, electric motors, or ignition sources. 3. The factory does not use flammable/combustible material such as cardboard for dust collection. 4. Dust collection equipment are used and cleaned regularly. 5. The dust concentration cannot exceed the limit specified by legal requirements.
12.9.6	Are areas for paint related operations properly designed and maintained?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Paint related operations include spraying, paint mixing, and coating areas. 2. Paint related operations must be at least 6 meters (20 feet) from flames, sparks, electric motors, or ignition sources. 3. Spray booths cannot be built with flammable/combustible materials to avoid spreading of fire. 4. Electrical equipment (lights, switches, outlets, motors, etc.) used in paint related operation areas must be designed and approved specifically for use in hazardous environments and atmospheres (i.e. explosion-proof). 5. At a minimum, spray residue must be cleaned on a monthly basis. 6. At a minimum, ducts and filters must be inspected and cleaned on a quarterly basis. 7. Contaminated air must not be circulated or allowed to re-enter into another makeup air unit intake.
12.9.7	Is adequate local ventilation present during spraying operations?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All spraying areas must be presented with adequate local ventilation. 2. Spray booths using exhaust air filters must maintain an average air velocity of 0.5 meters per second (30 meters per minute) at the position of work-pieces. This needs to be measured quarterly at a minimum.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.9.8	Is adequate overall ventilation provided where chemicals and pollutants (e.g., solvents, solder, and dust) are used?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. An adequate volume of fresh air must be provided. When fresh air is insufficient, ventilation facilities must be installed to guarantee air exchange 6 times per hour. 2. Contaminated air must not be circulated or redirected into another air unit intake.
12.9.9	Are personnel properly trained on the handling and use of flammable/combustible materials?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Only personnel trained in chemical safety, grounding, and fire prevention should transfer or withdraw flammable and combustible liquids. 2. Where workers are employed in areas in which flammable and/or combustible materials are to be found, they must understand the proper handling procedures and the hazards such materials may present.
12.10 Smoking Rules			
12.10.1	Are smoking rules in line with legal requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. If local regulations prohibit smoking in the workplace, management must take actions to ensure this is communicated to all personnel and enforced. 2. Designated smoking areas are established and must be: <ul style="list-style-type: none"> a. located away from flammable and/or combustible materials, b. formally posted "Designated Smoking Area", and c. equipped with fire extinguishers.
12.10.2	Are smoking rules followed?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Smoking must not be observed in non-smoking areas.

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
12.11 Lightning Protection			
12.11.1	Is there a lightning-protection system?	Yes <input data-bbox="607 264 667 316" type="checkbox"/> Major <input data-bbox="607 331 667 383" type="checkbox"/> N/A <input data-bbox="607 399 667 450" type="checkbox"/>	1. A lightning-protection system needs to be installed to provide protection for circuits and electrical equipment and prevent fires. 2. System certification or inspection report by a certified entity must be provided for review during audit.
12.12 Emergency Investigation & Reporting			
12.12.1	Are emergencies investigated to determine root causes and examined to prevent a recurrence?	Yes <input data-bbox="607 537 667 588" type="checkbox"/> Critical <input data-bbox="607 604 667 655" type="checkbox"/> N/A <input data-bbox="607 671 667 722" type="checkbox"/>	1. Emergencies (e.g. fire) which have occurred in the factory are investigated in order to identify root causes and a strategy for preventing recurrence is put in place.
12.12.2	*New* Are major factory incidents and emergencies reported to IETP within 48 hours?	Yes <input data-bbox="607 761 667 812" type="checkbox"/> Major <input data-bbox="607 828 667 879" type="checkbox"/> N/A <input data-bbox="607 895 667 946" type="checkbox"/>	1. Any major worker related safety issues, major incidents, and emergencies are to be reported to IETP within 48 hours. 2. Examples of major incidents include, but are not limited to, worker strikes, fatality, worker injury resulting in possible permanent disability, attempt/commit suicide, violence in plant/dormitory, emergencies requiring evacuation such as fire or earthquake. 3. Auditors will check for these incidents within the past 12 months and whether they were reported to IETP, and after launching this requirement.

Section 13 EHS

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
13.1 EHS Program			
13.1.1	Does the factory have an updated and effective Environmental, Health and Safety (EHS) program?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The program includes site-specific policies and/or procedures for identifying, evaluating, controlling, and documenting EHS and working conditions risks. 2. The objectives of the EHS program is to: a. identify and put measures in place to control and prevent all possible hazards and risks; b. develop and implement control actions to eliminate hazards and isolate employees from hazards; and c. investigate root causes and corrective actions, and strive for continual improvement should an incident occur. 3. EHS program requires commitment from all levels and functions within the organization. 4. EHS program is to be updated regularly with the latest legal requirements. 5. EHS program is to be monitored regularly for its effectiveness.
13.1.2	Does the factory promote workplace EHS awareness?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workplace EHS awareness can be achieved through effective communications such as EHS meetings, newsletters, bulletin board postings, etc..
13.1.3	Are new materials and operations with potential EHS hazards controlled?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Controls must be in place to prevent new components, materials, chemicals, machinery and products from being introduced into the factory, which have not been reviewed for potential EHS hazards.
13.2 Training			
13.2.1	Are workers trained on the contents in the EHS program?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 20% of sampled workers have not been trained / unaware of training contents Major <input type="checkbox"/> ≤ 20% of sampled workers have not been trained / unaware of training contents N/A <input type="checkbox"/>	1. Workers must be trained on EHS rules, safe operating procedures, EHS activities, and other EHS related information pertinent to their job. 2. At a minimum, the EHS program must be communicated to workers at employment orientation. 3. Training contents and records must be accurately maintained.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
13.2.2	Are contractors given site specific training on EHS rules?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Contractor personnel must receive training prior to commencing work. The training must include a review of the site EHS rules, which contractors must obey. 2. The contractors must be informed of any potential hazards at the factory to which they may be exposed. 3. Contractors must receive the EHS rules in written format.
13.3 EHS Committee			
13.3.1	Does the factory have a designated qualified EHS coordinator?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Qualified EHS coordinators are appointed to facilitate the EHS program. 2. Consideration should be given to a system of proportionally increasing the number of EHS coordinator based on the number of workers: < 1000 workers = 1 coordinator 1000 - 3000 workers = 2 coordinators 3001 - 6000 workers = 3 coordinators > 6000 workers = 4 coordinators 3. The EHS coordinator is suitably trained with evidence of a local government certificate if available or, if not, a relevant educational background plus a minimum of 18 months EHS experience. 4. The EHS coordinator assists factory management in establishing, developing, and administering the EHS program.
13.3.2	Does the factory have an EHS committee/team?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. EHS committee/team to be established and comprise of members representing a variety of shifts, functions, and personnel levels. 2. EHS committee/team to include workers who are responsible for handling and transportation of hazardous waste, these workers need to attend each meeting. 3. EHS committee/team to include at least one senior management representative (i.e. plant manager). 4. EHS committee meetings to be conducted regularly (at least once every 60 days) and the senior management representative must attend every other meeting at a minimum. 5. EHS meeting minutes to be kept for review during audit. 6. EHS committee/team members provide guidance, encourage EHS awareness and interest, and actively promote worker involvement to assist the factory management in implementing, evaluating, and improving the workplace EHS program.
13.3.3	Are workers given the opportunity to voice EHS opinions and concerns?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers are given the opportunity to voice EHS opinions and concerns. 2. All feedback provided to the EHS committee/team must be addressed. 3. All feedback handled must be recorded and kept for review during audit.

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13.4 Occupational Health			
13.4.1	<p>*New* Are occupational health checks provided to applicable workers?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Pre-Job, annual and post-job occupational health checks must be provided to applicable workers who have had exposure to hazardous substances, in line with legal requirements.</p> <p>2. Hazardous substances/processes include, but are not limited to, spray painting, screen painting, hand coloring, paint mixing, soldering, cotton filling, material smashing, powder/dust producing areas, powder coating, and heat cutting.</p> <p>3. Applicable workers who require such health checks refers to:</p> <p>a. any worker who will have regular exposure to these substances/processes; and</p> <p>b. any worker leaving a job where they have had regular exposure to these substances/processes, who is available for a health check.</p> <p>4. Individual occupational health check reports are given to each worker.</p> <p>5. The factory must follow the occupational health examination reports for actions, including, but not limited to, providing re-checks for workers and transferring workers from their former posts where appropriate.</p> <p>6. Occupational health checks are to be conducted by medical health institutions approved by the local administrative department of health.</p> <p>7. The factory must cover the expenses needed for the occupational health examination in accordance with legal requirements.</p>
13.4.2	<p>Are workers' exposure levels towards hazardous substances maintained as required with test reports for verification?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. All workers exposure to hazardous substances should be maintained at or below regulatory standards established in the country where the factory is located.</p> <p><i>Note: where such regulatory standards do not exist, reference may be made to the ACGIH (American Conference of Governmental Industrial Hygienists) exposure limits for relevant chemicals present in the factory processes (refer to Appendix V). If not set out in the country's regulatory standard, a respected sampling and testing method such as those approved by NIOSH or OSHA in the United States or an equivalent standard in a major European Union country should be used.</i></p> <p>2. Annual inspections must be conducted with inspection records kept to determine if exposures are in fact below established standards.</p> <p>3. This requirement applies to all areas including production, chemical use areas, laboratories, warehouse, and maintenance.</p>
13.4.3	<p>Does the factory have a bloodborne pathogen policy?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. The factory must have a bloodborne pathogen policy to prevent the potential transmission of communicable diseases through contact with bodily fluids.</p> <p>2. The policy needs to:</p> <p>a. be dated;</p> <p>b. include the identification of job classifications which may have exposure to bloodborne pathogens (i.e. nurses, first-aid personnel, cleaners, personnel handling and disposal of blood contaminated waste, needles, or other biohazardous waste);</p> <p>c. include procedures to train any worker who can be exposed to bloodborn pathogens; and</p> <p>d. include procedures to train all workers on bloodborne pathogen awareness at the time of recruitment.</p>
13.4.4	<p>Are workers trained on bloodborne pathogens?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. All workers must be trained on bloodborne pathogen awareness at the time of recruitment.</p> <p>2. Worker who can be exposed to bloodborne pathogens must be trained on the following:</p> <p>a. general discussion of bloodborne diseases, including symptoms and modes of transmission;</p> <p>b. use and limitations of methods that prevent or reduce exposure, including appropriate engineering controls, work practices, and PPE;</p> <p>c. information on types, proper use, location, removal, handling, decontamination, and disposal of PPE, including the basis for the selection of PPE;</p> <p>d. information on the Hepatitis B vaccine and an explanation of the vaccination program;</p> <p>e. information on the appropriate actions to take, persons to contact in an emergency involving bodily fluids, and an explanation of the procedure to follow if an exposure incident occurs, including the method of reporting the incident and the medical follow-up that is made available;</p> <p>f. information on the post-exposure evaluation and follow-up that is provided for workers following an exposure incident; and</p> <p>g. an explanation of the signs and labels and/or color-coding system used.</p> <p>3. Training records for occupationally exposed personnel are maintained for a minimum of one year for review during audit.</p>

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13.5 Personal Protective Equipment (PPE)			
13.5.1	Has a hazard assessment been completed which identifies the Personal Protective Equipment (PPE) required for each operation?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. A hazard assessment must be conducted of each operation and the correct Personal Protective Equipment (PPE) for each operation must be listed. 2. PPE must be selected based on the hazard assessment of each operation.
13.5.2	Is appropriate signage posted in all areas where Personal Protective Equipment (PPE) must be worn?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Signage must be visible in the general area and/or at workstations indicating where and what type of PPE is required.
13.5.3	Are workers provided with appropriate Personal Protective Equipment (PPE) free of charge according to the listed operational hazard assessments?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Workers are not provided with PPE free of charge Major <input type="checkbox"/> The type of PPE provided is incorrect N/A <input type="checkbox"/>	1. Correct type of PPE must be provided, where necessary, without any charge to workers.
13.5.4	Have applicable workers been trained on the proper use, cleaning and storage of Personal Protective Equipment (PPE)?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers must be trained on the proper use, cleaning and storage of the PPE that is provided. 2. Annual PPE refresher training must be conducted to ensure continued awareness on the subject, with training records accurately maintained.
13.5.5	Are Personal Protective Equipment (PPE) being properly used?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. PPE must be used properly in areas where it is required.

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13.6 Workplace Safety			
13.6.1	Are stairs provided with railings in line with legal requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All stairs in excess of 1 meter (3 feet) in height or leading to a platform of such height must be equipped with adequate stair railings according to legal requirements (i.e. height, width, number of sides). 2. Railings must be safe and proper consisting a top rail, intermediate rail, and adequate support.
13.6.2	Are open sides of all platforms, stairs, and floors equipped with railings in line with legal requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Every open-sided floor or platform 1 meter (3 feet) or more above adjacent floor or ground must be equipped with adequate railings on all open sides of proper height according to legal requirements. 2. Loading dock, when not in use and above 1 meter (3 feet) in height, must have a barrier (chain) to prevent falls. 3. Fall protection such as safety harnesses must be provided when work is performed that exposes workers to a fall of more than 1.8 meters (6 feet). Examples of tasks typically requiring fall protection include, but are not limited to, work near unprotected roof edges, mezzanines, roof or floor openings, or open platforms.
13.6.3	Are elevated platforms secured to lifting devices (e.g. forklifts or high lifts)?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Elevating platforms (e.g. baskets) must be secured to the lifting mechanism (e.g. forklifts) by a chain or locking mechanism prior to lifting any personnel.
13.6.4	Are floor and roof openings covered or protected to prevent falls?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Skylight floor openings must be guarded by a skylight screen or fixed railing on all exposed sides. 2. Manhole floor openings must be guarded by a cover of sufficient strength and construction.

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13.6.5	Are all ladders used in the factory in good condition?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All fixed and portable ladders used in the factory must be inspected regularly for damages or defects to ensure good and working condition. 2. Ladders that are damaged or defective must be identified with signage to prevent usage and removed from service.
13.6.6	Are confined spaces identified and secured from unauthorized entry?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Unauthorized entry Major <input type="checkbox"/> Missing signage / not locked or secured N/A <input type="checkbox"/>	1. Confined spaces include, but are not limited to, compressed air tanks, fuel or solvent storage tanks, silos, and catch basins. 2. All confined spaces must be identified by a posted sign stating "Restricted Entry" or similar meaning in local legal language. 3. All confined spaces must be secured or locked to prevent unauthorized entry. 4. A written permit must be issued and authorized by the EHS coordinator before entry. Where possible, work inside confined spaces should be avoided.
13.6.7	Are workers who enter confined spaced trained?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All workers who will enter a confined space have to be trained on entry procedure which must include: a. provisions for energy and hazardous material source isolation; b. testing of confined space atmosphere (oxygen, LEL, toxic air contaminants); c. ventilation; d. communication; and e. entry and exit. 2. Training contents and records must be accurately maintained. 3. Training and understanding of the above will be one of the prerequisite in obtaining permit issue by the EHS coordinator.
13.7 Machinery Safety			
13.7.1	Does the factory have a written procedure for the control of hazardous energy lockout and tagout?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. This procedure must be developed for the purpose of protecting workers during machine and equipment servicing and maintenance where the unexpected energization, startup, or release of stored energy could occur and cause injury. 2. Procedure must include: a. ensuring all energy sources must be de-energized and where possible, locks must be placed on switches and valves to ensure that they are not inadvertently switched on during shutdown; and b. signage with details such as the reason for any lockout and tagout machines must be present and visible. <u>Notes:</u> 1. Hazards being guarded against include being caught in, being crushed by, being struck by, being thrown from, or making contact with live electrical circuits/parts. 2. Energy sources include electrical, mechanical, pneumatic, hydraulic, chemical, and thermal.
13.7.2	Are sufficient lockout and tagout devices available, and used prior to service or maintenance?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Lockout and tagout devices including locks, tags, group lock boxes, circuit breaker lockouts, valve lockouts, and lock hasps must be maintained and kept in a readily available location. 2. Each maintenance worker working on a piece of equipment must have their own personal lock for locking out that equipment. 3. The energy to equipment and machinery must be locked out prior to service or maintenance.

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13.7.3	Are workers trained by qualified trainers prior to working on hazardous energy related operations?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Persons who normally operate machines and equipment (affected workers) and persons who may be in the area of locked out/tagged out equipment (other workers) must also receive training. 2. All workers must receive an overview of the relevant lockout and tagout program for their area so that they are able to recognize when energy controls are being implemented and understand the purpose of the procedures and the importance of not attempting to start up or use the machine/equipment that has been locked out. 3. Training for authorized workers must be provided at least annually with records kept.
13.7.4	Are loose clothing, jewelry, and exposed long hair prohibited near moving machinery?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory must prohibit persons from working at or near moving machinery while wearing loose clothing, jewelry, or with long hair exposed which could become entangled in machinery. 2. Loose clothing includes, but is not limited to, loose shirts and baggy pants. 3. Jewelry includes, but is not limited to, rings, bracelets, and necklaces. 4. Hair hanging loosely below the neckline must not be permitted.
13.7.5	Are machine safeguards provided for all machines and operating points that may potentially cause serious injury?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Machine safeguarding must be provided on all machinery to prevent workers from coming into contact with any machine parts, functions, or processes that may cause injury. 2. Drive mechanisms such as pulleys and belts that are within 2.1 meters (7 feet) from the floor or working surface must be guarded. 3. Fan blades within 2.1 meters (7 feet) from the floor must be protected against accidental contact. A guard must be provided with openings no larger than 12.5 mm (0.5 inch).
13.7.6	Are adequate start/stop controls and protection systems manageable by the operator?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Missing system / system does not work Major <input type="checkbox"/> Missing label N/A <input type="checkbox"/>	1. All start/stop controls must be accessible to the operator. 2. If there is more than one operator, separate controls must be provided for each operator's station. 3. Start buttons are protected against accidental startup (i.e. ring guard). 4. All start/stop controls are labeled as to their function and are appropriately colored. 5. Emergency stop buttons of a palm/mushroom type are easy to use and quick to activate during an emergency.
13.7.7	Are machines, equipment and fixtures inspected frequently and in safe operating condition?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Cords, plugs, rotating parts and safeguards on other machines are inspected frequently. 2. All hand tools and portable power tools are free of defects. 3. Defective tools are removed from the workplace and repaired or replaced. 4. Machinery and equipment are free of excessive dirt, grease, or oil that could present a hazard.

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13.7.8	Have workers been trained on the subject of machine safety?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All workers must be trained on machine safety before starting the position. 2. Follow-up training must be conducted periodically to ensure continued awareness and implementation of safe practices. 3. Training contents and records must be accurately maintained.
13.7.9	Are maintenance and inspection records for all machines available?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Machinery safety equipment must be well maintained, which includes a regular daily inspection to ensure it functions correctly. 2. Inspection and maintenance records must be accurately maintained.
13.8 Equipment Safety			
13.8.1	Are inspections conducted on cranes, hoists, slings, lifts and forklifts regularly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Periodic external inspections must be conducted by an licensed third party per legal requirements. 2. Daily internal inspections must be conduct by a designated personnel for defects, wear, or abuse as well as cleaning and lubrication of gears and motors, etc. Additional inspections should be performed as warranted by conditions. 3. The sling and all fastenings and attachments must be visually inspected before use every day for damage and defects.
13.8.2	Are cranes, hoists, slings, lifts and forklifts in good condition?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All cranes, slings, hoists, lifts and forklifts used in the factory must be in good working condition and free of damages and defects. 2. All cranes, slings, hoists, lifts and forklifts which are damaged or defective must be identified with signage to prevent usage and removed from service. 3. Hoist hooks must be equipped with a safety latch to prevent the accidental release of the load.
13.8.3	Are capacity limits clearly marked on cranes, slings, hoists and lifts?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. The maximum load limits must be conspicuously marked on all cranes, slings, hoists and lifts and the factory must ensure that those maximum loads are followed. 2. Load limit marking is required on all individual cranes to ensure total load is determined and within load limit of the system.

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13.8.4	Are all crane, hoist, slings, lifts and forklifts operators trained and with valid operating licenses?	Yes <input type="checkbox"/> Major <input type="checkbox"/> Absence of operator license Minor <input type="checkbox"/> Absence of internal training N/A <input type="checkbox"/>	1. The operator must obtain a special operator's license as per legal requirements. 2. The operator must be trained on operating rules before operation. 3. Training contents and records must be accurately maintained.
13.8.5	Have all boilers, unfired pressure vessels, and furnaces been professionally inspected?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Boilers, unfired pressure vessels, and furnaces to be assessed annually, by a professional, to ensure that they are being maintained in proper working condition. 2. A copy of assessment results must be maintained on file by site management.
13.8.6	Are boilers, unfired pressure vessels, and furnaces inspected monthly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Visual inspection of boilers, unfired pressure vessels, and furnaces conducted at least monthly. 2. The inspection focus on general distortion, cracks or other hazardous defects.
13.9 Hot-Work and Gas Cylinders			
13.9.1	Does the factory have a written hot-work process policy?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Hot-work is defined as the use of flames (e.g. cutting torch, brazing) or spark-producing activities (e.g. welding, grinding metal) which are capable of igniting combustible materials. 2. The hot-work process policy needs to: a. be dated; b. cover all workers on-site including contractors; and c. include, but is not limited to, hot work permits, permitted locations, controls, precautions, fire watch requirements, and equipment requirements.
13.9.2	Are hot-work processes implemented and monitored properly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The hot-work cannot be conducted in hazardous areas. Hazardous areas generally include areas with flammable liquids and/or gases. 2. Prior to the commencement of hot-work: a. a written permit must be issued and authorized by the EHS coordinator; b. flammable and combustible material must be removed and/or protected from the hot-work; and c. special precautions are taken, such as using fire-resistant covers to cover areas/equipment that cannot be removed from the hot-work area. 3. Hot-work areas must be restricted against unauthorized usage. Warning signs such as "Authorized Personnel Only" are recommended. 4. Fire extinguishing equipment suitable for potential hazards present must be maintained in a state of readiness for immediate use. 5. Designated personnel must regularly and frequently monitor the fire watch process. Depending on the hazards present, the personnel may stay at the hot-work area for 30 to 60 minutes following completion of the hot-work. 6. All hot-work must be documented with records kept.

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13.9.3	Are hot-work operators trained and certified?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Operators who conduct hot-work processes must obtain a special operator's license as per legal requirements. 2. Operators who conduct hot-work processes must be trained on operating rules before commencing hot-work processes. 3. Training contents and records must be accurately maintained.
13.9.4	Are gas cylinders properly marked, used, stored and secured?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Usage and storage: a. unapproved or makeshift compressed gas apparatuses cannot be used; b. cylinders must be stored in an upright position, and be properly stored to prevent tipping and/or falling; c. cylinders must not be used as rollers/supporters or other storage; d. all flammable gas cylinders must be stored at least 7.5 meters (25 feet) from open flames or possible sources of ignition, in temperatures below 51°C (125°F), and away from contact with electrical apparatus; e. oxygen cylinders must be separated from fuel gas cylinders by a minimum distance of 6 meters (20 feet) or by a non-combustible barrier at least 1.5 meters (5 feet) high, having a fire resistance of at least 30 minutes; f. cylinders must be transported in a vertical position, cylinders must be moved by a means of a suitable handcart (or equivalent) with a chain or belt for securing the cylinder. 2. Signage: a. content labels (e.g. propane, oxygen) must be legible, written in the appropriate language(s), and prominently displayed on containers of hazardous chemicals, including all compressed gas cylinders. 3. Valve protection: a. valve must be protected to avoid a serious hazard when it is impacted; b. the valve must be closed when not in use, being transported, or when empty.
13.9.5	Are gas cylinder operators trained?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Personnel handling gas cylinders need to be trained on the proper usage and safety of gas cylinders. 2. Training contents and records must be accurately maintained.
13.9.6	Are gas cylinders inspected monthly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Inspection of gas cylinders must be conducted at least monthly. 2. The focus of the inspection should be on corrosion, general distortion, cracks, deep rust, leakage, or other hazardous defects.
13.10 Chemical Safety			
13.10.1	Is a full list of in-house hazardous chemicals kept and managed by the EHS coordinator or factory manager?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The full list of all hazardous chemicals includes all chemicals currently being used or stored at the factory, and relevant Material Safety Data Sheets (MSDS). 2. The list is to be used for: a. evaluating hazards, b. training workers, c. disposing of hazardous waste, d. discharging air and water, and e. assessing and cleaning up spills.

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13.10.2	Are up-to-date Material Safety Data Sheets (MSDS) for all chemicals available in the local legal language?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. An up-to-date MSDS is available in local language for each hazardous chemical produced, imported, stored, and used onsite. 2. MSDS requirements: a. must be available to be found; and b. workers must be able to understand how to interpret the key safety, labeling, and handling points illustrated by the MSDS.
13.10.3	Are up-to-date Material Safety Data Sheets (MSDS) with complete information available for all chemicals?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Complete MSDS information includes: a. chemical product and company identification, b. hazard identification, c. composition/information on ingredients, d. first-aid measures, e. fire-fighting measures, f. accidental release measures, g. handling and storage, h. exposure controls and personal protection, i. physical and chemical properties, j. stability and reactivity, k. toxicological information, l. ecological information, m. disposal considerations, n. transport information, o. regulatory information, and p. other information.
13.10.4	Are all chemicals stored in proper containers, with the contents and hazard warnings labeled in the local legal language?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Chemicals includes all flammable/combustible liquids. 2. Containers of chemicals must not be combustible (a one-day supply in closed plastic bottles is acceptable at work stations where no naked flame is present). 3. When not in use, chemical storage containers must be closed to prevent ignition and the creation of hazardous atmospheres, and they must be stored in suitable cabinets, containers, or buildings. 4. Glass is not to be used unless materials involved are corrosive. 5. Chemical storage containers must be labeled in the local legal language, and the contents of the label must contain key information including, but not limited to: a. the name of the chemical; b. indication of the potential hazard; and c. any specific handling, storage, and emergency instructions.
13.10.5	Are chemicals containers properly stored in metal safety cabinets and/or in proper storage rooms?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Chemicals include all flammable/combustible liquids. 2. Chemical storage rooms must be ventilated and constructed specifically for the storage and handling of chemicals. 3. All electrical fixtures, switches, and circuits inside a chemical storage room must be appropriate for hazardous locations (i.e. explosion-proof).

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13.10.6	Are the containers for chemicals properly grounded?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Chemicals includes all flammable/combustible liquids. 2. Chemical storage drums and dispensing containers must be grounded during dispensing or transferring of the chemical to prevent sparking from the build-up of static charge.
13.10.7	Is secondary containment used in work areas for bulk liquid chemical storage?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Work areas can be an individual room, production line, workshop or warehouse.
13.10.8	Is the size of the secondary containment adequately larger than that of the individual container?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Applies to individual containers that have a volume of more than one liter. 2. Secondary containment volume must be greater than 110% of the biggest individual chemical container inside the containment.
13.10.9	Is storage and processing used for chemicals labeled or color-coded?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Storage and process tanks, piping used to transfer chemicals, and valves used to control the flow of chemicals must be: a. labeled or color-coded to communicate which substances are present in the system; and b. labeled to identify valves, connections, bleed valves, and other critical parts. 2. The color-coding system must be consistent throughout the factory and communicated by posting the color-code and what each color identifies.
13.10.10	Are functional emergency eyewash stations and showers provided where workers come into contact with corrosive chemicals or high volumes of solvents?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Missing eyewash station or shower Major <input type="checkbox"/> Malfunctioning or mislocated eyewash station or shower N/A <input type="checkbox"/>	1. Emergency eyewash equipment must be functional and present in all areas of hazardous chemical use. 2. Shower units must be installed if corrosive and toxic chemicals are being used. This requirement applies to both process operations and laboratory facilities. 3. The eyewash equipment for non-corrosive chemicals must be located in the workshop or right outside the entrance to the workshop and within 50 meters (165 feet) or, if corrosive chemicals are used, within 19 meters (62 feet) travel distance from the area of hazardous chemical use.

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13.10.11	Are emergency eyewash stations and showers indicated with signs and regularly inspected?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Signs identifying emergency eyewash equipment and shower unit location must be clearly posted. 2. Regular inspections of emergency eyewash and shower equipment must be conducted on a monthly basis.
13.10.12	Have workers been trained on chemical safety?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers have exposure to chemicals (e.g. handling, transport) must be trained on chemical safety including MSDS. 2. Training contents and records must be accurately maintained.
13.11 Incident Investigation and Reporting			
13.11.1	Are reporting procedures for accidents and near misses in practice?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The procedure requiring workers and management to report all accidents and near misses. 2. Accidents and near misses include fires, spills, injuries, overexposure to hazardous chemicals, property damage, and incidents that did not result in injury or loss but had the potential to do so. 3. Consistent format must be used to ensure that the proper information is collected, details of the incidents, the immediate causes, root causes, corrective action plans and necessary system improvements are identified. 4. Workers must be reminded of the need to report all incidents. This can be accomplished by posting bulletins, safety meeting reminders, memoranda, etc. 5. Corrective actions must be tracked on a corrective action log and the status of items must be reviewed periodically to ensure timely completion.
13.11.2	Are all accidents and near misses investigated?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> > 3 accidents not investigated / actions not taken Major <input type="checkbox"/> ≤ 3 accidents not investigated / actions not taken N/A <input type="checkbox"/>	1. All accidents must be investigated according to procedures and documented. 2. Established relevant corrective/preventive actions must be taken and tracked to completion.
13.11.3	Are workers free to report accidents without punitive actions?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers should be encouraged to promptly report any accidents. 2. Workers must not be discriminated against, reprimanded, or discouraged for reporting accidents.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
13.11.4	Does the factory keep records for all accidents, near misses and illness?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory must maintain the accident records. 2. For injury records, the date of injury, name of injured person and a description of the injury and its causes. 3. When clinic is applicable, the illness record must be maintained. 4. These logs should be analyzed periodically to identify occurrences or trends and for corrective action determination and evaluations.
13.12 Environmental			
13.12.1	Is indoor and outdoor hazardous waste stored properly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Hazardous waste must be properly contained and stored. 2. Waste containers are stored with lids, rings, and/or bungs in place. 3. Waste containers must be free from leaks and major dents. 4. Waste containers must have a hazardous waste label, in addition to appropriate hazard warning labels. 5. Containers of incompatible waste must be stored separately or have containment between the containers to prevent mixing. 6. The base for warehouse hazardous waste storage must be free from cracks or gaps. In addition, the base must be sloped or the containment system designed and operated to drain and remove liquids resulting from leaks, spills, or precipitation. The containment system must have sufficient capacity to contain 110% of the volume of the largest container. 7. Hazardous waste storage areas must have visible signage posted in a conspicuous location. The signage should identify the area as a "Hazardous Waste Storage" area and indicate the type of hazardous waste present such as flammable or corrosive waste. 8. The storage area must also have appropriate clean-up equipment and fire extinguishers.
13.12.2	Is indoor and outdoor hazardous waste storage inspected on a weekly basis?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Inspection of the waste storage areas must be conducted weekly to ensure no leakage or deterioration of containers.
13.12.3	Is industrial waste water discharged properly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Annual inspection by certified entity is required to ensure the discharge is in compliance with legal requirements. 2. The factory must discharge industrial waste water in accordance to legal requirements (i.e. a permit maybe required for certain type of waste). 3. Untreated waste water cannot be discharged into the local water source.
13.12.4	Is domestic waste water discharged properly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory must discharge domestic waste water in accordance to legal requirements. 2. Untreated waste water cannot be discharged into the local water source. 3. The factory must have a regularly scheduled maintenance program for cleaning any septic system. Cleaning should be as frequent as appropriate depending on the number of workers and the size of the septic system.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
13.12.5	Are air pollution control systems properly maintained and operated?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Air pollution control systems must be maintained in effective, safe and clean working conditions (e.g. air filters are changed periodically). 2. Legal requirements may require that periodic tests (air flow measurements) are performed to determine if controls are operating correctly and efficiently.
13.12.6	Is air discharged properly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Annual inspection by a certified entity is required to ensure air discharge is in compliance with legal requirements. 2. Factory must discharge according to legal requirements (i.e. a permit maybe required for certain types of waste). 3. Facilities that emit chemical vapors into the atmosphere must evaluate that all discharge points, and the amount of emissions discarded through each, are in line with legal requirements. It is suggested that a list of all discharge points are identified and recorded.
13.12.7	Is all hazardous waste disposed of properly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory must dispose of all hazardous waste in accordance with legal requirements (i.e. certain types of hazardous wastes to be disposed of at special facilities by a qualified collector, or it may be required that waste is specially handled before disposal). 2. Documentation (manifests) for all shipments of hazardous waste is kept onsite in accordance with legal requirements.
13.12.8	Are storage tanks properly managed?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Storage tanks (such as gas, gasoline) include above ground storage tanks and underground storage tanks. 2. Secondary containment for underground storage tanks is required (i.e. double walled tank with sensors between the walls to detect leakages). 3. Underground storage tanks need to be professionally inspected periodically. Pressure testing should be performed to check the integrity of the underground tanks and piping. 4. Above ground tanks can be visually inspected. 5. Records of testing and inspections must be maintained. 6. Tanks that are leaking or in poor condition must be emptied and repaired before use.
13.12.9	Are workers involved in hazardous waste management trained?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Workers who handle or transport hazardous waste must be trained in the proper methods of collecting, storing, and disposing of the waste. 2. Training contents and records must be accurately maintained.

Section 14 Dormitory & Canteen

Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.1 Facility			
14.1.1	Are dormitory and childcare facilities located in a separate non-industrial facility?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. All dormitory and/or childcare facilities must be located in a separate non-industrial facility. 2. The nursery area must be located on the ground floor of a non-production area.
14.1.2	Is the maximum number of workers per room limited to 12?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. There must be no more than 12 workers per room.
14.1.3	Does each worker have sufficient living space and a secure locker in the dormitory?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> No individual bed provided Major <input type="checkbox"/> Insufficient space / Lack of locker N/A <input type="checkbox"/>	1. Each worker must be provided with an individual bed. 2. Sufficient space refers to the minimum amount of square footage allocated per worker, this must be at least 1.8m ² (20ft ²), this includes sleeping area and available floor space. 3. Workers are provided with a secure locker of at least 0.03m ³ (1ft ³).
14.1.4	Are there adequate toilet and shower facilities?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Adequate refers to a minimum of 1 shower or bath stall and 1 toilet per 12 workers must be available. 2. For dormitories built prior to November 2000, the bath and toilet ratio can be up to 15 workers per 1 shower or bath and 1 toilet. 3. Toilets, and wherever possible showers, must be on the same floor as that of the dormitory room. 4. Hot water must be provided when the environment temperature can drop below 15°C (60°F). 5. Provisions must be made for residents to launder clothes in accordance with local expectations.
14.1.5	Are there adequate recreation facilities?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Recreation facility is to be available for residents, such as basketball, library, and television.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.1.6	<p>*New* Are dormitories kept clean and maintained in good condition?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Dormitory rooms, common areas, toilet, bath, and shower facilities are maintained in a functional, clean condition, and are free of foul odor. 2. Toilets and showers must be functional, well-lit, and well-ventilated.. 3. Effective flushing system (mechanical or manual) must be available. 4. Adequate ventilation, including fans or heating (as appropriate for the conditions), must be available in the dormitory rooms. 5. The factory must establish a program to ensure regular cleaning of the dormitory rooms, toilets, and shower areas. *New* 6. Effective insect, pest, and rodent control is required in all areas.</p>
14.1.7	<p>Are residents and guests well informed of the written dormitory rules?</p>	<p>Yes <input type="checkbox"/></p> <p>Minor <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Dormitories must have general rules posted in the local legal language for their residents and/or guests regarding hours for recreation, use of common areas, and for safety concerns.</p>
14.1.8	<p>Are privacy and gender respected with segregation for dormitory rooms, toilets, and showers?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Dormitory rooms, toilets, and showers must be separate for men and women. 2. Management must recognize and respect privacy when maintaining and supervising dormitory areas.</p>
14.1.9	<p>Are security measures taken to protect workers and their property?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. Security provisions must be made to prevent unauthorized persons and vehicles from entering and exiting the dormitory areas and to guard against theft at the site. 2. Procedures must be established for security personnel to conduct periodic inspection rounds of the dormitory areas for security and hazard monitoring.</p>
14.1.10	<p>Is trash properly disposed of in dormitory facilities?</p>	<p>Yes <input type="checkbox"/></p> <p>Major <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<p>1. To minimize fire hazards, trash (rubbish) removal must be done regularly and in accordance with the rate of generation. 2. Dedicated containers for trash (rubbish) removal must be provided and in place both inside and outside of the dormitory.</p>

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.2 Emergency Preparedness Policy			
14.2.1	Does the factory have a written emergency preparedness plan for dormitory area to handle natural disasters and fire emergencies?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	<ol style="list-style-type: none"> 1. The factory can adopt the same emergency preparedness plan for the overall factory in Section 12 or create a dedicated one for the dormitory area. 2. The emergency preparedness plan needs to be dated and include procedures to be taken in the event of an emergency. 3. According to the area where the factory is located, incidents for which emergency preparedness is required may include, but are not limited to, fire, typhoon, hurricane, tsunami, flooding, earthquake, chemical emergency, or food poisoning. 4. The Emergency Preparedness Plan needs to include: <ol style="list-style-type: none"> a. factory information describing key elements of the factory (i.e. location of chemical storage and power generator) – this is useful for new workers and response agencies, such as local fire departments; b. information so that workers know how to report an emergency – this may include the activation of pull alarms or notifying the factory security center, consideration need to be given to methods of notifying local agencies such as the fire department; c. alarms and signals to alert workers must be identified – this may include audio alarms, highly visible lights, and/or public-address systems, consideration needs to be given to the potential for loss of electrical power in the event of an emergency and alternatives and “back-up” to mains powered alarms must be in place, management and workers need know what actions to take when an emergency alarm is activated; d. all emergency phone numbers need to be identified, listed in the emergency preparedness plan, and posted – emergency phone numbers need to include any factory numbers, local agencies, and any emergency-response personnel; e. all responsibilities must be clearly defined for management and workers – management needs to determine its strategy for responding to emergencies; f. a chain of command must be established to minimize any confusion – personnel need to be identified to coordinate the emergency-response actions; g. detection and alarm systems must be identified and described, testing and preventative maintenance procedures must be included; h. assembly areas need to be established and safe from hazards and clear of emergency vehicle traffic and activities; and i. search and rescue procedures need to be established, only trained and authorized personnel can attempt search and rescue.
14.2.2	*New* Does dormitory have a written fire prevention policy?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	<ol style="list-style-type: none"> 1. The factory can adopt the same emergency preparedness plan for the overall factory in Section 12 or create a dedicated one for the dormitory area. 2. The fire prevention policy needs to include: <ol style="list-style-type: none"> a. housekeeping, and maintenance of fire fighting equipment; and b. fire hazard identification.
14.2.3	Are residents and dormitory personnel trained on emergency preparedness and fire prevention?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	<ol style="list-style-type: none"> 1. Residents, dormitory personnel (e.g. security guards) must be knowledgeable and need to be informed of the fire prevention procedures. 2. Residents, dormitory personnel (e.g. security guards) must understand basic emergency action plans including alarm signals, emergency shutdown, primary/secondary exit routes, and assembly areas. 3. Residents, dormitory personnel (e.g. security guards) must know how to safely evacuate their residence and dormitory common areas in an emergency. 4. Training contents and records must be accurately maintained.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.3 Exit and Evacuation			
14.3.1	<p>*New* Are emergency exits and evacuation paths built in line with legal requirements?</p>	<p>Yes <input type="checkbox"/></p> <p>Critical <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Evacuation paths include any passage leading to an emergency exit including stairwells. 2. Emergency exits and evacuation paths must be built according to legal requirements (i.e. width, design, number required). 3. If legal requirements do not exist, the evacuation path must be at least 1 meter wide. 4. The number of emergency exits must be in line with legal requirements or, in their absence, two exits must be provided per floor. 5. Emergency exits on each floor must be reasonably located (e.g. appropriate distance apart, placed in opposition to each other). 6. A landing must be present at the emergency exit in line with legal requirements. A landing is a level walking surface between the doorframe and the stairs.
14.3.2	Are emergency exits and evacuation paths clearly marked, and illuminated?	<p>Yes <input type="checkbox"/></p> <p>Critical <input type="checkbox"/></p> <p>Major <input type="checkbox"/> Insufficient inspections</p> <p>N/A <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Evacuation paths must be illuminated in an emergency to assist people in traveling to emergency exits. 2. Evacuation paths must be clearly identifiable and clearly marked with visible signs. 3. Floor markings and arrows are often used to direct people to the emergency exit. 4. Emergency exits must be marked with an illuminated sign at all times. 5. At a minimum, the factory is expected to conduct weekly inspections. Inspection records must be accurately maintained. 6. Inspection records must include inspector(s) details, dates and testing result.
14.3.3	Are emergency exits and evacuation paths clear from obstruction?	<p>Yes <input type="checkbox"/></p> <p>Critical <input type="checkbox"/></p> <p>Major <input type="checkbox"/> Insufficient inspections</p> <p>N/A <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Emergency exits and evacuation paths must be clear from obstruction (in addition to physical objects obstructing exits or paths, obstruction can include locking of any kind) 2. Each worker must have access to emergency exits (e.g. work stations should not be surrounded by goods preventing access to emergency exits). 3. There needs to be proper access for fire department vehicles and other fire-fighting equipment in the factory premises. 4. The factory is expected to conduct regular inspections.
14.3.4	Are emergency lights installed in line with legal requirements?	<p>Yes <input type="checkbox"/></p> <p>Critical <input type="checkbox"/></p> <p>N/A <input type="checkbox"/></p>	<ol style="list-style-type: none"> 1. Emergency lights must be installed in line with legal requirements (i.e. lumens, location, power supply).

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.3.5	Are all emergency lights installed functional?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> Major <input type="checkbox"/> Insufficient inspections N/A <input type="checkbox"/>	1. At a minimum, the factory is expected to conduct monthly inspections. Inspection records must be accurately maintained. 2. Inspection records must include inspector(s) details, dates and testing result.
14.3.6	Are emergency exit doors appropriate, operable and can be opened with a single motion?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. Emergency exit doors need to be able to open freely in the direction of evacuation with a single motion (e.g. a door knob/handle to turn then push open). 2. Unacceptable exit door examples include, but are not limited to, a glass to be broken or button to press before opening. 3. Emergency exits doors must be side-hinged. 4. Revolving doors are not acceptable. 5. Sliding and rolling doors have to be kept in an open position when the premises are occupied. 6. Inward opening doors must be kept in an open position by a locking device when premise is occupied. Exemption until Dec 31, 2019: Factories using sliding, rolling or inward opening doors.
14.3.7	Are evacuation floor plans with required information posted?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Evacuation floor plan needs to indicate the following up-to-date key information: a. indication of current location (e.g. "you are here" marking), b. emergency paths and exit doors, c. exits, and d. location of firefighting equipment. 2. The evacuation floor plan must be displayed in all major areas (e.g. recreation room, canteen) in a highly visible position. 3. Instructions must be in the local legal language which workers can read and understand.
14.4 Fire Fighting System			
14.4.1	Is the number of functional and appropriate fire extinguishers in line with legal requirements?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The number of fire extinguishers must be in line with legal requirements. 2. All extinguishers must be functional. 3. The factory must ensure correct fire extinguisher types are used in specific areas in the factory (i.e. extinguisher for flammable liquids or gases can be different).
14.4.2	Are fire extinguishers properly installed?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Fire extinguishers need to be installed: a. according to legal requirements; b. high enough above floor level to be visible and identifiable; c. safely, avoiding hazards like tipping and falling; d. with a travel distance less than 23 meters (75 feet) or the legal requirement, whichever is lower; and e. in an upright position up to 1.5 meters (4.6 feet) to the top of the extinguishers or legal requirement, whichever is lower. 2. Fire extinguisher location must be marked posted in visible areas.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.4.3	Are fire extinguishers clear from obstruction?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The factory is expected to conduct regular inspections.
14.4.4	Are fire extinguishers fully charged and inspected monthly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. A system of inspecting, maintaining, and recharging of all portable fire extinguishers must be in place. 2. Extinguishers must be inspected each month and recorded on a tag attached to each extinguisher.
14.4.5	Is the sprinkler and fire hydrant system functional?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	
14.4.6	Is the sprinkler and fire hydrant system clear from obstructions?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	
14.4.7	Is the sprinkler and fire hydrant system inspected monthly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. At a minimum, the factory is expected to conduct monthly inspections. Inspection records must be accurately maintained. 2. Inspection records must include inspector(s) details, dates and testing result.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.4.8	Is water supply adequate for fire hydrant or sprinkler system?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. When a suction tank, elevated tank, or reservoir is present for fire hydrants and sprinklers, water level must be within 0.3 meter (1 foot) of the full level. 2. The factory must be able to prove that fire hydrant or sprinkler is connected to an adequate water supply. 3. If the facility is connected to a public water source, they need to provide an external inspection report to prove they have adequate water pressure (an external report should be provided at least annually).
14.5 Emergency Alert System			
14.5.1	Is a functional emergency alarm system installed appropriately?	Yes <input type="checkbox"/> Critical <input type="checkbox"/> N/A <input type="checkbox"/>	1. The alarm system needs to: a. cover all areas in factory, b. have a back-up system in place in the event of loss of electrical power, c. be the proper type (e.g. a flashing alarm for areas of high noise levels), d. have switches/control panels which are easily identifiable, e. be visually and aurally distinctive compared to other alerts (e.g. lunch bell), f. be functional.
14.5.2	*New* Are emergency alarm system switches/control panels free from obstruction?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Emergency alarm system switches/control panels must be free from obstruction. 2. The factory is expected to conduct regular inspections.
14.5.3	Is the installed alarm system inspected and tested monthly?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. At a minimum, the factory is expected to conduct monthly inspections. Inspection records must be accurately maintained. 2. Inspection records must include inspector(s) details, dates and testing result.
14.6 Canteen			
14.6.1	Do catering services meet legal requirements?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All catering service and dining areas must meet legal requirements (i.e. environment, hygiene and facilities). 2. All catering service areas, equipment, and activities must meet the applicable laws, ordinances, and regulations of the jurisdiction in which they are located. 3. Where applicable, a copy of the license must be present and it must be in date.

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Checkpoint No.	Checkpoint Questions	Compliance	Guidance Text
14.6.2	Are catering service areas kept clean and hygienic?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. All catering service areas and activities must be carried out in accordance with sound hygienic principles. 2. The food dispensed must be wholesome, free from spoilage, and must be processed, prepared, handled, and stored in such a manner as to be protected against contamination. 3. Food service personnel must ensure that multi-use food preparation, serving equipment, and utensils are properly cleaned before they are reused. 4. Food must be properly cooked.
14.6.3	Are food storage methods and controls adequate?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. Perishable food must be stored in appropriately temperature-controlled storage areas. There must be no sign of spoilage and food must be within labelled expiry dates. 2. Cooked and uncooked food cannot be stored together. 3. Food scraps and debris must be kept in containers and cleared of floor areas to prevent the likelihood of insects and vermin being attracted to the food preparation and storage areas.
14.6.4	Is trash properly managed?	Yes <input type="checkbox"/> Minor <input type="checkbox"/> N/A <input type="checkbox"/>	1. Trash must be managed for regular removal to be done in accordance with the rate of generation. 2. A dedicated container with a cover for trash removal must be provided both inside and outside the canteen.
14.6.5	Is there a system in place to ensure that food handlers are in good health and well trained?	Yes <input type="checkbox"/> Major <input type="checkbox"/> N/A <input type="checkbox"/>	1. There must be a system in place that assures that personnel who handle, prepare, and/or serve food are in good health so as not to contaminate food with communicable diseases. 2. At a minimum, an annual physical exam record must be on file for such workers. 3. Workers who are found to have communicable diseases such as Hepatitis B or Tuberculosis, must not be allowed to work in the food service area.



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