

### 3. Working Conditions are Safe and Hygienic

**3. A Ensure a safe working environment. Put in place adequate controls to prevent accidents and injury (including long-term injury) to health arising out of, associated with, or occurring in the course of work.**

#### **Interpretation guidance**

Instances in which the site fails to ensure a safe working environment can be recorded against the generic issue titles which sit under this requirement where they cannot clearly be categorised under one of the more specific workplace requirements. It is *not* necessary to record non-conformances under both a more specific requirement and this more general one.

Additionally, instances of failure to prevent long-term damage to health arising from work should be captured under this workplace requirement.

**3. B Conduct risk assessments regarding the potential hazards arising from work. The risk assessment shall be reviewed whenever processes change and at least annually considering any incidents and findings.**

#### **Interpretation guidance**

Risk assessments are an essential part of ensuring measures to prevent harm are relevant to the specific risks of the site.

Auditors should expect to see documented risk assessments which evaluate potential risks at the site (taking into account the severity and likelihood of those risks), and an outline of mitigation measures in place or planned for those of high priority.

For risk assessments to be considered suitable and sufficient, they should be relating to the actual situation at the site and include reference to all the major risks faced by workers at the site.

The assessments should be reviewed at least annually or when there is a process or physical change at the site, or in response to any health and safety incidents.

**3. C Appoint a suitably qualified manager responsible for health and safety with the appropriate knowledge and authority to effectively implement health and safety systems and processes.****Interpretation guidance**

Responsibility for health and safety management must be assigned to an individual with appropriate knowledge, and who is given sufficient authority to act effectively in their role. No specific qualification is mandated by SMETA, but where formal qualifications are legally required, this should be taken into account.

It is not required that this individual is solely responsible for health and safety, they may have health and safety as part of their role.

**3. D Form a health and safety committee (or include H&S in worker committees) which includes workers, and/or their representatives.****Interpretation guidance**

Sites should have in place a system for gathering input and perspectives from workers on health and safety matters, regardless of whether there is a legal requirement to do so. This should take the form of a 'committee' or group of representatives from the workforce.

Auditors should raise a finding if there is no means of gathering perspectives on health and safety from worker representatives.

If there is a specific legal requirement to have a health and safety, fire safety, or emergency planning committee or worker representative, this should be captured under the relevant issue title.

**3. E Provide and record health and safety training to all new workers, prior to exposure to risks. Provide continued training to existing workers, as appropriate for the hazards and levels of risk identified.****Interpretation guidance**

Health and safety training is an essential part of most health and safety management systems. Auditors should consider whether workers have received adequate training to operate in their roles safely. Auditors should firstly consider the site's own procedures determining what training is necessary, and assess via sampling whether the training is in place. Auditors may also refer to their own determination of key risks on site, and whether training should be in place to control these risks.

Auditors should request and expect to see records of safety training provided. Where there are missing records and no corroborating evidence that training has been conducted, it must be assumed for the purpose of audit that it did not occur and the relevant finding should be raised. Where there are missing records but the auditor is able to determine that training did take place, for example via worker interview, a finding should be raised in regards to missing records.

### **3. F Have a system in place to measure the effectiveness of health and safety training carried out. Ensure training content is understood/implemented by workers.**

#### **Interpretation guidance**

Sites should have in place a system to measure the effectiveness of health and safety training. This may take the form of written, verbal or conversational testing or monitoring of behavioural outcomes.

If auditors encounter instances of workers not operating according to safety procedures, they should consider whether the cause is lack of training or lack of a process to monitor training. If there are no gaps in training, but a lack of system to monitor understanding of training, the finding should be recorded here.

### **3. G Provide sufficient first-aid supplies onsite, and ensure that adequately trained personnel are available during all shifts.**

#### **Interpretation guidance**

To assess whether a site has sufficient first aid supplies, auditors should firstly consider the site's own risk assessments or procedures determining what type and quantity of first aid provision is considered necessary, and assess whether this level of provision is found in place during the site tour. Auditors may also refer to their own determination of key risks on site, and whether first aid provisions should be in place to control these risks.

To assess the level of training of key personnel which is adequate, auditors should similarly look firstly at what is determined by the site's own procedures and risk assessments, and may also refer to their own determination of key risks. Auditors should validate whether this level of provision is applied by means of document sampling.

**3. H Where identified as necessary to reduce residual risk, provide (without charge to workers) and ensure the use of appropriate personal protective equipment (PPE).****Interpretation guidance**

Personal protective equipment may play an essential part of reducing risk to workers, in conjunction with other safety measures. Where identified as a necessary part of reducing risks to workers, either by the site's own risk assessment and procedures, local law, or by the auditor's reasonable determination of risks onsite, the auditor should assess whether appropriate PPE is provided to workers.

A finding should be raised if workers are not issued with the PPE mandated by the site's procedures, or workers are issued with PPE but it is not appropriate to the risk in question according to the reasonable determination of the auditor.

A finding should be raised if PPE is issued but the auditor observes that there are instances of it not being used in practise. Findings should also be raised if instances of control relating to PPE, such as signage or training, are inadequate.

Where appropriate PPE is not issued at all, or there are systematic occurrences of its not being issued, and this creates a clear risk of serious harm, the issue title "Workers are not issued with appropriate Personal Protective Equipment, and this creates a clear risk of serious harm" should be used. Where the occurrence is isolated, or it is systemic but does not contribute towards risk of serious harm, the issue title "Workers are not issued with Personal Protective Equipment, or it is not appropriate to the risk – isolated" should be used.

Findings can be raised under this WR regarding any instance of failure to issue specific equipment necessary to do a job safely to individual workers, not only in regards to clothing.

Findings relating to payment for PPE or necessary work equipment should be raised instead under Code Are 5: Legal Wages are Paid.

**3. I Record all accidents and near misses and ensure these are investigated. Ensure accident/incident log is routinely reviewed by appropriate personnel and appropriate corrective and preventative actions are taken.**

**Interpretation guidance**

Auditors should expect to see that there is a system of keeping records of serious accidents at the site. The site should be able to demonstrate that accidents are investigated for any learnings and opportunities to change/improve procedures.

**3. J Permit workers to stop working, seek safety or leave the premises, without the threat or fear of retaliation, when they believe hazards in the workplace have placed them in imminent danger.****Interpretation guidance**

There should be no restriction on worker movement / egress for the purpose of escaping hazardous conditions.

The threat or worker perception of likely retaliation for leaving the premises under such circumstances is sufficient to raise a finding here.

Where there is a more general issue of restriction of worker movement, not related to escape from hazard, this should be raised under Code Area I: Employment is Freely Chosen.

**3. K Ensure that all premises are safe and have valid safety certifications for their current layout and use. If it is currently not possible for a required license or certificate to be obtained, implement inspections by appropriate third parties to ensure building safety.****Interpretation guidance**

Observable safety failings relating to building premises, such as inadequate lighting or ventilation, pest, security or asbestos issues can be captured here, where they are observed by the auditor. In regards to observations of structural problems, the auditor is not expected to conduct a full structural safety review, or be themselves experts in building safety, but they should take care to observe the building for any clear visual evidence of such issues, and if apparent during the site tour, raise them as a finding.

In addition, auditors should check that any legally required certifications of building safety are in place. If they are not in place, issue titles are available to reflect situations where it may not be possible in the current context for the site to obtain a certain legally required certification due to circumstances beyond their control e.g., government backlog or certification regime change. Where legally required certification for the building as a whole is not in place, auditors should raise a finding but in choosing one of the three applicable issue titles, take into account;

- Any evidence that a private third party assessment of building safety has been obtained

- The level of risk that the lack of such certification entail

In general, building issues relating to accommodation should be recorded under 3.S

**3. L Implement effective processes to manage fire safety including, but not limited to, accessible evacuation routes, a fire detection system, fire fighting/suppression equipment, training and regular drills covering all shifts and warning systems.**

**Interpretation guidance**

All H&S findings relating specifically to fire safety should be captured here.

Legal obligations relating fire safety must be considered, however the auditor is not limited to legal regulations when making their assessment of whether appropriate fire safety is in place and may raise non-conformances where there is a demonstrable safety concern onsite.

In particular, the auditor should consider the specific provisions of the workplace requirements, i.e., the provision of accessible evacuation routes, a fire detection system, fire fighting/suppression equipment, training and regular drills covering all shifts and warning systems. The auditor should consider whether these are sufficient in context. Where there is an apparent risk or a legal breach, the auditor should select the issue title that best reflects the situation at hand – auditors should *not* use the extensive set of issue titles under this Workplace Requirements as a ‘checklist’ or replacement standard.

Multiple findings can be raised under this and other topic-specific workplace requirements within Code Section 3.

In regards to the frequency of fire drills, the requirement that these ‘cover all shifts’ is intended to promote consideration of whether the drills are likely to fulfil their purpose – i.e., that in general, most workers will be well-acquainted with the procedure at short notice. If certain shifts are not included, or there is a systematic omission of certain groups of workers, for example those in particular roles or locations, this should be raised as a finding. According to the same rationale, if drills are not conducted frequently (at least annually), this should also be raised as a finding.

**3. M Ensure all machinery is installed, maintained, and used in a safe manner.****Interpretation guidance**

All H&S findings relating specifically to machinery should be captured here.

**3. N Maintain a log of all hazardous substances (e.g. chemicals and pesticides) on site. Ensure that these are managed appropriately at all times in line with safety instructions, including storage, use and disposal.****Interpretation guidance**

All H&S findings relating specifically to chemical management should be captured here. Where there is a failure in training relating to safe chemical management, this should be captured under 3E or 3F.

**3. O Implement an appropriate electrical safety program to ensure that electrical hazards are reduced and controlled by appropriately qualified personnel.****Interpretation guidance**

All H&S findings relating specifically to electrical hazards should be captured here. Where there is a failure in training relating to electrical safety management, this should be captured under 3E or 3F.

**3. P Develop emergency preparedness and response plans for risks identified (including natural disasters and other potential emergencies). Where worker evacuation is required, drills should be conducted at least annually (or more frequently if required by law).****Interpretation guidance**

Sites should have an emergency preparedness plan in place if relevant to the context of risk locally. If the plan itself is inadequate in relation to the salient risks, or the plans require drills to be conducted and these drills are conducted less than annually, a finding should be raised here.

Fire preparedness plans should not be captured here, but rather under WR 3L (fire safety).

### **3. Q Implement systems to ensure workers are safe from risks associated with extreme weather conditions, including heat stress.**

#### **Interpretation guidance**

Where extreme weather conditions, in particular excessive heat but also other conditions, have the potential to cause health and safety issues, the site should have processes in place specifically to mitigate these risks.

### **3. R Provide clean and secure toilets, wash areas, and worker changing facilities, with adequate hygiene supplies separated by gender or with effective privacy. Ensure potable water is easily accessible by workers and, where appropriate, clean storage facilities for food and personal belongings.**

#### **Interpretation guidance**

Sites are obliged to provide clean and hygienic facilities for workers, including toilet, changing, rest and eating facilities. These should be separated by gender or otherwise effectively ensuring the safety and privacy of workers.

Where legal obligations relating to the above the appropriate issue title should be selected, however the auditor is not limited to legal regulations when making their assessment.

### **3. S Ensure that any accommodation which the site provides poses no risk to worker health and safety, and is assessed to ensure it meets local housing and safety requirements by someone suitably qualified. This includes accommodation provided by a contracted third party or any labour agencies engaged by the site.**

#### **Interpretation guidance**



Findings relating to the conditions of accommodation should be captured here. In general, the issue titles available here relate to conditions of sanitation, habitability and so on. For faults relating to specific issues, e.g., fire, electrical or chemical safety which are found at accommodation sites, findings should instead be raised under the relevant workplace requirements.

For details regarding when accommodation must be included within the scope of the audit, including withing the site tour, please refer to the SMETA Auditor Manual.

### **3. T Ensure that transport provisions, including those provided by a contracted third party, are safe and meet legal requirements.**

#### **Interpretation guidance**

Auditors are required to assess the safety of transport which is

- Provided by the audited site to transport workers during the working day
- Provided by the audited site to transport workers from home or provided accomodation
- Provided by a third party, and arranged for by the audited site, including where provided by a labour provider or onsite sub-contractor.

Auditors should make an assessment of safe transport within the above scope whether or not there are relevant local legal provisions that make the audited site responsible for such transport.

### **3. U Ensure any additional relevant legal requirements concerning health & safety are met.**

#### **Interpretation guidance**

None required

**Issue Titles available under this Code Area;****3.A. Ensure a safe working environment. Put in place adequate controls to prevent accidents and injury (including long-term injury) to health arising out of, associated with, or occurring in the course of work.**

- Lack of detailed health and safety policy that is communicated to workers
- Workers exposed to dangerous fumes/dangerous gas levels
- Work is performed under conditions that are degrading (i.e. humiliating or dirty)
- No/inadequate availability of clean drinking water (that meets the World Health Organisation standard for potable water)
- Workers who are pregnant or breastfeeding working in unsafe/unsuitable conditions, including handling hazardous substances (e.g. chemicals and pesticides)
- Failure to put in place measures to protect workers from/prevent the spread of viruses or diseases, as required by law
- Overcrowded work stations e.g. insufficient space per person as required by law, including 'breathing space'
- No/inadequate assessment of temperature levels
- No/inadequate testing of water for potability
- No/inadequate air quality test
- No/inadequate dust level survey
- No/inadequate noise assessment conducted
- No/inadequate health and safety procedures around bodies of water on site, creating significant risk of death or injury
- No/inadequate health and safety procedures around bodies of water on site, creating some risk to health
- No/inadequate emergency evacuation equipment or survival gear around bodies of water on site
- Insufficient action taken to improve conditions following air quality, dust level, noise or temperature assessment where necessary
- No valid health license in place
- No/inadequate procedures to clean up biohazards (e.g. blood spill)
- No nurse and/or doctor on site as required by law
- Nurse on site, but does not cover all necessary shifts/insufficient for the size of site/inadequately trained
- Medical facilities do not meet legal requirements
- No medical examinations or regular occupational health checks, including disease checks, of workers in hazardous situations (e.g. exposed to noise or dust) or working with hazardous substances (e.g. chemicals and pesticides)
- Inadequate/isolated failure in conducting medical examinations or occupational health checks, including disease checks, of workers in hazardous situations(e.g. exposed to noise or dust) or working with hazardous substances (e.g. chemicals and pesticides)
- Lack of records/missing documentation for medical examinations or occupational health checks of workers in hazardous situations (e.g. exposed to noise or dust) or working with hazardous substances (e.g. chemicals and pesticides)
- Ergonomic support not given to employees adequate to their job including mats for standing, back rest for seats, other materials to support
- Onsite child care facilities compromise children's safety (e.g. through inadequate emergency preparedness and procedures, building safety issues including location of the childcare facility, inadequate security measures or exposure to maltreatment)

- Childcare facilities are not provided in alignment with legal requirements
- Working conditions are not adequate, creating an immediate or widespread risk to health
- Working conditions are not adequate, creating a significant risk to health
- Working conditions are not adequate, creating some risk to health
- Isolated failures of health check processes not causing an immediate or significant risk of injury
- Undue pressures in the workplace causes significant risk to health

3B Conduct risk assessments regarding the potential hazards arising from work. The risk assessment shall be reviewed whenever processes change and at least annually considering any incidents and findings.

- No health and safety risk assessment conducted
- Health and safety risk assessment conducted, but not suitable, sufficient and/or documented

3.C Appoint a suitably qualified manager responsible for health and safety with the appropriate knowledge and authority to effectively implement health and safety systems and processes.

- The site has not assigned responsibility for health and safety to a competent senior management representative

3D Form a health and safety committee (or include H&S in worker committees) which includes workers, and/or their representatives.

- There is no health and safety committee which includes workers, and/or their representatives, where this is not required by law
- No/inadequate health and safety committee or representative(s) as required by law
- No/inadequate fire safety committee or representative(s) as required by law
- No/inadequate emergency planning committee or representative(s) as required by law
- Health and safety, fire safety or emergency planning committee members or representative(s) are not freely elected

3E Provide and record health and safety training to all new workers, prior to exposure to risks. Provide continued training to existing workers, as appropriate for the hazards and levels of risk identified.

- No/inadequate health and safety training provided to workers in relation to processes (including handling hazardous substances e.g. chemicals and pesticides) which may cause serious injury or death - systemic
- No/inadequate health and safety training provided to workers in relation to processes (including handling hazardous substances e.g. chemicals and pesticides) which may cause serious injury or death - isolated
- No/inadequate health and safety training provided to workers in relation to processes (including handling hazardous substances e.g. chemicals and pesticides) unlikely to cause serious injury or death - systemic

- No/inadequate health and safety training provided to workers in relation to processes (including handling hazardous substances e.g. chemicals and pesticides) unlikely to cause serious injury or death - isolated
- Health and safety training is not delivered in a language that all workers understand
- No/inadequate health and safety training for managers
- Health and safety training conducted, but lack of suitable training records kept in an accurate and retrievable form
- Health and safety training conducted, but isolated incidents of missing training records

3F Have a system in place to measure the effectiveness of health and safety training carried out. Ensure training content is understood/implemented by workers.

- There is no system to measure the effectiveness of health and safety training or there are systemic failures
- There is a system to measure the effectiveness of health and safety training, but there are isolated failures

3G Provide sufficient first-aid supplies onsite, and ensure that adequately trained personnel are available during all shifts.

- No or inadequately trained first aiders
- First aid boxes not available/accessible anywhere on site
- First aid boxes not available/accessible in certain areas
- First aid box available but contents are missing, out of date or otherwise inadequate
- First aiders in place but not enough for the size of site (including not covering all shifts)

3H Where identified as necessary to reduce residual risk, provide (without charge to workers) and ensure the use of appropriate personal protective equipment (PPE).

- Workers are not issued with Personal Protective Equipment, or it is not appropriate to the risk - systemic
- Workers are not issued with Personal Protective Equipment, or it is not appropriate to the risk - isolated
- Workers are not issued with appropriate Personal Protective Equipment, and this creates a clear risk of serious harm
- Personal Protective Equipment (PPE) provided but incidents of workers not using PPE where appropriate
- Lack of adequate/appropriate signage in high risk areas on usage of PPE (e.g. importance of ear plugs for high noise or specific PPE for chemical use/handling)
- No/inadequate training in how to use Personal Protective Equipment (PPE)
- Personal Protective Equipment (PPE) not adequately cleaned/maintained/stored
- Necessary working equipment for the job not provided (e.g. scissors)

3I Record all accidents and near misses and ensure these are investigated. Ensure accident/incident log is routinely reviewed by appropriate personnel and appropriate corrective and preventative actions are taken.

- No/inadequate recording of accidents and incidents at the site
- Accidents are recorded but investigation/corrective action is not conducted

3J Permit workers to stop working, seek safety or leave the premises, without the threat or fear of retaliation, when they believe hazards in the workplace have placed them in imminent danger.

- Workers suffer or fear retaliation for refusing to undertake hazardous work (i.e. where there is a real and apparent threat of serious injury or death)

3K Ensure that all premises are safe and have valid safety certifications for their current layout and use. If it is currently not possible for a required license or certificate to be obtained, implement inspections by appropriate third parties to ensure building safety.

- Structural issues observed that indicate potentially imminent and life-threatening conditions (e.g. a potential building collapse)
- Structural irregularities observed that should be evaluated by an expert to determine structural integrity
- Premises constructed for a different purpose than its current use (e.g. residence turned to production facility), and no subsequent confirmation of structural safety has been obtained
- Premises used for combined purposes (e.g. commercial or residential premises) and therefore could pose a safety threat
- Residential building converted to industrial with no evidence that legal requirements have been met
- Evidence of asbestos in a state that could cause harm (e.g. exposed and/or crumbling)
- No asbestos assessment/survey conducted where required
- No/inadequate ventilation systems
- Low level/inadequate lighting in all areas of the site including production area
- Low level/inadequate lighting in parts of the site
- Hazardous materials/heavy equipment or items are located or stored on the rooftop
- No/inadequate measures to ensure security at site (e.g. access control, security guards, etc.)
- Premises require minor repairs that may affect personal safety (e.g. missing handrails)
- Inadequate control of pests/insects
- Buildings at the site have neither legal or third party certification of their safety (e.g. none of house property construction safety appraisal reports or construction acceptance reports)
- Buildings at the site are missing key legal permissions/certifications but do have third party certification assuring their safety (e.g. the site has the Construction Safety Appraisal Report, but no Building Construction Acceptance Report or House Property Certificate) – Major
- Buildings at the site are missing key safety documents but this does not imply significant or immediate risk (e.g. the site has the house property certificate but cannot demonstrate the building construction acceptance report or the construction safety appraisal report) – minor

3L Implement effective processes to manage fire safety including, but not limited to, accessible evacuation routes, a fire detection system, fire fighting/suppression equipment, training and regular drills covering all shifts and warning systems.

- Fire licence, inspection or certificates not in place as required by law
- Fire risk assessment not conducted
- Fire risk assessment conducted, but no/inadequate action taken
- Workers are not given appropriate fire safety, fire prevention and/or evacuation training
- Fire safety, fire prevention and evacuation training conducted, but lack of suitable training records kept in an accurate and retrievable form

- Fire safety, fire prevention and evacuation training conducted, but isolated incidents of missing training records
- Workers are ill-equipped (or unaware of how) to summon emergency services
- There is no mechanism available (does not exist or is not operational) to summon emergency services
- No sufficiently trained person appointed to oversee fire safety, fire prevention and fire evacuation procedure (e.g. 'fire marshal') as required by law
- Insufficient number of responsible people appointed to oversee fire safety, fire prevention and fire evacuation procedure at the workplace (e.g. fire marshals) as required by law
- Smoking occurs in prohibited/restricted areas including unrestricted smoking anywhere on site
- No fire fighting equipment on site or equipment is not sufficient to address the type or severity of risk
- Fire fighting equipment is locked or otherwise not accessible at all times
- Firefighting equipment is not operational or is poorly maintained
- Fire extinguishers not inspected/checked regularly/out of date
- Fire extinguishers incorrectly installed, e.g. placed at an inappropriate height/on floor
- Inadequate hose reel installation and maintenance
- No fire fighting equipment signage/labelling/instructions
- Fire fighting equipment signage/labelling, instructions are not sufficient in detail, language, etc.
- Absence of functional fire alarms/smoke detectors
- Fire alarms/smoke detectors in place but isolated case of non-functional equipment
- Sprinkler system does not meet legal requirements
- Emergency notification system (e.g. fire alarm) is not set up to notify all workers at the site, including on multiple floors
- Access to fire alarm blocked/obstructed
- Inadequate signage/instructions of fire alarm
- No system in place to verify functionality of smoke detectors, alarms, emergency exit signage, firefighting equipment, etc.
- Insufficient controls to prevent machinery from overheating (e.g. inadequate ventilation to prevent dust from entering machinery)
- No/inadequate controls to prevent explosions, where appropriate
- Fire exits are inadequate or less than required by law, causing a significant and widespread risk to life
- Fire exits are inadequate or less than required by law, causing a significant risk to life
- Fire exits are not adequate, causing an elevated risk to life
- Systemic occurrence of locked fire exits
- Isolated occurrence of locked fire exits
- Systemic occurrence of blocked fire exits
- Isolated or partial occurrence of blocked fire exits causing an elevated but not significant risk
- No emergency exits are properly marked and lighted
- Not all emergency exits are properly marked and lighted
- Inadequate/poorly functioning emergency lighting
- Emergency notification and exit lighting systems not connected to secondary power source

- Multi-story building does not have two vertical exit routes
- Multi-story building does not have enclosed stairs
- No evacuation plan or designated emergency exit route
- Evacuation plan not adequately communicated to workers
- No/inadequate fire assembly point (e.g. too small for the number of workers, situated in an unsuitable location, etc.)
- Regular fire drills are not conducted
- Missing records of fire drills and evacuations
- Fire drills do not include the evacuation of all occupants of the building
- Fire safety processes are not adequate, creating an immediate or widespread risk of death or injury
- Fire safety processes are not adequate, creating a significant risk of death or injury
- Fire safety processes are not adequate, creating some risk of injury
- Isolated failures of fire safety processes not causing an immediate or significant risk of injury
- Inadequate evacuation plan/emergency route plan/unclear signage including marking of fire assembly points
- Fire drill/evacuation did not cover all workers e.g. night shift/foreign workers

3M Ensure all machinery is installed, maintained, and used in a safe manner.

- Machinery on site is being used in a manner that constitutes a serious danger to workers' health and/or safety
- Machines lack appropriate safety guards (e.g. eye or needle guards on sewing machines, belt/hand guards on other machines)
- Minor repairs required to machinery
- Incidents of incorrect use of machinery constituting a minor risk
- No/inadequate certificates for inspections of machinery, or machines not registered as required by law
- Lapses in inspections/maintenance of machinery (used in production or otherwise, e.g. boilers)
- No/inadequate policy for on-going control management /inspection/maintenance of machinery
- No licence or inadequate experience/training of company/engineer providing machinery maintenance
- Lack of appropriate equipment/machinery - creating a serious risk to workers
- Lack of appropriate equipment/machinery - creating a moderate risk to workers
- Safety functions on machinery not present/not functioning e.g. alarm/safety stop buttons etc.
- Proper safeguards not used to prohibit unauthorised access/use of dangerous machinery (e.g. panels left open/keys left in forklift etc.)
- Machinery safety processes are not adequate, creating an immediate or widespread risk of death or injury
- Machinery safety processes are not adequate, creating a significant risk of death or injury
- Machinery safety processes are not adequate, creating some risk of injury
- Isolated failures of machinery safety processes not causing an immediate or significant risk of injury

3N Maintain a log of all hazardous substances (e.g. chemicals and pesticides) on site. Ensure that these are managed appropriately at all times in line with safety instructions, including storage, use and disposal.

- No material safety data sheet (MSDS) obtained/available
- Material safety data sheet (MSDS) is incomplete/inaccurate/not in worker language/not understood by workers
- Non-hazardous chemicals are stored unlabelled or labelling is incorrect
- Hazardous substances (e.g. chemicals and pesticides) are stored unlabelled or labelling is incorrect
- No/inadequate chemical risk assessment in place e.g. COSHH
- Legally required chemical licence expired/not in place including any reporting to government bodies on list of hazardous chemicals on site
- No/inadequate records/registration on distribution, handling and use of hazardous substances (e.g. chemicals and pesticides)
- Improper storage of hazardous substances (e.g. chemicals and pesticides)
- Hazardous substances (e.g. chemicals and pesticides) stored without restricted access
- No/inadequate explosion proof lighting as required by law
- No/inadequate safety measures/anti-explosion measures for chemicals (e.g. no anti-leaking system/secondary container/unbundled)
- No/inadequate spill kit provided for handling chemical spillage and leakage
- No/inadequate eye wash/shower station in hazardous environments including chemical areas
- No/inaccessible wash area or changing facilities for workers that handle or come into contact with hazardous substances (e.g. chemicals and pesticides)
- No/inadequate emergency plan/emergency drill for hazardous substances (e.g. chemicals and pesticides)
- Chemical safety processes are not adequate, creating an immediate or widespread risk of death or injury
- Chemical safety processes are not adequate, creating a significant risk of death or injury
- Chemical safety processes are not adequate, creating some risk of injury
- Isolated failures of chemical safety processes not causing an immediate or significant risk of injury

3O Implement an appropriate electrical safety program to ensure that electrical hazards are reduced and controlled by appropriately qualified personnel.

- Failure to comply with legal requirements for electrical safety e.g. inspections
- Inadequate electrical safety inspections conducted, including on lighting
- Combustible/flammable materials located near a source of fire, heat or spark
- Systemic occurrence of incorrect/damaged insulation in electricals including burnt/damaged wiring and plugs
- Isolated occurrence of incorrect/damaged insulation in electricals including burnt/damaged wiring and plugs
- No/inadequate PAT/electric safety testing/electrical safety risk assessment
- Blocked access to electricity panels
- Unmarked/incorrect labels/signage/instructions for electricians
- Unsafe handling of electrical equipment e.g. no rubber mats in front of electricity panels
- Electrical safety processes are not adequate, creating an immediate or widespread risk of death or injury
- Electrical safety processes are not adequate, creating a significant risk of death or injury



- Electrical safety processes are not adequate, creating some risk of injury
- Isolated failures of electrical safety processes not causing an immediate or significant risk of injury

3P Develop emergency preparedness and response plans for risks identified (including natural disasters and other potential emergencies). Where worker evacuation is required, drills should be conducted at least annually (or more frequently if required by law).

- The emergency preparedness plans and procedures are inadequate in relation to identified risks
- The emergency preparedness plans and procedures are inadequate in relation to identified risks and there is a significant risk to life

3Q Implement systems to ensure workers are safe from risks associated with extreme weather conditions, including heat stress.

- Workers exposed to dangerous working conditions caused by extreme weather conditions (e.g. heat)
- Systems to manage risks associated with extreme weather is not adequate, creating an immediate or widespread risk of death or injury
- Systems to manage risks associated with extreme weather is not adequate, creating a significant risk of death or injury
- Systems to manage risks associated with extreme weather is not adequate, creating some risk of death or injury
- Isolated failures of systems to manage risks associated with extreme weather processes not causing an immediate or significant risk of injury

3R Provide clean and secure toilets, wash areas, and worker changing facilities, with adequate hygiene supplies separated by gender or with effective privacy. Ensure potable water is easily accessible by workers and, where appropriate, clean storage facilities for food and personal belongings.

- Materials/rubbish/other waste stored in unacceptable areas e.g. stairwell
- Storage of goods not in line with legal requirements (e.g. too high)
- No secure facilities for workers to store personal effects while working
- Sanitary facilities (e.g. toilets, hand basins) are unhygienic/not clean
- Sanitary facilities are insufficient for the size of the site (e.g. the number of toilets or hand basins is insufficient for the number of workers)
- Insufficient privacy afforded to workers in the toilets (e.g. no/missing toilet doors)
- Sanitary facilities are inadequate to protect women's health, safety or privacy (e.g. lack menstrual hygiene facilities, or toilets not separated by gender)
- Sanitary facilities (e.g. toilets) are inadequate/unavailable to people with disabilities
- Sanitary facilities (e.g. toilets) do not meet a local legal requirement not classified elsewhere
- No canteen facility provided as per local law
- Canteen provided is insufficient to meet legal requirements and/or worker needs
- No rest area/break area
- Rest facilities in poor condition
- Workstations and work areas are untidy, creating a risk of injury
- Worker facilities (e.g. changing rooms, lockers) in a poor condition
- Food storage facilities, where provided, are unhygienic or present a risk to worker health

3S Ensure that any accommodation which the site provides poses no risk to worker health and safety, and is assessed to ensure it meets local housing and safety requirements by someone suitably qualified. This includes accommodation provided by a contracted third party or any labour agencies engaged by the site.

- The living accommodation is unfit for human habitation (e.g. filthy and overcrowded)
- Conditions in living accommodation (i.e. sleeping quarters, toilets/wash areas, eating areas, etc.) are unhygienic
- Production area and dormitory area not adequately separated, creating potential fire risk
- Accommodation used to store hazardous, flammable, combustible materials
- Accommodation is not equipped with basic amenities/services (i.e. electrical, water, etc.)
- Overcrowding in dormitories
- Accommodation does not provide adequate protection from external conditions
- Conditions of the living accommodation presents a risk to worker health (e.g. presence of mould)
- Accommodation is located in an unsafe area (e.g. exposed to environmental or physical hazards)
- Workers cannot travel safely between the living accommodation and the worksite
- Accommodation is not equipped with proper lighting
- No/inadequate temperature control in accommodation (e.g. air-conditioning, fans)
- Unsafe electrical wiring and other electrical equipment
- Accommodation has inadequate canteen facility/eating area or inadequate appliances for cooking
- Workers have no/inadequate beds or mattresses
- No appropriate gender segregation in sleeping facilities
- No/inadequate accommodation for couples or families
- Washing/showering facilities are inadequate
- No/inadequate security in workers' accommodation
- Workers are charged excessive rent for accommodation compared with local norms
- Accommodation is not properly maintained (i.e. minor issues with repair, such as broken windows, small cracks, peeling paint, etc.)
- No/inadequate access to hot water
- First aid kits not available in workers' accommodation
- Each individual does not have adequate and secure storage for personal possessions
- Recreational facilities in poor condition (e.g. unhygienic, in state of disrepair, etc.)

3T Ensure that transport provisions, including those provided by a contracted third party, are safe and meet legal requirements.

- Workplace vehicles appear to be unsafe
- Company/employer-provided transport to and/or from work appears to be unsafe or otherwise present a danger
- Workplace traffic management system/roads etc. is unsafe or inadequate

3U Ensure any additional relevant legal requirements concerning health & safety are met.

- Failure to submit health and safety audit to external party (e.g. government authority) as per legal requirements
- A systemic, deliberate or severe breach of a local law which represents a danger to workers or others, or which denies a basic human right (relating to Code Area 3: Working Conditions are Safe and Hygienic but which cannot be captured under another Workplace Requirement)
- A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 3: Working Conditions are Safe and Hygienic but which cannot be captured under another Workplace Requirement)
- An isolated breach of local law which represents low risk to workers (relating to Code Area 3: Working Conditions are Safe and Hygienic but which cannot be captured under another Workplace Requirement)
- No/inadequate hygiene checks and/or catering licence in the canteen
- No/inadequate health checks for kitchen personnel