

Issue Titles

Issue Titles provide detail about the nature of a non-conformance or non-compliance. Issue titles have an assigned criticality which define the severity of the finding. Auditors do not determine criticalities, these are fixed to the Issue Titles and pre-determined by Sedex. Auditors are not provided the criticalities within the SMETA Platform, and so will not disclose NC criticalities to the site management during an audit. Auditors will select Issue Titles based on their relevance to the issue found, rather than the criticality

Note: The Issue Title ID is a numerical value which supports easy identification and data analysis. Where an Issue Title has been carried over from SMETA 6.1, the ID remains the same. Issue Titles introduced under SMETA 7.0 have been assigned their own unique value. The values do not follow a linear pattern.

ETI Code & Sedex Addition	Workplace Requirement ID	Workplace Requirement Description	Issue Title ID	Issue Title
0: Enabling accurate assessment	0.A	Allow the auditor to conduct and complete the audit without obstruction to all requested documents, interviewees and the facility itself (including outbuildings and accommodation). Provide the auditor with genuine and authentic records.	1	The audit was fully not completed due to an intentionally obstructive practice (e.g. the auditor was denied access to relevant documents or areas of the site, permission to interview workers, etc.)
			963	The audit was partially not completed due to an intentionally obstructive practice (e.g. the auditor was denied access to relevant documents or areas of the site, permission to interview workers, etc.)
			2	Audit completed in full, but management deliberately attempted to hinder the audit process
			3	Management refused union/worker representative involvement in the audit
			4	Evidence that workers were coached to mislead the auditor, or denied the ability to speak freely
			5	Falsified, duplicate or intentionally incomplete records including verified inconsistencies

			800	Inaccurate or incomplete records, significantly impacting the progress of the audit
			802	Evidence that some workers were deliberately hidden to avoid the assessment
	0.B	Not offer bribes to or threaten the auditor, nor in any way induce the auditor to be dishonest.	657	Evidence that auditor was offered a bribe or other inducement to be dishonest
	0.C	Provide an accurate site description and Sedex site profile declared prior to or during the audit.	801	Worker numbers are significantly different from those declared on the site profile, or worker numbers at the time of audit are significantly below the indicated peak number
			7	Site description provided to the auditor does not match Sedex Site Profile or site profile does not match the actual situation onsite
	0.D	Maintain a written human rights policy statement that is approved at the most senior level, communicated to all personnel, and trained to relevant personnel.	803	No/inadequate written human rights policy statement in place.
			804	Written human rights policy in place but does not meet the full requirement to be approved at the most senior level, communicated to all personnel, and trained to relevant personnel.
1: Employment is freely chosen	1.A	Not seek to profit from forced labour, human trafficking, debt bondage/ bonded labour or any other form of modern slavery.	67	Evidence of forced labour, human trafficking, debt bondage/bonded labour or other form of modern slavery
			68	Evidence of forced labour, human trafficking, debt bondage/bonded labour or other form of modern slavery at subcontractor level
			63	No/inadequate systems (or measures) in place to identify and prevent various forms of modern slavery or human trafficking within own operations

1.B	Not control workers through threats, penalties, coercion, physical force, violence, or harsh or inhumane treatment.	69	Workers are led to believe that if they do not comply with what is being asked of them they or their family will be subject to negative physical, social or financial consequences
		70	Workers are controlled through threats, penalties, coercion, physical force, or harsh or inhumane treatment
		87	Undocumented migrant workers have been subjected to threats of being returned to their home country and/or reported to authorities if they leave employment
		79	Employer or recruiter uses coercive practices to physically or psychologically control the worker during the recruitment process.
1.C	Ensure that workers can freely leave the workplace and living accommodation (where provided), allowing for what is reasonable (e.g. for safety or security in hazardous worksites). Security guards or other authoritative figures should not restrict workers' freedom of movement beyond what is reasonable.	97	Workers' movements are controlled by the employer, an agent or other third party
		98	Workers are restricted from freely leaving or re-entering the workplace and/or living accommodation beyond what is necessary for safety/security (or without lodging a deposit, obtaining permission, etc.)

1.D	Ensure that any surveillance (primarily human but also electronic, such as CCTV or facial recognition), if used, is not excessive or for the purpose of controlling or intimidating workers.	101	Workers are under constant or excessive surveillance (particularly human but also electronic, such as CCTV cameras) for the purpose of control or intimidation
1.E	Not unreasonably prevent workers from communicating with others inside or outside the workplace, deny workers social interaction or otherwise intentionally subject workers to isolation.	113	Workers are isolated/have no means of contacting the outside world because of a practice enforced on them (e.g. confiscation of mobile phones or other communication devices)
1.F	Not retain workers' original passport, travel or identity documents or any other valuable item. In cases where workers fear the theft or loss of personal items (for example, at on-site or dormitory housing), provide a safe, documented, voluntary storage option, with unrestricted access for workers.	103	Workers do not have free and unrestricted access to their original identification or travel documents (e.g. passports)
		104	Workers do not have free and unrestricted access to their valuable personal possessions/feel that they cannot leave the job without risking their loss
		805	Original identification or travel documents are retained where there is a legal requirement to do so, but workers are not given free and unrestricted access to retrieve them
		964	Storage of workers personal items is not documented
1.G	Allow workers to resign at the end of their contract or at any time, without paying a fee, and	91	Notice period required from the worker is contrary to law
		93	Workers are not permitted to resign without prior management approval

	receiving the full wages owed including any holiday pay/benefits, provided they give a period of notice in line with applicable law or not greater than one month, whichever period is shorter.	92	No standard notice period defined
		88	Workers are required to pay fees upon early termination of employment (or fail to receive money owed, e.g. security deposits)
		89	Workers cannot terminate their contract until after a specified period of time has passed after mandatory training
1.H	Pay workers according to a regular pay schedule, in line with applicable law and not more than on a monthly basis.	806	Pay schedule is less frequent than that mandated by law.
		807	Pay schedule is legally compliant, but less frequently than on a monthly basis.
1.I	Not intentionally place workers in debt. For example, by undervaluing the work performed, inflating interest rates or charging workers above market rates (e.g. for food or housing). Any loans or advances must be minimal and to the worker's benefit, for repayment on mutually agreed and acceptable terms.	72	Workers cannot leave employment until they have worked to pay off debts owed to the employer.
		808	Workers are compelled to make use of stores or services operated by the employer, where access to other stores or services is otherwise not possible.
		809	Workers are charged above market rate for stores or services, where access to other stores or services is not possible.
		810	Processes are in place which systematically lead to workers being placed in significant debt
1.J	Not charge or withhold part of a worker's salary as a deposit, or require workers to post bonds or repay government levies.	82	Workers are required to lodge deposits (financial or personal documents) for employment
		811	Workers are required to post bonds or repay government levies

1.K	Not withhold any payments until a worker's term of work is complete (forced savings), delay payments, or implement any other financial scheme that prevents workers from leaving their employment.	76	Forced savings programs are in place and workers do not have access until term of work is complete
		75	Practice of wage withholding, imposing financial penalties, forced savings or other financial schemes denies workers the opportunity to leave or change employers until after a specified period/length of service
		77	Legally required payments to workers are not paid if worker does not complete a set period of work
1.L	Ensure that workers can achieve the legal minimum wage without breaching applicable laws or the terms of collective bargaining agreements on working hours, overtime and rest days.	812	Workers cannot achieve legal minimum wage without breaching applicable laws/terms of collective bargaining agreements on working hours, overtime and rest days
1.M	Carry out appropriate due diligence to minimise the risk of workers being placed in a situation of forced labour by third parties.	64	No/inadequate systems (or measures) in place to identify and prevent various forms of modern slavery or human trafficking within third parties.
1.N	Ensure any prison labour is voluntary and the site undertakes appropriate due diligence to ensure the workers meet the requirements of the ETI Base Code	109	Evidence of involuntary and/ or illegal prison labour on site or in the supply chain
		110	Evidence of voluntary prison labour, employed as per the law but fails to meet ethical standards (i.e. ILO/ETI guidance)
1.O	Comply with all other applicable laws that impose conditions on Code Area 1.	71	Workers are coerced to fraudulently claim social security benefits and/or take out loans/credit arrangements
		78	Loans exceed the legally allowed maximum limit

			62	Failure to comply with laws on forced labour and modern slavery but no human rights violation identified (e.g. failure to meet reporting requirements)
			813	A deliberate, systemic 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 1: Employment is Freely Chosen but which cannot be captured under another Workplace Requirement)
			814	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 1: Employment is Freely Chosen but which cannot be captured under another Workplace Requirement)
			815	An isolated breach of local law which represents low risk to workers (relating to Code Area 1: Employment is Freely Chosen but which cannot be captured under another Workplace Requirement)
1.A: Responsible recruitment and entitlement to work	1.A.A	Review original photographic identification to validate that all workers (including non-directly hired workers) have the legal right to work, or require any labour provider and on-site subcontractor to do the same, and put in place effective due diligence to monitor that they do so.	593	Inadequate process or system to monitor if workers have a right to work
			594	Site requires labour providers/ on-site subcontractors agencies/recruitment partners to check right to work, but does not have adequate due diligence in place to monitor such checks.
			816	Site requires agencies/recruitment partners to check right to work, but does not have adequate due diligence in place to monitor such checks (i.e. random sampling not conducted)
			592	Workers engaged in work without the legal right to work - Systemic
			817	Workers engaged in work without the legal right to work - Isolated
	1.A.B	Retain records necessary to demonstrate that all workers have the legal right to work.	818	Documentation demonstrating workers have the right to work not available - Systemic
			819	Documentation demonstrating workers have the right to work not available - Isolated

1.A.C	Ensure that the nature of work, working conditions, living conditions, employment terms, living costs, wages and benefits accurately reflect those communicated to workers during recruitment.	83	Workers were given false, misleading, or incomplete information at the point of recruitment (e.g. regarding wages and working conditions, or the type of work, housing and living conditions, acquisition of regular migration status, job location, identity of the employer etc.)
		84	Contractual terms agreed or communicated during recruitment have been changed or replaced with less favourable terms for the worker without the worker's knowledge or consent (i.e. contract substitution or supplemental agreements)
		85	Job adverts (particularly for jobs requiring migration) are misleading about the job, job location, employer, working conditions, employment contract terms, wages or earnings
1.A.D	Include appropriate requirements and protections for children and young workers within service agreements with employment agencies and recruitment partners.	961	Agreements with employment agencies and labour brokers do not include sufficient protections for children and young workers
1.A.E	Have systems in place to verify that all workers are recruited legally and fairly, including conducting appropriate due diligence to verify that any third-party employment agencies or other recruitment brokers are following ethical practices.	550	Agreements with labour providers or on-site subcontractors do not include sufficient protections for children and young workers
		965	Systems are in place to verify that any labour providers or on-site subcontractors are following ethical recruitment practices, but these are inadequate or not consistently applied/demonstrable
		966	No systems in place to verify that any labour providers or on-site subcontractors are following ethical recruitment practices.
		967	Systems are in place to ensure direct recruitment is conducted ethically, but these are inadequate, or not consistently applied/demonstrable.
		968	No systems are in place to ensure direct recruitment is conducted ethically.
		969	Documentary evidence necessary to verify third party employed workers' working conditions not available during audit - Systemic

		551	Documentary evidence necessary to verify third party employed workers' working conditions not available during audit - Isolated
		552	Site does not have correct legal licences for engagement of third party employed workers
		555	Labour providers used do not hold the legally required license to operate as a labour provider
1.A.F	Ensure that payment to employment agencies and other recruitment partners is adequate to cover the costs to the agency of recruitment.	821	Site does not have an adequate system to assess the compliance of third party employed workers' terms of engagement/employment
		822	There is no payment made to labour provider or on-site subcontractor by the supplier to cover legal and contractual costs to the agency of recruitment
1.A.G	Undertake due diligence to understand the type and value of recruitment fees and related costs of recruitment which workers have paid (legal or otherwise, as defined by the ILO and including travel and visa costs). Where international travel takes place, this must include both the departure and destination countries. This due diligence should include interviews or surveys of a sample of workers.	823	No due diligence is undertaken to understand the type and value of recruitment fees and related costs of recruitment which workers have paid (legal or otherwise, as defined by the ILO and including travel and visa costs)
		824	Some due diligence is undertaken to understand the type and value of recruitment fees and related costs of recruitment which workers have paid (legal or otherwise, as defined by the ILO and including travel and visa costs), but this is insufficient to meet the SMETA Workplace Requirements of this code section
1.A.H	Include provisions within service agreements that hold labour providers or on-site	825	Collaborative Action Required: Service agreements do not hold labour provider or on-site subcontractor responsible for ensuring no recruitment fees or related costs are incurred or charged to workers, and/or do not

	subcontractors contractually responsible to ensure no recruitment fees or related costs are incurred or charged to workers and specifies the responsible party for reimbursing workers accordingly if they incur fees or costs.		specify the responsible party for reimbursing workers accordingly if they incur fees or costs.
		826	Collaborative Action Required: Service agreements are in place that hold labour providers or on-site subcontractors responsible for ensuring no recruitment fees or related costs are paid, but these are not in line with ILO definitions of recruitment fees and costs.
1.A.I	Verify that workers who are found to pay recruitment fees or related costs (legal or otherwise, as defined by the ILO and including travel and visa costs), are fully reimbursed in a timely manner.	827	Collaborative Action Required: Recruitment fees and/or costs have been paid, contrary to law, and there is no plan in place to fully reimburse workers
		828	Collaborative Action Required: Recruitment fees and/or costs have been paid, not contrary to law, and there is no plan in place to fully reimburse workers
		829	Collaborative Action Required: Recruitment fees and/or costs have been paid, contrary to law, there is a plan to fully reimburse workers, but the site has not done so
		830	Collaborative Action Required: Recruitment fees and/or costs have been paid, not contrary to law, there is a plan to fully reimburse workers, but the site has not done so fully at the time of audit
1.A.J	Comply with all other applicable laws that impose conditions on Code Area 1.A	554	Agency workers not receiving the same benefits as permanent employees, and this is contrary to law
		596	Records for right to work in black & white copies only, contrary to local law
		831	A deliberate, systemic 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 1.A: Responsible recruitment and entitlement to work, but which cannot be captured under another Workplace Requirement)
		832	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 1.A: Responsible

				recruitment and entitlement to work, but which cannot be captured under another Workplace Requirement)
			833	An isolated breach of local law which represents low risk to workers (relating to Code Area 1.A: Responsible recruitment and entitlement to work, but which cannot be captured under another Workplace Requirement)
2: Freedom of association and right to collective bargaining are respected	2.A	Ensure that all workers understand their legal rights in relation to trade unions, collective bargaining agreements and worker committees.	117	Workers are not informed of their rights to join or form a worker committee/trade union or to bargain collectively (or refrain from doing so) free from retaliation.
			960	Workers are informed of their rights to join or form a worker committee/trade union or to bargain collectively, but they are not aware of/do not understand these rights.
			115	No policy on freedom of association and the right to collective bargaining
	2.B	Not prohibit, discourage or interfere with workers' rights to join a trade union of their own choosing or other form of worker representation, including worker committees or similar arrangements where the right to freedom of association is restricted under law. This should include the fair and free selection and election of representatives, and their rights to engage in collective bargaining.	121	Employer denies workers the right to freely associate (form and join organisations of their own choosing)
			123	Employer proactively discourages workers from joining or forming unions (e.g. through contracts, handbooks, internal rules etc.)
			129	Worker/union representatives are not freely elected (e.g. they are assigned by management)
	2.C	Have an established and regular method of communication with trade	122	Employer does not recognise the principal trade union present
			126	There is not an established and regular method of communication with trade unions or other forms of worker representation

		unions or other form of worker representation.	128	No evidence of action taken by management to address concerns reported by workers through the established trade union/worker committee
			127	There is an established method of communication with worker representatives, but it does not meet regularly or is otherwise ineffective
2.D		Give appropriate time and space for worker representatives to operate. Ensure all workers are aware of who their representative is, their activities and how they can engage with them.	130	No/inadequate training provided to worker representatives
			137	A committee exists but workers do not know about the worker committee, its function and/or who their representatives are
			834	Worker representatives are not given appropriate time and space to operate, including access to the workers they represent
2.E		Comply with all other applicable laws that impose conditions on Code Area 2.	835	Legal requirements relating to worker committees are not met
			118	Evidence of strikes which have not been appropriately resolved in line with local law
			124	Employer does not comply with other legal requirements for engagement with worker committees/unions (e.g. workers not given time off to fulfil duties) - systemic
			125	Employer does not comply with other legal requirements for engagement with worker committees/unions (e.g. workers not given time off to fulfil duties) - isolated
			134	Unions are not in compliance with the national/local laws including their formation, operation, registration, recruitment of members, collection of fees, etc.
			141	No evidence of a collective bargaining agreement (CBA) contrary to law
			142	Company does not comply with collective bargaining agreement (CBA)
			143	Collective bargaining agreement (CBA) is not created, communicated, maintained and/or submitted to the appropriate authority as required by law

			836	A deliberate, systemic 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 2: Freedom of Association but which cannot be captured under another Workplace Requirement)
			837	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 2: Freedom of Association but which cannot be captured under another Workplace Requirement)
			838	An isolated breach of local law which represents low risk to workers (relating to Code Area 2: Freedom of Association but which cannot be captured under another Workplace Requirement)
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.	146	Lack of detailed health and safety policy that is communicated to workers
			297	Workers exposed to dangerous fumes/dangerous gas levels
			298	Work is performed under conditions that are degrading (i.e. humiliating or dirty)
			299	No/inadequate availability of clean drinking water (that meets the World Health Organisation standard for potable water)
			300	Workers who are pregnant or breastfeeding working in unsafe/unsuitable conditions, including handling hazardous substances (e.g. chemicals and pesticides)
			301	Failure to put in place measures to protect workers from/prevent the spread of viruses or diseases, as required by law
			302	Overcrowded work stations e.g. insufficient space per person as required by law, including 'breathing space'
			303	No/inadequate assessment of temperature levels
			304	No/inadequate testing of water for potability
			305	No/inadequate air quality test
			306	No/inadequate dust level survey
			307	No/inadequate noise assessment conducted

			839	No/inadequate health and safety procedures around bodies of water on site, creating significant risk of death or injury
			840	No/inadequate health and safety procedures around bodies of water on site, creating some risk to health
			841	No/inadequate emergency evacuation equipment or survival gear around bodies of water on site
			308	Insufficient action taken to improve conditions following air quality, dust level, noise or temperature assessment where necessary
			309	No valid health license in place
			311	No/inadequate procedures to clean up biohazards (e.g. blood spill)
			312	No nurse and/or doctor on site as required by law
			313	Nurse on site, but does not cover all necessary shifts/insufficient for the size of site/inadequately trained
			314	Medical facilities do not meet legal requirements
			317	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)
			318	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)
			319	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)
			320	Ergonomic support not given to employees adequate to their job including mats for standing, back rest for seats, other materials to support
			396	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)
			397	Childcare facilities are not provided in alignment with legal requirements
			842	Working conditions are not adequate, creating an immediate or widespread risk to health
			843	Working conditions are not adequate, creating a significant risk to health
			844	Working conditions are not adequate, creating some risk to health
			845	Isolated failures of health check processes not causing an immediate or significant risk of injury
			846	Undue pressures in the workplace causes significant risk to health
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.		151	No health and safety risk assessment conducted
			152	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.		145	The site has not assigned responsibility for health and safety to a competent senior management representative
3.D	Form a health and safety committee (or include H&S in worker committees) which		847	There is no health and safety committee which includes workers, and/or their representatives, where this is not required by law
			147	No/inadequate health and safety committee or representative(s) as required by law

	includes workers, and/or their representatives.	148	No/inadequate fire safety committee or representative(s) as required by law
		149	No/inadequate emergency planning committee or representative(s) as required by law
		150	Health and safety, fire safety or emergency planning committee members or representative(s) are not freely elected
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.	161	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
		162	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
		163	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
		164	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
		165	Health and safety training is not delivered in a language that all workers understand
		166	No/inadequate health and safety training for managers
		168	Health and safety training conducted, but lack of suitable training records kept in an accurate and retrievable form
		169	Health and safety training conducted, but isolated incidents of missing training records
3.F	Have a system in place to measure the effectiveness of health and safety training carried out. Ensure training	848	There is no system to measure the effectiveness of health and safety training or there are systemic failures
		849	There is a system to measure the effectiveness of health and safety training, but there are isolated failures

	content is understood/implemented by workers.		
3.G	Provide sufficient first-aid supplies onsite, and ensure that adequately trained personnel are available during all shifts.	167	No or inadequately trained first aiders
		287	First aid boxes not available/accessible anywhere on site
		288	First aid boxes not available/accessible in certain areas
		289	First aid box available but contents are missing, out of date or otherwise inadequate
		291	First aiders in place but not enough for the size of site (including not covering all shifts)
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).	276	Workers are not issued with Personal Protective Equipment, or it is not appropriate to the risk - systemic
		277	Workers are not issued with Personal Protective Equipment, or it is not appropriate to the risk - isolated
		962	Workers are not issue with appropriate Personal Protective Equipment, and this creates a clear risk of serious harm
		278	Personal Protective Equipment (PPE) provided but incidents of workers not using PPE where appropriate
		281	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)
		279	No/inadequate training in how to use Personal Protective Equipment (PPE)
		280	Personal Protective Equipment (PPE) not adequately cleaned/maintained/stored
		282	Necessary working equipment for the job not provided (e.g. scissors)
3.I	Record all accidents and near misses and ensure these are investigated. Ensure accident/incident log is	284	No/inadequate recording of accidents and incidents at the site
		850	Accidents are recorded but investigation/corrective action is not conducted

	routinely reviewed by appropriate personnel and appropriate corrective and preventative actions are taken.		
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.	851	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)
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.	248	Structural issues observed that indicate potentially imminent and life-threatening conditions (e.g. a potential building collapse)
		249	Structural irregularities observed that should be evaluated by an expert to determine structural integrity
		251	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
		252	Premises used for combined purposes (e.g. commercial or residential premises) and therefore could pose a safety threat
		253	Residential building converted to industrial with no evidence that legal requirements have been met
		254	Evidence of asbestos in a state that could cause harm (e.g. exposed and/or crumbling)
		255	No asbestos assessment/survey conducted where required
		256	No/inadequate ventilation systems
		257	Low level/inadequate lighting in all areas of the site including production area
258	Low level/inadequate lighting in parts of the site		

			259	Hazardous materials/heavy equipment or items are located or stored on the rooftop
			260	No/inadequate measures to ensure security at site (e.g. access control, security guards, etc.)
			261	Premises require minor repairs that may affect personal safety (e.g. missing handrails)
			262	Inadequate control of pests/insects
			852	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)
			853	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)
			854	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)
	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.	172	Fire licence, inspection or certificates not in place as required by law
			173	Fire risk assessment not conducted
			174	Fire risk assessment conducted, but no/inadequate action taken
			175	Workers are not given appropriate fire safety, fire prevention and/or evacuation training
			176	Fire safety, fire prevention and evacuation training conducted, but lack of suitable training records kept in an accurate and retrievable form
			177	Fire safety, fire prevention and evacuation training conducted, but isolated incidents of missing training records
			178	Workers are ill-equipped (or unaware of how) to summon emergency services

			179	There is no mechanism available (does not exist or is not operational) to summon emergency services
			180	No sufficiently trained person appointed to oversee fire safety, fire prevention and fire evacuation procedure (e.g. 'fire marshal') as required by law
			181	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
			182	Smoking occurs in prohibited/restricted areas including unrestricted smoking anywhere on site
			183	No fire fighting equipment on site or equipment is not sufficient to address the type or severity of risk
			184	Fire fighting equipment is locked or otherwise not accessible at all times
			185	Firefighting equipment is not operational or is poorly maintained
			187	Fire extinguishers not inspected/checked regularly/out of date
			188	Fire extinguishers incorrectly installed, e.g. placed at an inappropriate height/on floor
			189	Inadequate hose reel installation and maintenance
			190	No fire fighting equipment signage/labelling/instructions
			191	Fire fighting equipment signage/labelling, instructions are not sufficient in detail, language, etc.
			192	Absence of functional fire alarms/smoke detectors
			193	Fire alarms/smoke detectors in place but isolated case of non-functional equipment
			194	Sprinkler system does not meet legal requirements
			195	Emergency notification system (e.g. fire alarm) is not set up to notify all workers at the site, including on multiple floors
			196	Access to fire alarm blocked/obstructed
			197	Inadequate signage/instructions of fire alarm

			198	No system in place to verify functionality of smoke detectors, alarms, emergency exit signage, firefighting equipment, etc.
			199	Insufficient controls to prevent machinery from overheating (e.g. inadequate ventilation to prevent dust from entering machinery)
			200	No/inadequate controls to prevent explosions, where appropriate
			201	Fire exits are inadequate or less than required by law, causing a significant and widespread risk to life
			202	Fire exits are inadequate or less than required by law, causing a significant risk to life
			203	Fire exits are not adequate, causing an elevated risk to life
			204	Systemic occurrence of locked fire exits
			205	Isolated occurrence of locked fire exits
			206	Systemic occurrence of blocked fire exits
			207	Isolated or partial occurrence of blocked fire exits causing an elevated but not significant risk
			208	No emergency exits are properly marked and lighted
			209	Not all emergency exits are properly marked and lighted
			210	Inadequate/poorly functioning emergency lighting
			211	Emergency notification and exit lighting systems not connected to secondary power source
			212	Multi-story building does not have two vertical exit routes
			213	Multi-story building does not have enclosed stairs
			214	No evacuation plan or designated emergency exit route
			215	Evacuation plan not adequately communicated to workers
			216	No/inadequate fire assembly point (e.g. too small for the number of workers, situated in an unsuitable location, etc.)
			217	Regular fire drills are not conducted
			218	Missing records of fire drills and evacuations
			219	Fire drills do not include the evacuation of all occupants of the building

			855	Fire safety processes are not adequate, creating an immediate or widespread risk of death or injury
			856	Fire safety processes are not adequate, creating a significant risk of death or injury
			857	Fire safety processes are not adequate, creating some risk of injury
			858	Isolated failures of fire safety processes not causing an immediate or significant risk of injury
			859	Inadequate evacuation plan/emergency route plan/unclear signage including marking of fire assembly points
			860	Fire drill/evacuation did not cover all workers e.g. night shift/foreign workers
3.M	Ensure all machinery is installed, maintained, and used in a safe manner.		263	Machinery on site is being used in a manner that constitutes a serious danger to workers' health and/or safety
			264	Machines lack appropriate safety guards (e.g. eye or needle guards on sewing machines, belt/hand guards on other machines)
			265	Minor repairs required to machinery
			266	Incidents of incorrect use of machinery constituting a minor risk
			267	No/inadequate certificates for inspections of machinery, or machines not registered as required by law
			268	Lapses in inspections/maintenance of machinery (used in production or otherwise, e.g. boilers)
			269	No/inadequate policy for on-going control management /inspection/maintenance of machinery
			270	No licence or inadequate experience/training of company/engineer providing machinery maintenance
			271	Lack of appropriate equipment/machinery - creating a serious risk to workers
			272	Lack of appropriate equipment/machinery - creating a moderate risk to workers

			273	Safety functions on machinery not present/not functioning e.g. alarm/safety stop buttons etc.
			274	Proper safeguards not used to prohibit unauthorised access/use of dangerous machinery (e.g. panels left open/keys left in forklift etc.)
			861	Machinery safety processes are not adequate, creating an immediate or widespread risk of death or injury
			862	Machinery safety processes are not adequate, creating a significant risk of death or injury
			863	Machinery safety processes are not adequate, creating some risk of injury
			864	Isolated failures of machinery safety processes not causing an immediate or significant risk of injury
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.		230	No material safety data sheet (MSDS) obtained/available
			231	Material safety data sheet (MSDS) is incomplete/inaccurate/not in worker language/not understood by workers
			232	Non-hazardous chemicals are stored unlabelled or labelling is incorrect
			233	Hazardous substances (e.g. chemicals and pesticides) are stored unlabelled or labelling is incorrect
			234	No/inadequate chemical risk assessment in place e.g. COSHH
			235	Legally required chemical licence expired/not in place including any reporting to government bodies on list of hazardous chemicals on site
			236	No/inadequate records/registration on distribution, handling and use of hazardous substances (e.g. chemicals and pesticides)
			237	Improper storage of hazardous substances (e.g. chemicals and pesticides)
			238	Hazardous substances (e.g. chemicals and pesticides) stored without restricted access
			239	No/inadequate explosion proof lighting as required by law
			240	No/inadequate safety measures/anti-explosion measures for chemicals (e.g. no anti-leaking system/secondary container/unbundled)
			241	No/inadequate spill kit provided for handling chemical spillage and leakage

			242	No/inadequate eye wash/shower station in hazardous environments including chemical areas
			865	No/inaccessible wash area or changing facilities for workers that handle or come into contact with hazardous substances (e.g. chemicals and pesticides)
			243	No/inadequate emergency plan/emergency drill for hazardous substances (e.g. chemicals and pesticides)
			866	Chemical safety processes are not adequate, creating an immediate or widespread risk of death or injury
			867	Chemical safety processes are not adequate, creating a significant risk of death or injury
			868	Chemical safety processes are not adequate, creating some risk of injury
			869	Isolated failures of chemical safety processes not causing an immediate or significant risk of injury
3.0	Implement an appropriate electrical safety program to ensure that electrical hazards are reduced and controlled by appropriately qualified personnel.		220	Failure to comply with legal requirements for electrical safety e.g. inspections
			221	Inadequate electrical safety inspections conducted, including on lighting
			222	Combustible/flammable materials located near a source of fire, heat or spark
			223	Systemic occurrence of incorrect/damaged insulation in electricals including burnt/damaged wiring and plugs
			224	Isolated occurrence of incorrect/damaged insulation in electricals including burnt/damaged wiring and plugs
			225	No/inadequate PAT/electric safety testing/electrical safety risk assessment
			226	Blocked access to electricity panels
			227	Unmarked/incorrect labels/signage/instructions for electrics
			228	Unsafe handling of electrical equipment e.g. no rubber mats in front of electricity panels

		870	Electrical safety processes are not adequate, creating an immediate or widespread risk of death or injury
		871	Electrical safety processes are not adequate, creating a significant risk of death or injury
		872	Electrical safety processes are not adequate, creating some risk of injury
		873	Isolated failures of electrical safety processes not causing an immediate or significant risk of injury
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).	874	The emergency preparedness plans and procedures are inadequate in relation to identified risks
		875	The emergency preparedness plans and procedures are inadequate in relation to identified risks and there is a significant risk to life
3.Q	Implement systems to ensure workers are safe from risks associated with extreme weather conditions, including heat stress.	688	Workers exposed to dangerous working conditions caused by extreme weather conditions (e.g. heat)
		876	Systems to manage risks associated with extreme weather is not adequate, creating an immediate or widespread risk of death or injury
		877	Systems to manage risks associated with extreme weather is not adequate, creating a significant risk of death or injury
		878	Systems to manage risks associated with extreme weather is not adequate, creating some risk of death or injury
		879	Isolated failures of systems to manage risks associated with extreme weather processes not causing an immediate or significant risk of injury
3.R	Provide clean and secure toilets, wash areas, and worker	326	Materials/rubbish/other waste stored in unacceptable areas e.g. stairwell
		327	Storage of goods not in line with legal requirements (e.g. too high)

	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.	328	No secure facilities for workers to store personal effects while working
		329	Sanitary facilities (e.g. toilets, hand basins) are unhygienic/not clean
		330	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)
		331	Insufficient privacy afforded to workers in the toilets (e.g. no/missing toilet doors)
		332	Sanitary facilities are inadequate to protect women's health, safety or privacy (e.g. lack menstrual hygiene facilities, or toilets not separated by gender)
		333	Sanitary facilities (e.g. toilets) are inadequate/unavailable to people with disabilities
		334	Sanitary facilities (e.g. toilets) do not meet a local legal requirement not classified elsewhere
		335	No canteen facility provided as per local law
		336	Canteen provided is insufficient to meet legal requirements and/or worker needs
		339	No rest area/break area
		340	Rest facilities in poor condition
		341	Workstations and work areas are untidy, creating a risk of injury
		342	Worker facilities (e.g. changing rooms, lockers) in a poor condition
		880	Food storage facilities, where provided, are unhygienic or present a risk to worker health
3.S	Ensure that any accommodation which the site provides poses no risk to worker health and safety, and is	348	The living accommodation is unfit for human habitation (e.g. filthy and overcrowded)
		349	Conditions in living accommodation (i.e. sleeping quarters, toilets/wash areas, eating areas, etc.) are unhygienic

		<p>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.</p>	<p>350</p> <p>351</p> <p>352</p> <p>353</p> <p>354</p> <p>355</p> <p>356</p> <p>357</p> <p>358</p> <p>359</p> <p>360</p> <p>361</p> <p>362</p> <p>363</p> <p>364</p> <p>365</p> <p>366</p> <p>367</p>	<p>Production area and dormitory area not adequately separated, creating potential fire risk</p> <p>Accommodation used to store hazardous, flammable, combustible materials</p> <p>Accommodation is not equipped with basic amenities/services (i.e. electrical, water, etc.)</p> <p>Overcrowding in dormitories</p> <p>Accommodation does not provide adequate protection from external conditions</p> <p>Conditions of the living accommodation presents a risk to worker health (e.g. presence of mould)</p> <p>Accommodation is located in an unsafe area (e.g. exposed to environmental or physical hazards)</p> <p>Workers cannot travel safely between the living accommodation and the worksite</p> <p>Accommodation is not equipped with proper lighting</p> <p>No/inadequate temperature control in accommodation (e.g. air-conditioning, fans)</p> <p>Unsafe electrical wiring and other electrical equipment</p> <p>Accommodation has inadequate canteen facility/eating area or inadequate appliances for cooking</p> <p>Workers have no/inadequate beds or mattresses</p> <p>No appropriate gender segregation in sleeping facilities</p> <p>No/inadequate accommodation for couples or families</p> <p>Washing/showering facilities are inadequate</p> <p>No/inadequate security in workers' accommodation</p> <p>Workers are charged excessive rent for accommodation compared with local norms</p>
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		368	Accommodation is not properly maintained (i.e. minor issues with repair, such as broken windows, small cracks, peeling paint, etc.)
		369	No/inadequate access to hot water
		370	First aid kits not available in workers' accommodation
		371	Each individual does not have adequate and secure storage for personal possessions
		372	Recreational facilities in poor condition (e.g. unhygienic, in state of disrepair, etc.)
3.T	Ensure that transport provisions, including those provided by a contracted third party, are safe and meet legal requirements.	294	Workplace vehicles appear to be unsafe
		296	Company/employer-provided transport to and/or from work appears to be unsafe or otherwise present a danger
		295	Workplace traffic management system/roads etc. is unsafe or inadequate
3.U	Ensure any additional relevant legal requirements concerning health & safety are met.	153	Failure to submit health and safety audit to external party (e.g. government authority) as per legal requirements
		881	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)
		882	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)
		883	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)
		337	No/inadequate hygiene checks and/or catering licence in the canteen
		338	No/inadequate health checks for kitchen personnel

4: Child labour shall not be used	4.A	Ensure that no worker is under the age of 15 years' old or the local legal requirement if this is higher, except where ILO Convention No.138 developing country exceptions apply.	387	Evidence of individuals under 15 years old or the legal working age engaged in work
	4.B	Review original photographic identification to validate that all workers (including non-directly hired workers) are at least 15 years old at the time of employment, or require any agency or labour broker to do the same, and assess these systems rigorously via sampling on a regular basis.	381	Age verification records are not maintained
			382	Age verification records are not consistently maintained
			884	The mechanism used to verify workers' age is inappropriate
			390	No process in place requiring age verification and records maintenance
	4.C	Ensure that workers under 18 (but above legal minimum age) only carry out age appropriate, non-hazardous work that is properly supervised. Ensure these workers do not work night shifts, and comply with other relevant laws on young workers' employment (e.g. obtaining permits or permission from parents, ensuring	383	No/inadequate risk assessment conducted regarding young workers
			885	Workers over the legal age but under 18 working in conditions which are not permitted by law for their age
			399	Instances of workers under 18 working in dangerous or unhealthy conditions, creating significant risk of death, injury or illness as a result of poor safety and health standards or working conditions
			886	Instances of workers under 18 handling hazardous substances (e.g. chemicals and pesticides), creating some risk of injury or illness
			400	Instances of workers over the legal minimum age but under 18 working at night
			887	Contravention of applicable law concerning conditions of young workers' employment (e.g. failure to obtain permits or permission from parents) - isolated

	apprenticeships are properly registered and supervised).	888	Contravention of applicable law concerning conditions of young workers' employment (e.g. failure to obtain permits or permission from parents) - systemic
		889	Contravention of applicable law concerning the use of apprenticeships
		384	Contracts for young workers not sanctioned by the proper authorities (registered/approved by relevant authority; signed by parent/legal guardian as per legal requirements)
		401	No health examination for young workers as per legal requirement
4.D	Ensure no worker under 18 is employed on a full-time basis if still of compulsory school age. Part-time work must not interfere with their education.	890	Young workers of legal working age are employed on a schedule which interferes with compulsory full-time education
4.E	Ensure any school-age children of workers living in accommodation provided by the employer have access to schooling that is within a reasonable travelling distance, using safe transport.	398	Children of school-age living on site do not have adequate access to schools
4.F	Maintain a written policy and process outlining how child labour would be remediated (in line with ILO guidance and local legal requirements where in place)	393	There is no written policy which outlines how child labour would be remediated, or this policy does not align with ILO guidance

	4.G	Where applicable, provide remediation and safeguarding of underage workers (in line with ILO guidance).	392	Collaborative Action Required: Where child labour has been found it has not been remediated in line with ILO guidance and local legal requirements where applicable
	4.H	Comply with all other applicable laws that impose conditions on Code Area 4.	891	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 4: Child Labour Shall Not Be Used but which cannot be captured under another Workplace Requirement)
892			A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 4: Child Labour Shall Not Be Used but which cannot be captured under another Workplace Requirement)	
893			An isolated breach of local law which represents low risk to workers (relating to Code Area 4: Child Labour Shall Not Be Used but which cannot be captured under another Workplace Requirement)	
5: Legal wages are paid	5.A	Ensure that all workers (including non-employee workers) are paid at least the legal minimum wage or legally recognised collective bargaining agreement (CBA) where one exists, whichever is higher.	435	Systemic instances of employees working without payment
			436	Isolated instances of employees working without payment
			437	Systemic instances of workers paid less than the legal minimum wage
			438	Isolated instances of workers paid less than the legal minimum wage
			440	Systemic instances of pay below contracted rates, but above minimum wage
			441	Isolated instances of pay below contracted rates, but above minimum wage
			445	Systemic occurrence of wages not paid on time
			446	Isolated occurrence of wages not paid on time
	447	Payment schedule is regular but not at frequency required by law		
	5.B	Ensure that workers receive the insurances and benefits (including leave entitlements)	405	No payroll records available on date of audit
406			Unable to verify wages due to missing/incomplete/inconsistent/innacurate records	

	they are legally or contractually entitled to.	416	Failure to provide workers with legally required leave entitlement (e.g. annual, maternity, paternity, sick leave) – systemic
		417	Failure to provide workers with legally required leave entitlement (e.g. annual, maternity, paternity, sick leave) – isolated
		418	Failure to pay legally required leave entitlements or other benefits – systemic
		419	Failure to pay legally required leave entitlements or other benefits – isolated
		420	Failure to pay legally required leave entitlements (e.g. annual, maternity, paternity, sick leave) correctly – systemic
		421	Failure to pay legally required leave entitlements (e.g. annual, maternity, paternity, sick leave) correctly – isolated
		422	Workers are unreasonably restricted from taking the leave which they are entitled to by contract – systemic
		423	Compulsory insurance (e.g. social insurance, accident insurance etc.) not paid – systemic
		424	Compulsory insurance (e.g. social insurance, accident insurance etc.) not paid – isolated
		425	Failure to retain records of all required social insurances
		426	Regular practice of delayed payment of social insurance and other legally mandated contributions to relevant authorities
5.C	Ensure that any partial payments with in-kind benefits do not exceed the national legal limit or the ILO recommended maximum of 50% of wages, whichever is lower.	448	Payment in kind (e.g. payment of wages in goods or services instead of cash) as part of wages is in excess of legal limits or 50%, whichever is lower.
5.D	Ensure no deduction from workers pay is for disciplinary	411	Deductions are made from wages without workers' written permission, and these are not legally mandated – systemic

	sanctions. Ensure deductions not provided for by national laws are legal, and do not take workers below the legal minimum wage. Ensure workers are provided with information to understand any wage deductions and provide their authorisation.	412	Deductions are made from wages without workers' written permission, and these are not legally mandated - isolated
		413	Pay deducted for disciplinary measures (e.g. lateness, absenteeism, disciplinary warnings, errors in production, etc.) - systemic
		414	Pay deducted for disciplinary measures (e.g. lateness, absenteeism, disciplinary warnings, errors in production, etc.) - isolated
		415	Workers are charged (including via wage deductions) for Personal Protective Equipment (PPE) or other essential work-related items
5.E	Ensure workers are remunerated for all time worked, including meetings and essential training. Meetings and essential training shall take place at no cost to the worker and during remunerated working hours.	894	Workers are required to pay for essential training - Isolated
		895	Workers are required to pay for essential training - Systemic
		896	Workers are not remunerated for all time worked - Isolated
		897	Workers are not remunerated for all time worked - Systemic
5.F	Provide all workers with clearly written information, in a language workers understand, outlining wage information (rates of and total pay, overtime, payment frequency, deductions, benefits and insurances, and paid leave) before employment begins, and with clearly written information relating to any	898	Wage information (rates of and total pay, overtime, payment frequency, deductions, benefits and insurances, and paid leave) is not adequately communicated to workforce
		899	Changes in wages (rates of and total pay, overtime, payment frequency, deductions, benefits and insurances, and paid leave) have not been not adequately communicated to workforce
		4500	No public display of wage rates as per law

		changes of the same during the course of employment.		
	5.G	Maintain records to demonstrate that workers receive a wage statement, or payslip each pay period with a clear and understandable breakdown of their wages, benefits and any deductions.	407	Systematic failure to provide payslips with complete, accurate and understandable information to workers
			408	Isolated failure to provide payslips with complete, accurate and understandable information to workers
			409	Isolated incidents of payslips inconsistent with wages paid
	5.H	Comply with all other applicable laws that impose conditions on Code Area 5.	442	Workers are not paid during stoppage of production in line with local law
			900	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 5: Legal Wages are Paid but which cannot be captured under another Workplace Requirement)
			901	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 5: Legal Wages are Paid but which cannot be captured under another Workplace Requirement)
			902	An isolated breach of local law which represents low risk to workers (relating to Code Area 5: Legal Wages are Paid but which cannot be captured under another Workplace Requirement)
5.A: Living wages are paid	5.A.A	Review workers' total pay including benefits and compare it with a credible 'living wage' to calculate a 'living wage gap', and understand what proportion of the workforce has a gap.	903	Collaborative Action Required: A living wage gap analysis has not been completed
			904	Collaborative Action Required: A living wage gap analysis has been completed but it is missing key elements
	5.A.B	Put in place a wage improvement plan that aims to	905	Collaborative Action Required: A wage improvement plan (with Living Wage as the goal) has not been completed

		pay workers a living wage within a stated timeframe.	906	Collaborative Action Required: A wage improvement plan (with Living Wage as the goal) has been completed but it is missing key elements
6: Working hours are not excessive	6.A	Ensure working hours do not exceed legal limits or limits in collective bargaining agreements, whichever gives more protection for workers.	469	Working hours exceed what is allowed by law or collective bargaining agreement - systemic
			470	Working hours exceed what is allowed by law or collective bargaining agreement - isolated
			689	Working hours in extreme weather conditions (e.g. heat) exceed what is allowed by local law or collective bargaining agreement - systemic
			690	Working hours in extreme weather conditions (e.g. heat) exceed what is allowed by local law or collective bargaining agreement - isolated
			463	Unable to verify working hours due to missing/ incomplete/ inconsistent records
	6.B	Ensure workers receive all legally required rest and meal breaks, including continuous rest hours between shifts.	491	Rest breaks during shifts are not taken as required - systemic
			492	Rest breaks during shifts are not taken as required - isolated
			493	Rest breaks between shifts are not taken as required - systemic
			494	Rest breaks between shifts are not taken as required - isolated
	6.C	Provide workers with at least 24 hours of consecutive rest in every 7-day period or, where allowed by national law, two 24 hour periods in every 14-days.	485	Workers do not take off 1 day in 7, and this is contrary to law or collective bargaining agreement (CBA) - systemic
			486	Workers do not take off 1 day in 7, and this is contrary to law or collective bargaining agreement (CBA) - isolated
			487	Workers do not take off 2 days in 14, regardless of legality in the local context - systemic
			488	Workers do not take off 2 days in 14, regardless of legality in the local context - isolated
	6.D	Ensure that working hours do not exceed 60 hours in a standard working week for any worker, except where all of the following are met: this is	471	Total working hours exceed 72 hours per week on a regular basis and over an extended period (but are within the parameters of local law or collective bargaining agreement)
			472	Total working hours exceed 72 hours per week on an occasional basis (but are within the parameters of local law or collective bargaining agreement)

	<p>allowed by national law; this is allowed by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce; appropriate safeguards are taken to protect the workers' health and safety; and the employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies.</p>	473	Total hours exceed 60 hours per week - ETI requirements are not met - systemic
		474	Total hours exceed 60 hours per week - ETI requirements are not met - isolated
6.E	<p>Ensure the standard working week excluding overtime is not more than 48 hours per week and is included in workers' contracts.</p>	466	Contracted working hours (excluding overtime) exceed 48 per week, or lower legal limit
6.F	<p>Ensure that where overtime is used, it is in order to manage changes in demand or in exceptional circumstances and not used to replace regular employment.</p>	481	There are not enough workers engaged to complete business operations without requiring overtime
		480	Overtime is not used responsibly (i.e. extent, frequency and level of hours worked by individual workers and/or whole workforce are excessive)
6.G	<p>Ensure that overtime is voluntary and can be refused without penalty.</p>	105	Overtime is mandatory outside parameters permitted by local law or collective agreements, AND under threat of penalty (including fines or dismissal) OR is necessary for workers to earn at least the minimum wage

			106	Overtime is mandatory, outside parameters permitted by local law or collective agreements (but with no threat of penalty, nor is it necessary for workers to earn at least the minimum wage)
			107	Overtime is mandatory, within the parameters permitted by local law or collective agreements - Systemic
			108	Overtime is mandatory, within the parameters permitted by local law or collective agreements - Isolated
			482	Overtime policy includes provision for compulsory/mandatory overtime outside the limits of the law or collective bargaining agreement (but not enforced in practice)
6.H	Ensure that overtime is always compensated at a premium rate, which is not less than 125% of the regular rate of pay.		455	Overtime premium is not paid according to the law - systemic
			456	Overtime premium is not paid according to the law - isolated
			457	Overtime hours are not paid according to SMETA guidance (at the premium rate of 125% basic hours) but this is not contrary to law - systemic
			458	Overtime premium is between +0% and 10% and this is not contrary to local law
			459	Overtime premium is between +10% and 25% and this is not contrary to local law
			460	Overtime premium is below +25%, agrees with local law and collective bargaining agreements are in place
			461	An enhanced basic rate is paid instead of overtime premium, but this does not meet SMETA guidance
			462	Workers moved to other facilities/departments/homeworking to avoid paying them for overtime
6.I	Undertake a review of appropriate frequency of the working hours of individual workers and the workforce as a		907	There is no review conducted of working hours with the intention of responsibly managing overtime
			908	There is a review conducted of working hours with the intention of responsibly managing overtime, but it is not adequate or does not lead to demonstrable corrective action

		whole and use this review to responsibly manage overtime.		
	6.J	Comply with all other applicable laws that impose conditions on Code Area 6.	909	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 6: Working Hours are not Excessive but which cannot be captured under another Workplace Requirement)
			910	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 6: Working Hours are not Excessive but which cannot be captured under another Workplace Requirement)
			911	An isolated breach of local law which represents low risk to workers (relating to Code Area 6: Working Hours are not Excessive but which cannot be captured under another Workplace Requirement)
7: No discrimination is practiced	7.A	Ensure no discrimination is practiced, taking particular consideration of race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.	497	Evidence of harassment or unfair treatment towards an individual or group based on their race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation, or other similar characteristic protected by law
			498	Evidence of harassment or unfair treatment towards an individual based on their sex, gender, gender identity, marital status or other similar characteristic protected by law
			499	Evidence of discrimination in hiring, compensation, access to training, promotion, terminations, or retirement based on an individual's race, caste, colour, national origin, religion, age, disability, sexual orientation, union membership, political affiliation or other similar characteristic protected by law
	7.B	Ensure that employment policies and processes are sufficient to prevent discrimination at all stages of	501	Insufficient evidence to demonstrate non-discrimination (e.g. lack of transparency in hiring, pay, etc.)
502			No policy/system on wages and transparency in remuneration (e.g. to demonstrate non-discrimination) as required by law	

	employment. This includes hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.	503	Different wage rates based on age alone for the same work and skill set and it is not contrary to local law
		505	No facility or provision to allow for religious activity (e.g. daily prayers) as per local law requirement
		959	Different wage rates based on gender/ race or other characteristic alone for the same work and skill set and it is not contrary to local law
		912	Policies, processes and training are not sufficient to prevent discrimination at all stages of employment
		913	Insufficient evidence to demonstrate non-discrimination in key areas of employment, where this has been raised as a concern by interviewed employees
7.C	Not require or allow health checks for workers to take place during the recruitment process or during employment where the results are used to unfairly avoid hiring or retaining workers with certain health issues or medical conditions. This includes pregnancy (unless explicitly required by law) or HIV/AIDS.	504	Site requires medical tests that may lead to discrimination against certain workers (e.g. against pregnant workers, workers with HIV/AIDS, etc.)
7.D	Ensure that grievance mechanisms are accessible to all workers, regardless of race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union	914	Certain groups or individuals do not have access to or are not made aware of the grievance mechanism (e.g. due to language/technology barriers, inclusion in training)

		membership and political affiliation.		
	7.E	Have a dedicated equity approach in recruitment, training, development and promotion processes.	915	Collaborative Action Required: There is no dedicated equity approach regarding recruitment, training, development and promotion processes
			916	Collaborative Action Required: There is a dedicated equity approach but it is inadequate
	7.F	Comply with all other applicable laws that impose conditions on Code Area 7.	506	Site does not achieve the percentage or number of a particular group (e.g. workers with disabilities, apprentices etc.) as required by local law
			917	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 7: No Discrimination is Practised but which cannot be captured under another Workplace Requirement)
			918	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 7: No Discrimination is Practised but which cannot be captured under another Workplace Requirement)
			919	An isolated breach of local law which represents low risk to workers (relating to Code Area 7: No Discrimination is Practised but which cannot be captured under another Workplace Requirement)
8: Regular employment is provided	8.A	Provide a written contract or other binding agreement that specifies the terms and conditions of employment, that meet all legal requirements, in a language workers can understand.	526	Systemic occurrence of contracts in place but not signed by the worker
			527	Isolated occurrence of contracts in place but not signed by the worker
			522	Systemic occurrence of no contracts/letters of appointment in place
			523	Isolated instances of no contracts/letters of appointment in place
			524	Systemic occurrence of workers not being given a copy of their contracts or letter of appointment (including digital copy)
			920	Isolated occurrence of workers not being given a copy of their contracts or letter of appointment (including digital copy)

		530	Contractual terms are not communicated in a language the worker can understand
		531	Contractual terms not clearly communicated prior to recruitment
		528	Contracts changed during the course of employment without communication or facility imposing additional terms or requirements on worker without their knowledge and consent (contract substitution/supplemental agreements)
		529	Workers are required to sign blank papers, resignation letters, etc.
		525	Inadequate contracts in place, i.e. missing critical elements such as job description, wages (regular and overtime), hours of work (including overtime), notice period etc.
		921	Contracts or work agreements stipulate that spouses, children, or any other family members of workers are required to work.
		922	Evidence of contracts or work agreements in place that apply to more than one individual worker.
8.B	Meet its contractual and legal obligations in cases of dismissal, termination or redundancy.	536	Site has not met its contractual obligations relating to dismissal, termination or redundancy (no evidence of discrimination) - Systemic
		537	Site has not met its contractual obligations relating to dismissal, termination or redundancy (no evidence of discrimination) - Isolated
8.C	Use an employment or engagement model appropriate to and intended for the nature of work undertaken in the local context.	923	The contractual model used to engage workers is not appropriate for the nature of the work undertaken (e.g. contravenes legal guidance that such a model is to be used for specific kinds of work, duration of employment, degree of supervision etc. - systemic
		924	The contractual model used to engage workers is not appropriate for the nature of the work undertaken, e.g. contravenes legal guidance that such a model is to be used for specific kinds of work, duration of employment, degree of supervision etc. - isolated

		925	Freelancers or subcontracted workers are held to the same obligations as employees but do not receive the same benefits and protections - systemic
		926	Freelancers or subcontracted workers are held to the same obligations as employees but do not receive the same benefits and protections - isolated
8.D	Not utilise apprenticeships, temporary, irregular, sub-contracted or non-employment models of labour for the purpose of avoiding its obligations relating to regular employment, regardless of legality.	927	Less protective forms of employment/labour engagement are used for the purpose of avoiding obligations relating to regular employment
		541	Excessive and repeated use of agency, subcontracted or temporary labour used to replace regular employment
		542	Form of using irregular employment, contracting or self-employment is comparable to employment and could provide legal risk to the company
		543	Temporary workers are systematically fired and rehired in order to avoid obligations related to continual employment
8.E	Meet legal conditions for the use of apprenticeships, temporary, irregular, sub-contracted or non-employment models of labour.	928	Legal conditions for the use of apprenticeships, temporary, irregular, sub-contracted or non-employment models of labour have not been met - systemic
		929	Legal conditions for the use of apprenticeships, temporary, irregular, sub-contracted or non-employment models of labour have not been met - isolated
		538	Systemic occurrence of workers in precarious employment (e.g. seasonal contract, apprentices, trainees, probationary workers) not moved to permanent status in line with law
		539	Isolated occurrence of workers in precarious employment (e.g. seasonal contract, apprentices, trainees, probationary workers) not moved to permanent status in line with law
		544	Legal restrictions on the use of temporary labour are contravened, for example the frequency, extent or duration of use
		545	Isolated incidents of temporary workers not being offered permanent contracts, contrary to law

		547	Total number or percentage of the workforce that are apprentices/trainees exceed legal limits
		403	Apprentices/trainees/vocational workers are employed under terms and conditions contrary to law
8.F	Not unfairly restrict those working under apprenticeships, temporary, irregular, sub-contracted or non-employment models of labour from seeking regular employment.	930	Those working under apprenticeships, temporary, irregular, sub-contracted or non-employment models of labour are not made aware of regular employment opportunities
		931	Service agreements with labour providers proscribe the employment of workers by the site or impose excessive transfer fees for doing so
8.G	Demonstrate real intent to impart skills and/or provide regular employment once the apprenticeship term is completed, where apprenticeship schemes are used.	548	Apprentices used but without any real intent to impart skills or provide regular employment
8.H	Comply with all other applicable laws that impose conditions on Code Area 8.	532	Contracts in place with no minimum hours contrary to local law
		533	Labour contracts not authenticated or registered by/with the local labour bureau where it is a legal requirement
		534	Information about internal rules and regulations is not available (e.g. by providing handbooks or terms & conditions for workers and it is a legal requirement)
		540	Occurrence of agency, subcontracted or temporary workers being requested then turned away at the beginning of the day without pay where this is contrary to law
		86	Probation period required from the worker is in excess of the legal maximum

			932	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 8: Regular Employment is Provided but which cannot be captured under another Workplace Requirement)
			933	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 8: Regular Employment is Provided but which cannot be captured under another Workplace Requirement)
			934	An isolated breach of local law which represents low risk to workers (relating to Code Area 8: Regular Employment is Provided but which cannot be captured under another Workplace Requirement)
8.A: Sub-contracting and homeworkers are used responsibly	8.A.A	Ensure all homeworking and sub-contracted work is authorised by the relevant clients receiving the products.	556	No policy on managing and selecting sub-contractors including policy on obtaining clients' approval
			559	Production is being outsourced to sub-contractors in contravention of customer requirements (e.g. prior authorisation has not been sought where applicable)
			561	Production is being outsourced to homeworkers in contravention of customer requirements (e.g. prior authorisation has not been sought where applicable)
			560	No subcontracting declared but the site does not appear to have the production capacity to meet demand
	8.A.B	Maintain up-to-date records relating to sub-contracted work, and have systems in place to assess working conditions at sub-contracted sites.	935	No records exist relating to sub-contractors, but sub-contracting exists
			936	Incomplete or out-of-date records relating to sub-contracting
			970	No/ inadequate systems in place to assess working conditions at sub-contracted sites

8.A.C	Have systems in place to ensure working conditions of home workers meet ETI Base Code. Where directly employed, ensure no differentiation from other direct workers. Where indirectly employed, this must include sampling of documents relating to specific workers' contracts, pay and legal right to work. Records of these checks must be available to audit and conducted on an ongoing basis. It must also include visits to the place of work.	562	No system in place to monitor homeworkers' conditions in relation to social/ethical standards or system is missing crucial elements (e.g. wages and hours, child labour, safety, forced labour)
		937	System in place to monitor homeworkers' conditions in relation to social/ethical standards but there are isolated gaps
		563	No records for homeworkers (e.g. not on the payroll etc.) but homeworking occurring
		564	Children/underage labour used by homeworkers and does not meet legal/ILO requirements
8.A.D	Comply with all other applicable laws that impose conditions on Code Area 8.A.	938	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 8A: Sub-contracting and Homeworkers but which cannot be captured under another Workplace Requirement)
		939	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 8A: Sub-contracting and Homeworkers but which cannot be captured under another Workplace Requirement)
		940	An isolated breach of local law which represents low risk to workers (relating to Code Area 8A: Sub-contracting and Homeworkers but which cannot be captured under another Workplace Requirement)

9: No harsh or inhumane treatment is allowed	9.A	Not engage in or facilitate harsh or inhumane treatment of workers, including gender-based violence and harassment.	570	Evidence (including widespread worker testimony) of physical or psychological harassment, violence or abuse
			571	Isolated reports from workers of instances of physical or psychological harassment, violence, abuse or bullying
			572	Workers report instances of low-level verbal abuse (e.g. shouting or swearing)
	9.B	Have and communicate to all workers a workplace policy prohibiting harsh or inhumane treatment, including gender-based violence and harassment.	567	There is no or insufficient policy on harassment, violence and abuse that is aligned with applicable laws and communicated to workers
	9.C	Implement, adopt and communicate to all workers a disciplinary policy, and procedures that are fair and appropriate.	579	Lack of a detailed disciplinary procedure that has been communicated to all workers
			580	Disciplinary procedures and/or penalties are inappropriate or excessive (e.g. workers are threatened with removal of privileges, assignment of extra work, etc.)
			581	Records of disciplinary cases are incomplete or missing
	9.D	Implement measures to prevent and control risks of harsh or inhumane treatment, including gender-based violence and harassment, based on an identification of hazards and risks, including in accommodation and worker transport where provided by the employer.	941	There are no or insufficient measures in place to prevent and control risks of harsh and inhumane treatment

9.E	Ensure appropriate training for workers at all levels in roles where risk has been identified and those with relevant supervisory or administrative responsibilities, to prevent harsh or inhumane treatment in the workplace. Have systems in place to monitor the understanding/implementation of the training.	942	There is no or insufficient training programme in place to prevent harsh or inhumane treatment in the workplace, or key members of staff have not received the training
		568	Not all relevant workers are trained on policies and procedures to prevent and report workplace harassment, violence and abuse
		569	No/ineffective training for people managers/supervisors on policies and procedures to prevent and report workplace harassment, violence and abuse
		943	There is no mechanism to monitor understanding and implementation of training to prevent harsh or inhumane treatment, or it is inadequate
9.F	Ensure all workers (taking particular consideration of vulnerable worker groups) have accessible information and accessible training (where relevant) on the measures taken to prevent and control harsh or inhumane treatment, the identified risks and their rights and responsibilities.	944	Certain groups or individuals do not have access to or are not made aware of the measures taken to prevent harsh and inhumane treatment (e.g. due to language/technology barriers, inclusion in training)
9.G	Not conduct bodily searches. Any non-bodily searches shall be conducted only where there is a legitimate business reason (e.g. theft). Where non-bodily searches are conducted the search must respect workers' privacy, be conducted by a	573	Non-bodily searches conducted by member of the opposite gender, or in a way which does not respect workers privacy or meet legal requirements
		574	Non-bodily searches conducted in a way which does respect workers privacy and meet legal requirements, but without a legitimate business reason.
		575	Bodily / strip-searches conducted

		member of the same sex and meet legal requirements.		
9.H	Implement a formal process for workers to be able report grievances (concerns, complaints, or problems) without fear of retaliation. The grievance mechanism should be legitimate, accessible, predictable, equitable, transparent, rights-compatible, continuously improving and based on engagement and dialogue.		583	Lack of a detailed grievance procedure that has been communicated to all workers
			584	Lapses exist in the recordkeeping of grievances reported, grievance proceedings and the outcomes
			585	No grievance committee in place contrary to legal requirement
			586	Grievance committee in place, but it is not effective
			578	Lack of a detailed grievance policy that has been communicated to all workers
			588	Workers report that grievances are not satisfactorily addressed and resolution is not communicated
			589	Reprisals made against workers in retaliation for raising grievances
9.I	Comply with all other applicable laws that impose conditions on Code Area 9.		587	No sexual harassment committee where required by local law
			945	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 9:Harsh or Inhumane Treatment but which cannot be captured under another Workplace Requirement)
			946	A systemic breach of a local law that could present a danger to workers or violate upon a human right (relating to Code Area 9:Harsh or Inhumane Treatment but which cannot be captured under another Workplace Requirement)
			947	An isolated breach of local law which represents low risk to workers (relating to Code Area 9:Harsh or Inhumane Treatment but which cannot be captured under another Workplace Requirement)
10.A.A	Remain aware of the local, regional and national		599	Site is not aware of the local and national laws or permits related to environment

10.A: Environment 2-Pillar		environmental laws relating to the site, and have clear processes around how these laws are updated and communicated.	971	Site has no or inadequate processes in place to manage updates to local, regional and national laws related to environment
	10.A.B	Comply with relevant local, regional and national laws or regulations, and have the correct documentation or permits, including for resource use (e.g. water, energy, material) and waste disposal.	606	Environmental certifications or environmental management systems documentation were not available to review
			597	Presence of fines/prosecutions for non-compliance with environmental regulations that have not been remediated or appealed within the stipulated timeframes
			598	The site does not have all legally required permits for use and/or disposal of resources (e.g. energy, water, air emissions, waste etc.)
			608	No public/external reporting on environmental performance and it is required by law
			631	No water treatment in place contrary to law
			618	No permits for waste disposal as per legal requirement
			637	No monitoring of air emission limits as per legal requirements
			636	No permits for emissions to air as per legal requirement
			633	Waste water contains contaminants over legal limits
			634	No appropriate permits for water use/extraction as per legal requirements
			635	No monitoring of water usage/extraction as per legal requirement
			640	No required air emission treatment in place contrary to law
			641	Air emissions contain contaminants over legal emission limits
			642	Ozone depleting substances inventory not maintained as per legal requirement
			643	GHG (Green House Gas) emissions not monitored as per legal requirements
			646	No permits for use of energy as per legal requirements
			647	No monitoring of energy usage as per legal requirements

		648	Site does not have an energy conservation policy in place contrary to legal requirement
		627	No permits for waste water disposal (effluent) as per legal requirement
		650	Evidence of illegal activity resulting in long-term damage to the natural environment (e.g. deforestation of a protected area)
		972	Site is not in compliance with environmental regulations regarding the use of hazardous substances (e.g. chemicals and pesticides)
		973	A systemic, deliberate or severe breach of a local law causing damage to the environment (relating to Code Area 10.A: Environment 2-Pillar but which cannot be captured under another Workplace Requirement)
		974	A systemic breach of a local law that could cause damage to the environment (relating to Code Area 10.A: Environment 2-Pillar but which cannot be captured under another Workplace Requirement)
		975	An isolated breach of local law which represents a low risk of damage to the environment (relating to Code Area 10.A: Environment 2-Pillar but which cannot be captured under another Workplace Requirement)
10.A.C	Have a system in place for identifying and remediating gaps between their clients' environmental standards and the environmental impact of their own operations.	600	Company is not aware of the customer's environmental requirements
		948	Site does not have a system in place for remediating gaps between customers' environmental standards and the impact of their own operations
		619	Site is not aware of customers' requirements in reference to hazardous substances (e.g. chemicals and pesticides)
10.A.D	Maintain a list of hazardous substances (e.g. chemicals and pesticides) used in manufacturing or in purchased components. Ensure they are compliant with their clients' requirements and relevant	949	Site does not maintain a complete list of relevant hazardous substances (e.g. chemicals and pesticides) used
		950	Site is not compliant with customer requirements and relevant legislation in destination countries

		legislation in the destination countries for those substances.		
10.B: Environment 4-Pillar	10.B.E	Identify and monitor potential negative environment impacts of operations and supply chain and have in place systems that prevent, mitigate or remedy the impacts of their own operations.	951	Site does not identify its potential negative environment impacts or have in place systems to prevent, mitigate or remedy those impacts
			952	Site has taken significant steps to identify and mitigate its environmental impacts, but there are significant gaps
			605	No systems in place to continually improve environmental performance
			607	The site does not measure its environmental impacts
			229	Evidence of unsafe disposal of hazardous chemicals
			622	No waste inventory or tracking system
			623	Uncontrolled waste to landfill
			620	Hazardous waste improperly handled/stored/disposed of
			954	Non-hazardous waste improperly handled/stored/disposed of
			638	No/inadequate emission treatment system (e.g. no removal of contaminants)
			639	No/inadequate training of personnel for monitoring air emissions
			624	Employees not trained in waste management
			625	No recycling policy in place
			626	No recycling scheme in place
			628	No/inadequate monitoring of waste water (effluent)
			629	No/inadequate drainage system (e.g. no separation of clean and foul water)
			630	No/inadequate training of personnel for monitoring effluent
			632	No water treatment in place (where water is contaminated) and it is not a legal requirement
			609	Site is not aware of the environmental performance of its suppliers
			976	Site has inadequate systems in place to monitor environmental performance of its suppliers

	10.B.F	Have and communicate policies and processes, endorsed at the highest level, that includes commitments to improve environmental performance and an approach to managing environmental impacts on relevant stakeholders	601	Lack of a detailed environment policy that covers relevant environmental impacts and has been communicated to necessary parties
			602	Site has an environmental policy in place but does not communicate it to its suppliers
			604	Management lack awareness of the significant environmental impact of their site and its processes
			977	Site has an environmental policy in place but it is not endorsed at a senior level
			603	No competent individual responsible for coordinating the site's efforts to improve environmental performance
	10.B.G	Establish resource-use targets and a plan to reach them.	953	Site has not established resource targets and/or has not developed a plan to reach them
	10.B.H	Record energy use, water use, solid waste, material use, hazardous substance use and waste, and effluent discharge.	244	No/inadequate systems or records for safe disposal of hazardous substances (e.g. chemicals and pesticides)
			621	No/inadequate systems or records for hazardous substances (e.g. chemicals and pesticides) use
			978	No/inadequate systems or records for energy use
			979	No/inadequate systems or records for water use
			980	No/inadequate systems or records for solid waste use
			981	No/inadequate systems or records for material use
			982	No/inadequate systems or records for chemical use
			983	No/inadequate systems or records for effluent discharge
	10.B.I	Monitor and mitigate the site's impacts on biodiversity.	651	Site is not aware of the local laws and regulations covering biodiversity
652			Site does not have a biodiversity policy in place contrary to law	
10.C: Business ethics	10.C.A	Demonstrate understanding of current and relevant legislation relating to bribery, corruption, unethical, or any type of	656	Site is not aware of all local or national laws covering bribery, corruption or unethical business practice

	fraudulent or unethical business practices.		
10.C.B	Assess risks of bribery, corruption or any fraudulent or unethical business practices and implement measures to mitigate these.	662	No system to investigate evidence of bribery, corruption and unethical business practice
		660	Evidence of Business Ethics issues e.g. bribery, facilitation payments, fraud, transshipment, tax evasion, anti-competitive practices, extortion, money laundering, political contributions etc.
10.C.C	Demonstrate awareness of, and compliance with, any fiscal legislative requirements, where required. This may include 3rd party financial audits.	955	Non-compliance with any fiscal legislative requirements
10.C.D	Have and communicate a business ethics policy covering bribery, corruption, or any type of fraudulent or unethical business practice to all parties it deems as high risk, including the site's own suppliers.	658	Lack of detailed Business Ethics policy concerning bribery, corruption or unethical business practices (e.g. fraud, tax evasion, political interest, anti-competitive practices, extortion or money laundering, etc.)
		659	Policy and procedures to prevent or avoid bribery, corruption and other unethical business practices have not been communicated to employees in higher risk positions such as management, finance, purchasing and logistics
10.C.E	Provide appropriate business ethics training to workers at all levels in roles which have greater exposure to risks of bribery, corruption, fraudulent or unethical business practices, such as sales, purchasing, logistics.	956	Lack of business ethics training to individuals in high risk roles
10.C.F	Develop and implement a transparent and accessible	667	No confidential whistleblowing procedure in place
		668	Whistleblowing procedure is not communicated to all workers

	mechanism that effectively allows confidential and anonymous reporting, monitoring and investigation of any fraudulent or unethical business practices without fear of reprisals towards the reporter.	661	Lack of a transparent system in place for confidentially reporting and managing resolution of issues such as bribery, corruption, and unethical business practices
		957	No grievance mechanism communicated to relevant external parties (e.g. the local community)
10.C.G	Obtain and store personal data with the appropriate consents and controls, complying with any legislative requirements.	663	Evidence that the company misuses private and/or confidential data
10.C.H	Implement appropriate and effective corrective actions where they have been subject to any fines/prosecutions for non-compliance to business ethics, regulations or equivalent.	958	Historical fines/prosecutions with no evidence of corrective action
10.C.I	Can demonstrate, where appropriate, that licences and permissions are held relating to ownership and/or leasing of the land where the site operates.	33	Business premises are informal and not registered (law enforcement or other agencies would find it difficult to locate the business)
		34	Site is operating without all required in-date licences and permits (e.g. business/factory licence has expired)