Foreword

This updated version of the amfori BSCI System Manual is published in July 2018. It coexists with relevant documents issued by amfori to date.

The below documents continue to apply as they remain valid:

**amfori BSCI documents**

- [amfori BSCI Code of Conduct](#) (extended version)
- amfori BSCI Audit Report (available on the amfori BSCI Platform)
- [amfori BSCI Country Risk Classification](#)
- [Coordinated by-laws of amfori a.i.s.b.l.](#)
- [Easy Guide: The UK Modern Slavery Act](#)
- [Position paper: New Child Labour Law in India](#)
- Guidance Package: [Syrian Nationals Working in Turkish Supply Chains](#)

**Memos for auditors**

- Memo ACs 2016/03 1 Auditing arrangements under BSCI 2.0
- Memo ACs 2016/03 2 Auditing arrangements under BSCI 2.0 - Addendum
- Memo ACs 2016/10 1 New FTA process for audit report unlock request - addendum
- Memo ACs 2016/11 1 (concerning Child Labour Amendment Act in India)
- Memo ACs 2017/03 1 Evaluating double book keeping (concerning audits in Turkey)
- Memo ACs 2018/04 (concerning Adherence of Other Codes of Ethics)
- Memo AC’s 2018/03 (concerning Reporting on Workers Vulnerable to Forced Labour)
- Memo ACs 2016/03 1 Auditing arrangements under BSCI 2.0
- Memo ACs 2016/03 2 Auditing arrangements under BSCI 2.0 - Addendum
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PART I - The amfori BSCI due diligence implementation strategy

Business enterprises that have endorsed the amfori BSCI Code of Conduct support early detection of labour and human rights abuses in the supply chain as a crucial part of their business identity. As such, the implementation of the amfori BSCI Code of Conduct is part of the business action plan and not only a way to alleviate reputational risks.

Within amfori BSCI system, both large and small companies get the same professional support and access to the same tools. Concretely, SMEs may benefit by:

- creating and maintaining trustful relations with customers, supply chain and stakeholders
- articulating their added value vis-a-vis clients, thanks to a good assimilation of the amfori BSCI system in their own company

To verify if amfori BSCI is the right solution for them, business enterprises can check if the following statements resonate to them:

- Business enterprises can drive prosperity in a country
- Business enterprises must be diligent to avoid harming people and the environment
- Business enterprises must be responsible for their actions and omissions
CHAPTER 1: THE AMFORI BSCI CODE OF CONDUCT

At the heart of amfori BSCI: The amfori BSCI Code of Conduct is the basis of the amfori BSCI System. The System enables business enterprises to:

- monitor their global supply chains
- build competence and knowledge with their own teams and in their supply chains
- engage in constructive dialogue with relevant stakeholders

amfori BSCI Code in a nutshell:

- Demands observance of the law
- Aligns with UN Guiding Principles on Business and Human Rights
- Builds on the International Labour Organization's (ILO's) Fundamental Conventions, which apply to all countries
- Enables business enterprises to follow a systematic due diligence approach in their supply chains

Public commitment: When amfori BSCI participants sign the Code of Conduct, their signature represents their public commitment to responsible business.

Set of values: The amfori BSCI Code of Conduct defines the values and principles for responsible business practices in the supply chain.

Legal framework: The amfori BSCI Code and Terms of Implementation provide amfori BSCI participants with the legal framework to request information on their business partner’s social responsibility performance.

Therefore, to extend the benefits of the System to a business partner, amfori BSCI participants should:

- request their significant business partner to sign the amfori BSCI Code and relevant Terms of Implementation
- create a producer profile in the amfori BSCI Platform, for those business partners that will be eventually monitored

Ways to pass on the amfori BSCI Code to business partners

- As a stand-alone document attached to the terms of purchase or contracts
- As a reference in a clause of the commercial contract
- Fully integrated in the contract or terms of purchase
- Fully integrated in their own codes of conduct
- Making a public statement on the website
Structure of the amfori BSCI Code of Conduct

Extended version: The amfori BSCI Code of Conduct is composed of a set of documents that must be read together:

- **amfori BSCI Code**: This includes the values and the principles companies abide to
- **Terms of implementation**: The terms of implementation expand on the way the amfori BSCI system is going to be implemented by a company. This includes:
  - Becoming a socially responsible company
  - Conducting due diligence in the supply chain
  - Accepting amfori BSCI 2.0 audits – which is only applicable for producers
- **amfori BSCI Reference**: This includes all ILO Conventions and recommendations as well as other important policies that need to be taken into consideration when implementing the amfori BSCI system.
- **amfori BSCI Glossary**: This includes all definitions relevant for the implementation of the amfori BSCI system

Poster version: For communication and awareness raising, the amfori BSCI Code can be displayed as a poster version. However, this A3 document is not the complete version of the Code and it has no legal value.

Changes in the amfori BSCI Code: The content of the amfori BSCI Code of Conduct must be respected in its entirety.

**amfori BSCI participants cannot eliminate any part of the amfori BSCI Code extended version nor include changes that may contradict or water down the spirit of the amfori BSCI Code.**

**Any change needs to be previously approved by the amfori Secretariat relevant department to be contacted at info@amfori.org**

These are most commonly requested and accepted changes in the amfori BSCI Code of Conduct:

- Integration of the amfori BSCI Code in existing documents of the company (e.g. commercial contracts) or
- Alignment of the amfori BSCI Code to the company's corporate image and therefore changing lay-out

Legal clause: If an amfori BSCI participant integrates the amfori BSCI code in its purchase contracts, the following legal clause must be added to make business partners endorse the BSCI Code of Conduct:

“The [Business Partner …] hereby acknowledges that it has been made aware of, and fully adheres to, the contents and requirements of the amfori BSCI Code of Conduct and related Terms of Implementation, [reproduced in annex hereto / available upon request / a copy of which has been provided to the Business Partner/…], and that such documents will be deemed to form an integral part of this [Agreement/Contract/…].”
Disclaimer: If an amfori BSCI Participant changes the layout, the following paragraph must be included at the top of the document:

“The document herein is a literal translation of the amfori BSCI Code of Conduct version 1/2014. As a business enterprise which has endorsed the amfori BSCI Code of Conduct, we have adapted the document into our own layout to better contribute to the amfori BSCI cascade effect.”

Own code of ethics: If an amfori BSCI participant has a different code of ethics, the following needs to be taken into consideration:

- **Comparability:** its own code should be compatible and not contradict the amfori BSCI Code
- **Coherency:** Having different criteria for its own business (own code of ethics) and business partners (amfori BSCI Code of Conduct) may be regarded as lack of genuine commitment by stakeholders.

Refusal to sign the amfori BSCI Code

amfori BSCI does not prescribe any specific way to deal with it as it is the amfori BSCI participant decision. However, it is recommended:

- **Internal policy:** amfori BSCI participants should develop internal policies on how to deal with business partners that refuse to sign the amfori BSCI Code.
- **Transparency:** These policies should be publicly available for potential and actual business partners, so they are aware of the consequences of their refusal.

In addition, these are some elements that can be taken into consideration:

- **Refusal comes from a reputed brand:** the amfori BSCI participant may not require it to sign the amfori BSCI Code of Conduct, if the brand has in place a similar Code of Conduct and solid due diligence approach.
- **Refusal comes from a producing company:** the amfori BSCI participant will assess the following aspects:
  - Is it possible to liaise with other BSCI participants sourcing from the same business partner to get it sign the amfori BSCI Code?
  - Is it possible to get reliable and timely information on its social performance in different ways (e.g. other social assessments)?
  - Is it possible to continue sourcing from a business partner unwilling to cooperate?

Ready to learn more?
Here are several other resources that will help you dive deeper:

- Part I, Chapter 12: Responsible interruption of business relations
- Annex 1: How to start with amfori BSCI Platform
- Annex 3: How to set up a Social Management System (SMS)
- Annex 10: How to cascade amfori BSCI through the supply chain
CHAPTER 2: THE RIGHT MIND-SET TOWARDS SUCCESSFUL IMPLEMENTATION

Key milestones of the amfori BSCI Code implementation

Behind those straightforward milestones, business enterprises may be confronted to multiple challenges, which is why the right mind-set will determine the level of success:

Don’t be defeated by internal challenges

Business enterprises confront internal and external challenges, when translating amfori BSCI Code of Conduct into business practice. Here some examples:

- Reservations from colleagues to support the changes internally needed
- Lack of human and financial resources
- Lack of influence to convince their business partners to implement the amfori BSCI Code of Conduct

Find internal and external allies

These examples highlight that companies cannot successfully embed the amfori BSCI Code of Conduct, if they work in silos, but they need to find allies that will support them in the process.

Be aware of the benefits of the amfori network

amfori BSCI participants represent a strong community of likeminded business enterprises that:

- receive and share from and with the amfori Secretariat expert advice and reliable tools to identify, monitor and remediate these issues
- create synergies with other business enterprises facing similar issues

Don’t underestimate your power as SMEs

Small, medium sizes and even micro enterprises may feel these new responsibilities are too cumbersome for them. With the right support, SMEs can soon realise that they are already doing more than they think. Indeed, an important feature of SMEs is their intuitive and informal practice of CSR.
Use practical wisdom to bear complexity

The complexity of the global markets and geopolitical changes calls for a continuous improvement approach, by which companies move beyond quick-fixes and aim at achieving long lasting positive impact.

This is particularly important whenever amfori BSCI participants are confronted with imminent risk or flagrant human rights violations in their supply chain.

Get top management buy-in

The success of socially responsible enterprises relies on:

- The seriousness of their commitment
- The degree to which the core values of the amfori BSCI Code of Conduct have been embedded in the business culture

Therefore buy-in and cooperation from the CEO and senior management (or the owner, in the case of small enterprise) are pre-requisites for implementation.

<table>
<thead>
<tr>
<th>Ready to learn more?</th>
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<tr>
<td>Here are several other resources that will help you dive deeper:</td>
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<tr>
<td>- Annex 3: How to set up a Social Management System (SMS)</td>
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<td>- Annex 10: How to cascade amfori BSCI through the supply chain</td>
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<td>- Annex 11: How to understand the Commitment Formula</td>
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Notes:
CHAPTER 3: OBSERVANCE OF THE LAW

Relevance of the amfori BSCI Code of Conduct: The amfori BSCI Code reflects universally-accepted international conventions, which most countries have already integrated into legislation. Therefore, business enterprises that respect the law most likely follow the amfori BSCI Code of Conduct already.

First obligation of a company: Obeying the law is the first obligation of business enterprises, both the law that governs its headquarters as well as the domestic law of countries where they operate and/or source.

Contradiction between amfori BSCI Code and domestic law

amfori BSCI Code reflects universally-accepted international conventions. What, at first sight, may look like a contradiction between domestic legislation and amfori BSCI Code may eventually not be the case.

Here some elements that may be taken into consideration:

<table>
<thead>
<tr>
<th>Reality check</th>
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<tr>
<td>In case of contradiction between the domestic law of the sourcing country and the amfori BSCI Code of Conduct, the stipulation that provides the highest protection to workers and the environment prevails.</td>
</tr>
<tr>
<td>However, this needs to be pondered with a good understanding of the local context and possible constraints. amfori BSCI participants must be vigilant to avoid pushing their business partners into the dilemma of breaching of their domestic law to satisfy customer’s demands.</td>
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<table>
<thead>
<tr>
<th>Constructive dialogue</th>
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<tr>
<td>amfori BSCI participants should use the opportunity to assess and define together with business partners:</td>
</tr>
<tr>
<td>• the constraints faced when trying to implement the amfori BSCI Code of Conduct</td>
</tr>
<tr>
<td>• best ways to protect workers without contravening the domestic law</td>
</tr>
</tbody>
</table>

Ready to learn more?
Here are several other resources that will help you dive deeper:

- amfori BSCI Code of Conduct
- amfori BSCI Terms of implementation
- amfori BSCI References
CHAPTER 4: ACT WITH DUE DILIGENCE

These are the three key actions of the amfori BSCI Code’s due diligence approach:

Detect

amfori BSCI participants commit to detect in the earliest stage any shortcomings on the observance of the amfori BSCI Code. Such early detection allows companies to:

- Protect and strengthen their reputation
- Support a more stable business environment
- Save financial and human resources

Monitor

amfori BSCI participants will successfully monitor their supply chain by:

- Developing analytical approaches and internal procedures to build reliable business relations
- Using amfori BSCI monitoring methodologies to understand and assess risks
- Establishing processes and resources for incorporating lessons learned

Remediate

amfori BSCI participants will successfully remediate by:

- Identifying their level of involvement or contribution to social issues identified in their supply chain
- Using amfori BSCI network to boost leverage towards effective remediation
- Taking an active role in the remediation process

Show

In addition, and in line with the concept of “know and show”, amfori BSCI participants need to be able to describe what they are doing in terms of business and human rights’ due diligence, even more in the frame of legislation requiring non-financial disclosure.

These types of reporting shall take into consideration:

Community expectations: Due diligence relates to the expectations that the relevant community has on a business enterprise’s behaviour. This expectation varies from one community to another. However, there is an increase in the overall societal expectation that business enterprises must behave ethically and responsibly.

Balance expectations with resources: Aiming at full coverage and transparency of the entire supply chain is unrealistic. Businesses need to scope, prioritise and balance societal expectations and their own resources to provide solid and credible reporting.
Due diligence for SMEs

Small companies are also bound to be vigilant and put in place the necessary measures to early detect, monitor and (if necessary) remediate any possible human right violation in their supply chains.

Being small business and having less complex supply chains may help them to have a better overview of their risks and possible negative impacts and therefore help them in tackling those.

Ready to learn more?
Here are several other resources that will help you dive deeper:

- Annex 11: How to understand the Commitment Formula
- amfori BSCI References
- amfori BSCI System Manual Part II, The amfori BSCI monitoring approach

Notes:
CHAPTER 5: SUPPLY CHAIN MAPPING

amfori BSCI system aims at providing tools and solutions that support amfori BSCI participants in their responsibility to conduct due diligence through their supply chains. At the same time, amfori BSCI participants may implement the amfori BSCI Code of Conduct in their own business enterprise.

Supply chain: For the amfori BSCI implementation, the supply chain consists of the amfori BSCI participant’s significant business partners. (For full definition see amfori BSCI Glossary)

Supply chain’s mapping: Mapping the supply chain helps amfori BSCI participants to visualise the interrelations among the different business partners in the supply chain. To the typical product-based supply chain (e.g. different actors adding value to a product), amfori BSCI supply chain mapping adds the network of actors which interlink through complex labour arrangements and conditions.

Visualization of the supply chain can help companies to define:

- **Who**: the different actors involved directly or indirectly in the supply chain
- **How**: the level of relevance or significance these actors have for the core business and reputation
- **What**: the level of leverage as well as the type of actions that need to be prioritised

**Implementation model**

Based on the result of the supply chain mapping, amfori BSCI participants will define the amfori BSCI implementation model that suits them best. These are the amfori BSCI implementation models:

- **Direct**: The amfori BSCI participant sources directly from producing or manufacturing business partners or its own production units (including farms). It can also be the case that it sources indirectly (e.g. through a trader) but it has all the information on the production sites. In this case, the amfori BSCI participant will identify those producers that are significant for its business and create a profile in the amfori BSCI Platform for further engagement in the BSCI system.
- **Indirect**: The amfori BSCI participant contracts through a trader (agent or importer) to source from producing or manufacturing business and it has not information about them. In this case, the amfori BSCI participant will request traders to become amfori BSCI participants and rely on their BSCI implementation.
- **Hybrid**: The amfori BSCI participant combines both direct and indirect models

**Ready to learn more?**

Here are several other resources that will help you dive deeper:

- Annex 1: How to start with the amfori BSCI Platform
- Annex 10: How to cascade amfori BSCI through the supply chain
- Template 2: Supply Chain Mapping
CHAPTER 6: CLASSIFICATION OF SIGNIFICANT BUSINESS PARTNERS

Scoping risks

For the amfori BSCI system, significant business partners are identified as those that:

- Are primary providers of a given type of good or service
- Represent a large share of the purchasing volume or affect amfori BSCI participant’s reputation; or
- Potentially relate to risks of adverse human rights impacts

They have (or they are likely to have) influence or effect on the BSCI participant’s business. (See amfori BSCI Glossary for further details)

Scoping opportunities

In the context of the UN Sustainable Development Goals, business enterprises may also consider as significant business partners those that can influence in a positive way the amfori BSCI participant’s business model and reputation.

Classification perspective

Business enterprises may use several resources to classify their significant business partners and eventually select those who will receive an amfori BSCI audit.

These are the most common ways to classify business partners from an amfori BSCI system perspective:

Macro-level assessment: The governance system of a country impacts the extent a business enterprise based in such a country is able to incorporate social responsibility as part of its core business. These are example of relevant tools:

- **amfori Country Risk Classification**: This classification follows the World Bank Governance Indicators. Within this classification, amfori BSCI provides additional advice vis-à-vis extremely risk countries.
- **Least developed countries**: This classification is developed by the UN. Countries included in this list have exceptions with regard certain ILO Conventions (e.g. ILO Convention 138 on Child Labour).
- **Public concern**: Information from relevant stakeholders such as NGOs investigation reports.

Sectorial and supply chain assessment: The structure of the economic sector and the complexity of the supply chain impact on the way a business enterprise is able to incorporate social responsibility as part of its core business. These are example of relevant tools:

- **amfori BSCI Platform**: enables amfori BSCI participants visualize its significant business partners, check amfori BSCI audit results, liaise with other amfori BSCI Participant to create alliance towards remediation and continuous improvement. For more information see Annex 1: How to start with amfori BSCI Platform
- **amfori BSCI commitment formula dashboard**: amfori BSCI participants can assess their business partners’ proactivity and willingness to work towards continuous improvement by using this tool. For more information see Annex 11: How to understand the amfori BSCI Commitment Formula
• **amfori industry risk assessment**: amfori regularly issues industry risk assessment reports with information on the major issues identified in certain industries

• **amfori BSCI Zero Tolerance alerts**: Information provided through the amfori BSCI Platform by auditors within 24 hours from time the amfori BSCI audit has taken place. For more information see Annex 5: How to follow the Zero Tolerance protocol.

**Commercial visits**: Information gathered through buyers, agents or similar actors or the purchasing team

**Accumulated experience**: amfori BSCI participant may rely on purchasing personnel’s accumulated experience to develop a sector specific list of risks. For example:

- Use of agents to sub-contracting workers in specific sectors
- Manufacturing of goods that is often done using homeworkers, like embroidery or other handicrafts
- Products coming from areas where children’s education is not granted
- Food crops that are collected using extensive manual labour
- Conflict-affected or high-risk areas where minerals are sourced from

**Grievance mechanism**: Information from complaints or suggestions that the amfori BSCI participant may have received through its own grievance mechanism or the amfori grievance mechanism.

**Assessments**: Information gathered by second or third-party assessments, audits or similar exercises. amfori Secretariat recommends amfori BSCI participants not to rely exclusively on certificates but rather gather more substantial information that can help to take an informed decision about how work with significant business partner.

In order to capture the information of these classification perspectives, the amfori BSCI system provides business enterprises with a set of templates and annexes to gather information on potential or existing business partners.

- Template 1: Business Partner Information
- Template 2: Supply Chain Mapping
- Template 3: Assessment of smallholders and family farms
- Template 10: Pre-qualification Assessment questionnaire
- Template 11: Producer Self-assessment
- Template 13: Self-assessment on gender equality
- Annex 7: How to use the amfori BSCI buyers’ checklist
- Annex 12: How to assess a small producer
- Annex 14: How to integrate gender equality in the due diligence strategy
- Annex 15: How to pre-assess potential business partners
Diagramming techniques

There are several diagramming techniques the amfori BSCI participants may use to decide the level of investment and vigilance towards the most significant business partners. These are the most commonly used:

- The arc of human rights priorities
- Diagram of Risks - likelihood versus severity
- Strengths, Weaknesses, Opportunities and Threats (SWOT analysis)

Figure 2: The arc of human rights priorities
The results of using diagramming techniques will guide amfori BSCI participants to decide which business partners are to be involved in amfori BSCI system and particularly which of those will receive amfori BSCI audits.

**Figure 3: Diagram of Risk**

Read **ready to learn more?**
Here are several other resources that will help you dive deeper:

- Annex 1: How to start with the amfori BSCI Platform
- Annex 5: How to follow the Zero Tolerance Protocol
- Annex 8: How to quickly assess other monitoring systems
- Annex 10: How to cascade amfori BSCI through the supply chain
- Annex 11: How to understand the amfori BSCI Commitment Formula
- Part I, Chapter 12: Responsible interruption of business relations
CHAPTER 7: DESIGN THE COMPANY APPROACH AND PROCEDURES

Internal procedures: Before kicking off the implementation of the amfori BSCI system within the company, the amfori BSCI participant may define the internal procedures to handle the relationships with concerned significant business partners in the most effective way.

These procedures will be:

- Approved by top management
- Regularly evaluated and adapted as needed to accommodate new business relationships (e.g. if in the middle of the fiscal year a company decide to include new line of products or services into its supply chain due diligence strategy, some procedures may need to be adapted)

amfori BSCI participants may need to decide on the risk management approach that fits best to their vision of implementing the amfori BSCI system.

Most commonly used risk management approaches and their consequence

<table>
<thead>
<tr>
<th>Risk management approach</th>
<th>Consequence</th>
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<tbody>
<tr>
<td>Assume</td>
<td>The business enterprise acknowledges that a certain business partner represents a risk for the business enterprise&lt;br&gt;The business enterprise deliberately accepts the risk without engaging in special efforts to reduce it&lt;br&gt;Top management needs to approve the decision and bear the consequences if something goes wrong</td>
</tr>
<tr>
<td>Manage</td>
<td>The business enterprise is aware of the risks&lt;br&gt;The business enterprise defines extra efforts to handle the risks&lt;br&gt;The business enterprise implements actions to minimise the impact or likelihood of risk that the business partner brings to the business enterprise&lt;br&gt;The business enterprise allocates financial resources to support the defined efforts&lt;br&gt;The business enterprise assesses the success of its risk management and adapt accordingly&lt;br&gt;A person or team is responsible for the management</td>
</tr>
<tr>
<td>Delegate</td>
<td>The business enterprise shares its responsibility and authority with another business enterprise so the second controls the risks on behalf of the first&lt;br&gt;These are some examples:&lt;br&gt;  - A brand requires an importer to control producers’ risks on its behalf.&lt;br&gt;  - A producer requires a recruitment agency to look after the workforce on its behalf</td>
</tr>
</tbody>
</table>
Delegating can be very efficient and effective if both parties exchange information regularly and share responsibility and resources.

Full transfer of responsibility is no longer acceptable. Business enterprises are expected to know and show how they act accordingly to avoid the adverse impact they may have as well as the adverse impacts on the right holders themselves.

The business enterprise adjusts its business partnership requirements to eliminate or reduce the risks. These are some examples:

- A brand stops business with an importer that does not disclose satisfactory information on the sourcing location.
- A business enterprise only sources from local and well-known partners.

Full avoidance is not feasible. Business enterprises always assume certain risks.

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**Avoid**

Table 1: Risk management approaches and consequences

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Ready to learn more?
Here are several other resources that will help you dive deeper:

- Annex 1: How to start with the amfori BSCI Platform
- Annex 3: How to set up a Social Management System (SMS)
- Annex 10: How to cascade amfori BSCI through the supply chain
- Annex 13: How to promote capacity building
- Part I, Chapter 12: Responsible interruption of business relations

Notes:
CHAPTER 8: DESIGN A COMPANY’S COOPERATION APPROACH

Not all business cultures have the same understanding and inclination towards collaboration. From an amfori BSCI system perspective, cooperation represents the best approach to create positive impact.

**Cooperation with business partners**

These are examples of fruitful engagement with business partners:

- **Follow up** on challenges and improvements concerning their social performance in a regular way
- **Build** common expertise on the effectiveness of their due diligence
- **Exchange** information on their respective stakeholder engagement strategies and outcomes
- **Support** them to implement existing remediation plans

**Cooperation with other amfori BSCI participants**

These are examples of fruitful engagement with other amfori BSCI participants:

Micro and small companies will most likely not have any purchasing department as they run their business on their own or with a small multitasking team. In this case, small companies should concentrate on updating purchasing contacts, gaining an overview of the supply chain and define business consequence for business partners that do not show interest to cooperate.
The amfori BSCI Platform offers a straightforward way to share and exchange information with other amfori BSCI participants.

**Cooperation with external stakeholders**

These are examples of fruitful engagement with external stakeholders:

- **Governments and international organisations such as the ILO**: Cooperation with them may support the application of the labour law in the sourcing country
- **Trade unions in the sourcing countries**: Cooperation with them may help to raise awareness of workers’ rights and obligations; it may be helpful in handling grievances

Engaging with the relevant external stakeholders facilitates the achievement of a sustainable solution, particularly when it has been identified that the root causes of deficient social performance lay outside the supply chain.

While amfori BSCI participants may not have the means to address these external stakeholders individually, the amfori Secretariat can support in the coordination.

### Ready to learn more?

Here are several other resources that will help you dive deeper:

- Annex 1: How to start with the amfori BSCI Platform
- Annex 5: How to follow the Zero Tolerance Protocol
- Annex 10: How to cascade amfori BSCI through the supply chain
- Annex 13: How to promote capacity building
- Part I, Chapter 12: Responsible interruption of business relations
- Part II, Chapter 1: Responsibility in business

Notes:
CHAPTER 9: INVOLVEMENT OF THE PURCHASING DEPARTMENT

Purchasing departments have first-hand information on the different business partners. Therefore, they are in the best position to support a robust amfori BSCI implementation strategy.

From the amfori BSCI participant perspective, purchasing departments need to be involved in amfori BSCI implementation at several steps:

Challenges and constraints: Involving the purchasing department is not always easy and may include some challenges and constraints.

The chart below helps in understanding the possible constraints and solutions to develop together a solid amfori BSCI strategy.

<table>
<thead>
<tr>
<th>Possible constraints</th>
<th>Possible solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buyers have information only about their immediate interlocutor (e.g. agent) but they have little information about where the agent sources from (e.g. production sites)</td>
<td>Include the amfori BSCI Code of Conduct and Terms of Implementation as part of the contracts with immediate interlocutor. This provides the legal framework to request them more information on their supply chain.</td>
</tr>
<tr>
<td>Buyers may have classified business partners based on price, quality and delivery time. They</td>
<td>Involve buyers in the mapping and prioritisation of business partners so they better understand the link between social risks</td>
</tr>
</tbody>
</table>
may have no interest in revising this classification to include social and environmental risks. and quality risks. Provide them with the amfori BSCI [Country Risk Classification].

<table>
<thead>
<tr>
<th>Buyers receive incentives for selecting the cheapest source.</th>
<th>Influence the decision-maker to create incentives for buyers to include social performance as part of their selection criteria.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buyers may not have the time or the expertise to understand the information gathered on social performance (e.g. reading an audit report)</td>
<td>Set a clear procedure on how to understand the information on business partner social performance and/or CSR strategies. Develop a quick scan tool that translates amfori BSCI Audit results into guidelines for them.</td>
</tr>
<tr>
<td>Buyers visit factories but may not have the time or expertise to ask producers key questions on social performance.</td>
<td>Provide buyers with a checklist which serves this purpose. [Annex 7: How to use the amfori BSCI buyers checklist] [Annex 15: How to pre-assess potential business partners] In addition, conduct internal trainings or share short awareness raising videos on a regular basis.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Table 2: Involving the Purchasing Department: Potential Challenges and Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>- <strong>Update purchasing contracts</strong>: Include the amfori Code of Conduct and Terms of Implementation in the purchasing contracts to cover at least the significant business partners</td>
</tr>
<tr>
<td>- <strong>Supply chain overview</strong>: Classify the information on the supply chain by distinguishing direct from indirect sourcing as well as the location and commercial relationship stability.</td>
</tr>
</tbody>
</table>

The table below is an example on how amfori BSCI participants may like to get an overview on their own sourcing patterns. Once amfori BSCI participants have this information mapped out, they continue building up their strategy, priorities and budget needed to execute a good due diligence approach.
**Table 3: Distinguish Direct and Indirect Sourcing**

<table>
<thead>
<tr>
<th>Sourcing Method</th>
<th>How many</th>
<th>Sourcing countries</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct sourcing from a producer</td>
<td>Low level of commercial relation stability</td>
<td>Fill in the number of business partners in this situation</td>
</tr>
<tr>
<td></td>
<td>High level of commercial relation stability</td>
<td>Fill in the countries where these business partners are based</td>
</tr>
<tr>
<td></td>
<td>Any social certificate or similar social claim</td>
<td></td>
</tr>
<tr>
<td>Indirect sourcing using agents, importers or brokers</td>
<td>Low level of commercial relation stability</td>
<td></td>
</tr>
<tr>
<td></td>
<td>High level of commercial relation stability</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Any social certificate or similar social claim</td>
<td></td>
</tr>
</tbody>
</table>
- **Social risk collaborative assessment**: Define together the procedure to exchange information between departments about identifying any potential or actual risk associated with business partners.

- **Business consequences**: Define together what the business consequence should be for business partners that do not show any interest in improving their social performance (i.e. when is the right time to stop business with the business partner?).

### Ready to learn more?
Here are several other resources that will help you dive deeper:

- Annex 1: How to start with the amfori BSCI Platform
- Annex 5: How to follow the Zero Tolerance Protocol
- Annex 10: How to cascade amfori BSCI through the supply chain
- Annex 13: How to promote capacity building
- Part I, Chapter 12: Responsible interruption of business relations

**Notes:**

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CHAPTER 10: ESTABLISHING A CULTURE OF MEANINGFUL ENGAGEMENT WITH STAKEHOLDERS

Stakeholders are individuals, communities or organisations who are affected by and may affect an organisation’s products, operations, markets, industries, and outcomes. For more information amfori BSCI Glossary.

Mapping and engaging stakeholders, including people working within a business enterprise, are integral and indispensable parts of business enterprises’ due diligence.

Meaningful engagement relies on:

- **Aptitude**: None of the parties intend to convince the other of their views or approaches, but instead they concentrate on shared goals
- **Interest**: They seek long-lasting solutions rather than short-term demands
- **Regularity**: The agenda agreed upon is followed up on a continuous basis and not just in case of immediate crisis

**Identification of the Relevant Stakeholder Groups**

From the perspective of an amfori BSCI participant, the table below shows potential stakeholder groups (organizations and individuals) and their relevance at distinct stages of the implementation of amfori BSCI system.

Small and microenterprises may just rely on BSCI stakeholders’ engagement work. However, even if your resources are limited you may use some of your visits to factories or farms, to get the flavour of the working conditions in the region by paying a visit to a local NGO, local trade union etc.

<table>
<thead>
<tr>
<th>Relation BSCI stages</th>
<th>Stakeholders inside the company</th>
<th>External Stakeholders</th>
</tr>
</thead>
</table>
| Policy, scoping and assessing (rules and strategy-oriented) | ● Top management  
● Sourcing/buying department  
● Compliance/legal department  
● Local buying offices | ● Business partners  
● amfori Secretariat  
● Trade union federations  
● Civil society organisations |
| Acting and integrating (task-oriented) | ● Sourcing/buying department  
● Local buying office Workers | ● Business partners  
● amfori Secretariat  
● Other amfori BSCI participants  
● amfori Country Representatives  
● Specialised UN agencies (The ILO, UNICEF)  
● Government agencies |
Table 4: Potential Stakeholder Groups to Support in amfori BSCI Implementation

Level of stakeholders’ engagement

The table below shows the most commonly used classification to define level of engagement depending on:

- Their influence on the community and other stakeholders
- Their interest in the company’s activity

<table>
<thead>
<tr>
<th>Level of stakeholders’ engagement</th>
<th>Local trade unions</th>
</tr>
</thead>
</table>
| Knowing and showing (communication and accountability-oriented) | CSR department  
  Compliance department  
  Communication department | Advocacy groups  
  Consumers  
  amfori Networks  
  Business partners  
  Trade unions  
  Business partners’ workers  
  Government agencies |

Figure 7: Ways to engage with stakeholders
Benefits of stakeholders' engagement

Internal and external stakeholders can be good allies to companies, because they can help them to focus on most relevance issues, hence maximising resources. Indeed, stakeholders may:

✓ bring to attention specific issues, markets and actors in the supply chain
✓ influence public perception of social performance in the supply chain
✓ hold unique and specific knowledge about local actors, issues and circumstances that otherwise may be difficult or impossible to obtain by an amfori BSCI participant
✓ complement or challenge information gathered through social audits
✓ collaborate to find root causes and build capacities to close existing gaps

Ready to learn more?
Here are several other resources that will help you dive deeper:

- Template 6: Stakeholders mapping
- Country Risk Classification

Notes:
CHAPTER 11: SETTING A CULTURE OF ACCOUNTABILITY

Accountability and grievance mechanism

Accountability may be defined as the obligation of an individual or organization to account for its activities and accept responsibility for them. Lack of accountability (perceived or actual) can corrode public respect for business and business leaders.

Setting and maintaining a functioning grievance mechanism constitutes an essential element of being diligent as a company and exercising accountability.

It represents an additional channel of communication with both internal stakeholders (workers) and external stakeholders (e.g. community) to anticipate any risk or harm before it escalates.

Grievance mechanisms must be set up with genuine commitment to hear workers’ voices and community concerns. They must be linked to fair follow-up and remediation when needed. Otherwise, the effect of setting an internal grievance mechanism may be counterproductive and create mistrust.

Benefits of grievance mechanisms

- **Engagement:** It strengthens company relations with workers. If workers realise that they cannot only share their concerns but also receive timely solutions, they will feel more motivated and willing to work better. This can lead to better quality products and services and improved productivity
- **Confidence:** It strengthens confidence about the way to manage the business enterprise and relate to the workforce, which will be well-perceived during any audit and/or visit from existing and potential clients
- **Awareness:** It serves as a great vehicle to raise workers’ awareness on their rights and obligations. Workers can learn if certain claims are justified or not if the conclusions are openly shared (respecting the necessary confidentiality of the worker)

In addition to the specific efforts each amfori BSCI Participant may do to set and maintain a culture of accountability, amfori has set its own grievance mechanism to address stakeholders’ concerns in a timely and effective manner.

Ready to learn more?
Here are several other resources that will help you dive deeper:

- [Annex 4: How to set up a grievance mechanism](#)
- [Template 8: Grievance Mechanism tracker](#)
CHAPTER 12: RESPONSIBLE INTERRUPTION OF BUSINESS RELATIONS

Most common warnings of breach of trust

The fundamental reason to stop business is outright lack of trust provoked by the business partner’s behaviour.

Trust can be breached suddenly, but it is often tested following several warnings that trust may be at stake, because the business partner:

- Does not provide relevant and accurate information on its production sites
- Does not engage its own business partners to provide information on a regular basis
- Does not verify that its business partners implement their remediation plans
- Shows clear unwillingness to align to the amfori BSCI Code of Conduct
- Compromises the integrity of the audit by means of bribery, falsification or misrepresentation in the supply chain.

These examples may occur at the commercialization level (e.g. the intermediary breaches the relation of trust) or at the production level (e.g. the producing company).

Furthermore, these breaches of trust may be identified in the course an amfori BSCI audit and considered by the auditor, severe enough to trigger a zero-tolerance alert. For more information see Annex 5: How to follow the Zero Tolerance protocol.

Before stopping business

Business enterprises should not stop business suddenly and would need to do some due diligence. These are some aspects to take into consideration before stopping business or ending contracts with a business partner:

- Is stopping business the best alternative?
- What may be the adverse impacts on the business if the partnership ends?
- What may be the adverse impacts on the producers’ workers if the partnership ends?
- Can the issue be solved in another way?
- Is there a better business partner alternative?
- Is the identified problem specific of the business partner or endemic to the region?

Endemic problems

Some deficiencies on social performance relate to endemic problems in the sector, region or country. This makes it more difficult to find other alternatives. It also makes it crucial to engage with stakeholders, so they can be supportive on holistic remediation approach and eventually understand the long-term reasons why your company stops business or stays in business with a problematic partner.

Procedure to stop business

Every amfori BSCI participant must choose how and when to make the decision of stopping business. However, the decision should always be based on agreed-upon procedures that include:

- Clearly communicated rationale: amfori BSCI participants should aim at clearly making available to potential and actual business partners the reasons that could represent for them a breach of trust. As much as possible, this should be translated into a cancellation or rescission
clause in the contracts, which would be the most stringent manner to enforce the amfori BSCI Code of Conduct.

- **Warning procedure:** amfori BSCI participants should aim to set up a procedure to issue warnings before stopping business. This will also help the company in the process of seeking alternative business partners.

- **Communication procedure:** amfori BSCI participants should aim to have a communication procedure to deal with cases where the related business partner has been targeted by the media. In such a case, the decision of stopping business needs to be analysed with extreme diligence as it might end up being totally counterproductive and raise stakeholder concerns.

- **Stakeholder engagement:** amfori BSCI participants should aim to engage with consumers and other stakeholders on a regular basis to be transparent about their business models and the reasons why they could stop business with partners based on social performance.

- **Stop business or contracts:** Business contracts and/or business relations should stop according to the agreed terms and after the agreed warnings. Stopping business because of a business partner’s unwillingness to implement a necessary measure to respect an obligation of the amfori BSCI Code of Conduct does not alter contractual agreements (e.g. financial obligations from existing contracts need to be honoured).

- amfori discourages amfori BSCI participants from stopping business based on amfori BSCI audits results below Good “B” rating, as this conflicts with the values and principles of the amfori BSCI system and prevents them from positively contribute to the Sustainable Development Goals

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**Ready to learn more?**
Here are several other resources that will help you dive deeper:

- Template 8: Grievance Mechanism tracker
- Template 9: Remediation plan
- Annex 15: How to pre-assess potential business partners

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**Notes:**

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PART II - The amfori BSCI monitoring approach

This Part of the amfori BSCI System Manual targets amfori BSCI participants, producers, and auditors. It provides both an overview of amfori BSCI’s holistic monitoring approach and an explanation of the entire amfori BSCI 2.0 audit process, from requesting and scheduling an audit to performing one and following up.

This chapter will help to better understand:

- Why the amfori BSCI monitoring approach is unique
- The different monitoring types
- How to prepare, conduct, and follow up on an amfori BSCI 2.0 audit
CHAPTER 1: RESPONSIBILITY IN BUSINESS

Monitoring in the context of amfori BSCI has to be understood as a systematic approach that enables business enterprises to measure and analyse social performance across their supply chains. It helps businesses to pro-actively identify critical problems and it enables them to make decisions that will improve the quality and effectiveness of their corporate social responsibility (CSR) commitment.

The United Nations Guiding Principles on Business and Human Rights (UNGP) states that all business enterprises have a responsibility to prevent and mitigate adverse human right impacts:

- Caused by their own activities
- Linked to their operations by business relations

Business enterprises are encouraged to turn their CSR commitment into practice by:

- Monitoring the performance of their significant business partners in the supply chain
- Following up on the significant business partners’ progress
- Collaborating with other business enterprises in the amfori BSCI system (amfori BSCI participants) to effectively remediate any problems identified.

Creating synergies through the amfori BSCI platform

The amfori BSCI system aims to avoid audit fatigue and create synergies among different business enterprises. This goal is accomplished through many features of the amfori BSCI system, such as the collaborative amfori BSCI platform (see Annex 1: How to start with amfori BSCI platform), which allows amfori BSCI participants to share:

- Producers (e.g. factories or farms) in their supply chains
- Information concerning monitoring activities to those producers
- Remediation activities

amfori BSCI platform’s internal governance

The amfori BSCI platform internally defines two types of status for amfori BSCI participants that correspond to division of tasks, rights and obligations and govern their interactions. They enhance planning and avoid duplication of efforts. They are:

- **Responsibility (RSP) holder**: This is the status actively and voluntarily taken by an amfori BSCI participant who wants to lead the implementation of the monitoring strategy for a given producer
- **Linked participant**: This is the status actively taken by an amfori BSCI participant to follow up on the producer’s progress, without actively leading the monitoring strategy

Collaboration among peers remains at the heart of amfori BSCI internal governance. At the same time, these two types of status are dynamic and can change as relationships with producers change. For example, both RSP holders and linked participants can exchange status or unilaterally relinquish their status if they are no longer doing business with certain producers.
About the RSP holder status

Due to the amount of synergy in the amfori BSCI platform, it is unlikely that an amfori BSCI participant will take the RSP holder status for all its producers. amfori BSCI participants will most likely only take the RSP holder status if they intend to establish a specific due-diligence strategy with a specific producer.

Taking the RSP holder status makes the most sense when an amfori BSCI participant wants to:

- **Engage** a producer in a number of learning courses prior to the amfori BSCI audit
- **Develop** an action plan to move beyond tier 1 within a period of time
- **Acknowledge** a producer’s efforts made within another monitoring system prior to switching to the amfori BSCI system

Taking the RSP holder status requires to allocate resources (e.g. time and capacity) and to avoid creating a bottleneck for the other amfori BSCI linked participants.

To avoid undesirable bottlenecks and lack of leadership, the status of RSP holder can be:

- **Released upon request of another amfori BSCI participant**: This happens when the RSP holder voluntarily release its status upon request from another amfori BSCI participant who contacts the RSP holder through the amfori BSCI platform asking it to release RSP. Should the RSP holder want to keep its status, it needs to react to the request explaining its reasoning.
- **Lost due to inactivity or failure to exercise minimum rights and obligations**: This happens when the RSP holder fails to schedule an amfori BSCI audit (full or follow up) within its cycle.
- **Challenged by another linked amfori BSCI participant**: This happens when another linked participant has reasons to doubt the applied audit methodology, audit environment, audit announcement or the recognition of other social certificates. The burden of the proof lies with the linked participant and not with the RSP holder. These concerns can be submitted through the amfori grievance mechanism.

About the linked participant status

amfori BSCI participants can link themselves to producers already existing in the amfori BSCI platform. Furthermore, amfori BSCI participants will automatically be linked to any producers they create in the amfori BSCI platform (see Annex 1: How to start with amfori BSCI platform)

By linking to producers in the amfori BSCI platform, amfori BSCI participants will remain informed about the progress of these producers and will be alerted of any important issue related to them (e.g. emergencies or zero tolerance cases). Linked participants have the same rights and obligations than the RSP holder except of those related to the monitoring strategy.
See Table 1 below for details on the rights and obligations of RSP holders and linked participants.

<table>
<thead>
<tr>
<th>RIGHTS AND OBLIGATIONS</th>
<th>RSP Holder</th>
<th>Linked Participant</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Provide business partners with the amfori BSCI Code of Conduct/Terms of Implementation</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>2. Invite business partners to capacity-building activities</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>3. Interact with other participants linked to the same business partner</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>4. React to zero tolerance alerts</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>5. Support business partners in the remediation process</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>6. Engage with relevant stakeholders to support business partners</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>7. Authorise the timing of the amfori BSCI audit</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>8. Authorise the auditing company</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>9. Authorise amfori BSCI audits (both full and follow-up)</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>10. Accept an equivalent auditing system</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>11. Release RSP holder status in favour of another linked participant</td>
<td>✓</td>
<td>x</td>
</tr>
<tr>
<td>12. Be the first point of contact for zero tolerance and investigations</td>
<td>✓</td>
<td>x</td>
</tr>
</tbody>
</table>

Table 1: Rights and obligations of RSP holders and linked participants

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- The amfori external grievance mechanism
- Annex 1: How to start with amfori BSCI platform
- Annex 5: How to follow the Zero Tolerance protocol
- Annex 11: How to understand the commitment formula
CHAPTER 2: DECIDING ON THE TYPE OF MONITORING

Deciding which type of assessment to conduct is a critical decision. It enables amfori BSCI participants to:

- Efficiently manage their resources
- Articulate different strategies for social risk management in the supply chain
- Reduce audit fatigue

amfori BSCI participants can make use of both voluntary preparatory tools and amfori BSCI 2.0 audits, depending on the selected monitoring strategy. However, amfori BSCI 2.0 audits are the only third-party monitoring methodology whose quality is controlled through the amfori BSCI audit integrity programme and supported by the amfori BSCI commitment formula (see Annex 11).

Voluntary preparatory tools

Voluntary tools can be used by any amfori BSCI participant at any point in time. They do not result in a rating and do not impact the amfori BSCI audit cycle. Voluntary tools include:

- Self-assessment questionnaire
- Pre-qualification assessment (PQA)
- Buyers’ checklist

Self-assessment questionnaire (see Template 11: Producer self-assessment): amfori BSCI participants may ask their business partners to fill out the amfori BSCI self-assessment questionnaire to raise awareness of social compliance issues and prepare them for the complete amfori BSCI 2.0 audit. There is a specific self-assessment available for smallholders and family farms (see Template 3: Assessment for smallholders and family farms).

- **Pros:** amfori BSCI self-assessment mirrors the amfori BSCI audit questionnaire. Used in combination with Part IV of the amfori BSCI System Manual or specific training, it allows the potential auditee to fully understand the values and principles of the amfori BSCI Code of Conduct and how to embed them in regular business practice
- **Cons:** By definition self-assessments are self-declarations whose impartiality may be compromised

Pre-qualification assessment (PQA) (see Template 10: Pre-Qualification Assessment questionnaire)

If amfori BSCI participants want to get an initial understanding of the potential risks of entering into business with a new business partner, they may conduct a PQA before an amfori BSCI 2.0 audit, provided that the potential business partner has no recent history in the amfori BSCI platform.

- **Pros:** amfori BSCI participants may be able to identify imminent risks of new business partners prior to entering into a business relationship. The results of a PQA can be shared with other linked participants in the amfori BSCI platform.
- **Cons:** A PQA may give an incomplete overview of the producer performance due to its checklist approach and its lack of minimum requirements for the competency of internal and/or external auditors.

Buyers’ checklist (see Annex 7: How to use the amfori BSCI buyers’ checklist) amfori BSCI participants may use this one-page tool during their commercial visits to potential or existing business partners to capture any obvious social performance deficiencies.

- **Pros:** The checklist can be used by anyone, including those without social auditing experience.
- **Cons:** Used in isolation (e.g. without professional follow-up), the checklist may give inaccurate information and an incomplete picture of the social risks in the supply chain.

**Three types of amfori BSCI 2.0 audits**

amfori BSCI 2.0 audits are a monitoring tool designed to help business enterprises assess the social performance of their supply chains and encourage continuous improvement.

They provide a holistic approach that supports early detection, monitoring and remediation of any breaches of the amfori BSCI Code of Conduct that may occur in the supply chain and directly or indirectly affect amfori BSCI participants. An amfori BSCI 2.0 audit can only be requested by an RSP holder (see Chapter 1: Responsibility in Business).

Depending on the size of the producer and the number of locations, there are three types of amfori BSCI 2.0 audits that can be performed:

- One-site audit
- Multi-tier audit
- Small Producers Assessment (SPA)

![Figure 1: The three types of amfori BSCI audits](image)

**One-site audit:** One-site audits are appropriate for larger producers with greater than 35 workers and can be conducted on non-food manufacturers as well as food and beverage processors, including food cooperatives.

- **Pros:** It helps to capture the social performance of a producer
- **Cons:** It does not include social performance verification of next-tier producers, such as subcontractors, suppliers, or farms

**Multi-tier audit:** Multi-tier audits are appropriate for food-related producers with multiple farms only. They assess the social performance of a significant business partner and a sample of its next-tier business partners (e.g. subcontractors, suppliers, or farms).

- **Pros:** A multi-tier audit creates economies of scale by including farms and/or other next-tier producers as part of the same audit scope.
- **Cons:** The multi-tier audit may be challenging if there are intermediaries or brokers between the main auditee and next-tier producers. amfori BSCI recommends a preparation period of six months for both main auditee and next-tier producers. This allows time to develop the procedures and internal monitoring processes necessary to support communication among all relevant parties.
Small Producers Assessment (SPA) (see Annex 12: How to assess a small producer): amfori BSCI participants can request a Small Producers Assessment (SPA) to assess the social performance of qualified small producers as defined per amfori BSCI definitions.

- **Pros:** In a SPA, the auditor’s perspective adjusts to the circumstances of a small business.
- **Cons:** There is a risk of misrepresentation and potential increase of the informality of labour relations to qualify as small producer.

**Deciding which audit is best**

Deciding on the most appropriate audit approach requires the RSP holder to understand the supply chain and production structure. An incomplete understanding of the supply chain may lead to an incomplete assessment and result in overlooking potential risks or negative impacts. There are several external resources available to help inform RSP holders:

- Traders or importers who act as intermediaries (e.g. indirect sourcing model)
- Auditing companies, which can be used to help gather preparatory information before the amfori BSCI 2.0 audit is scheduled
- Buyers within the company

**Factors that impact the duration of an audit**

amfori BSCI 2.0 audits focus on the entire workforce, those directly and indirectly recruited and managed. Therefore, the duration and complexity of the amfori BSCI audit, and by extension the voluntary preparatory tools, depend on the number of workers, whether or not they are permanent or seasonal, and the diversity of recruitment models used. For example:

- **Direct recruitment:** The producer hires and manages all of its workforce
- **Indirect recruitment:** The producer does not hire or manage its workforce, but relies completely on hiring through service providers such as recruitment agencies or agents
- **A combination of both models:** The producer hires and manages part of its workforce (e.g. permanent workers) but relies on service providers to recruit specific services (e.g. security, cleaning, or catering agencies) or to address specific contingencies (e.g. seasonal workers).

For multi-tier audits, the number of farms to be included by the auditor in the sample, as well the number of workers per farm, will impact the duration of the audit.

The auditor will select a sample of farms from a previous selection of farms identified as significant business partners by the main auditee (e.g. these farms represent a great portion of its production).

The number of sampled farms will need to be agreed upon by the RSP holder and the main auditee as it has great implications on the costs of the amfori BSCI multi-tier audit. However, it will never be less than two farms (unless the main auditee only sources from one farm) and no more than ten farms (unless the diversity of circumstances might justify an exception).

**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Part II, Chapter 7: Scope of the amfori BSCI audit
- Part II, Chapter 10: Duration of the amfori BSCI audit
- Annex 7: How to use the amfori BSCI buyers’ checklist
- Annex 12: How to assess a small producer
- Annex 15: How to pre-assess potential business partners
CHAPTER 3: SIX DISTINCTIVE FEATURES OF THE AMFORI BSCI AUDITING SYSTEM

These are the six distinctive features why the amfori BSCI auditing system is unique:

1. **Online IT Platform:** All amfori BSCI participants linked to the same producer have access online to the producer audit data, auditors’ professional judgement and related remediation plans, which avoids duplication of audits and enhances synergies in remediation. They also receive timely auditors’ alert in case of flagrant human right violations. (see Annex 5: How to follow the Zero Tolerance protocol)

2. **Holistic audit methodology:** All principles of the amfori BSCI Code of Conduct are interconnected and incorporated into the BSCI 2.0 monitoring approach. When conducting an amfori BSCI audit, the auditor uses his/her professional judgement to complete a comprehensive assessment on how the 13 interconnected Performance Areas (PA) and the amfori BSCI Code of Conduct values are implemented by the producer. This holistic audit approach includes:
   - **Effectiveness and coherency checks:** Auditors do not only assess if procedures and infrastructure are in place, but that both are relevant and adequate to protect workers’ rights in a manner that does not contradict with the amfori BSCI Code of Conduct values.
   - **Triangulation:** Auditors must cross verify multiple sources (e.g. worker interviews, documents and site observations) in their efforts to compile satisfactory evidence and reach their professional judgement.

3. **Specific methodology for food processors and farming:** All principles of the amfori BSCI Code of Conduct are relevant for the working conditions in food supply chain, including agriculture and aquaculture. However, amfori BSCI audits may adapt to the food production context by including farming (e.g. owned or contracted farms) in the audit scope. Furthermore, amfori provides specific guidelines for auditors, which enhance them to build their professional judgement taking into consideration the specificities of the food supply chain. For example, auditors receive guidelines on how to handle cooperatives as the main auditee or conducting audits to small or family farms.

4. **Collaborative approach to remediation:** amfori BSCI participants linked to the same producer can jointly support the producer’s continuous improvement through capacity-building activities. Furthermore, they can pursue remedies, particularly for the most severe breaches identified in the supply chain. This is the case for zero tolerance and emergency episodes, where immediate and time-bound collaborative remediation is needed.

5. **Strategic partnering:** amfori BSCI participants may confront a systemic lack of workers’ protection, which relates to insufficient or ineffective enforcement of the law. In these cases, amfori BSCI participants may pursue strategic partnerships with local governments and like-minded organisations to explore long-term positive impact for an industry, a region, or even a country.
6. **Audit integrity**: The amfori BSCI audit integrity programme consists of policies and procedures to protect and maintain the credibility of the amfori BSCI auditing process by regular verification of:

   - The endorsement and implementation of amfori BSCI values and principles in the audits
   - The independence and legitimacy of the auditing companies
   - The integrity of the auditing process and associated activities
   - The consistency of the application of the audit process
   - The ongoing performance and competence of individual auditors

Ready to learn more?
Here are some other resources that will help you to dive deeper:

- Part III, Chapter 2: Content of the amfori BSCI audit report
- Part III, Chapter 3: amfori BSCI audit interpretation guidelines
- Annex 5: How to follow the Zero Tolerance protocol

Notes:
CHAPTER 4: AREAS ASSESSED IN THE AMFORI BSCI AUDIT

amfori BSCI audits are designed to assess a producer against the values and principles of the amfori BSCI Code of Conduct, which are translated into thirteen interconnected Performance Areas (PAs):

- Social Management System and Cascade Effect
- Workers Involvement and Protection
- The Rights of Freedom of Association and Collective Bargaining
- No Discrimination
- Fair Remuneration
- Decent Working Hours
- Occupational Health and Safety (OHS)
- No Child Labour
- Special Protection for Young Workers
- No Precarious Employment
- No Bonded Labour
- Protection of the Environments
- Ethical Business Behaviour

amfori BSCI full audits assess all thirteen interconnected areas. They take place every two years, which determines the amfori BSCI audit cycle.

amfori BSCI follow-up audits are conducted in-between cycles and focus only on those PAs that need new evidence of progress from the producer. amfori BSCI follow-up audits should happen within twelve months from previous audit and should maintain the same audit scope and methodology. However, the amfori BSCI participant (RSP holder) may need to make exceptions. For example:

- **Urgent follow up**: The RSP holder may request an urgent follow-up audit that focuses on only a specific finding or PA due to an urgent need, as in the following cases:
  - Suspicions were raised by the auditor in the confidential comments captured in the audit report.
  - There are substantial risks that need verification
  - Immediate remediation is needed after a zero-tolerance alert

- **New sample of farms**: The RSP holder may request new samples of farms to be added, if the main auditee has stopped business with all the farms sampled in the full audit. The follow-up audit will assess those PAs where issues were identified for the main auditee. However, it will assess all PAs (as in a full audit) for any farms recently added into the sample. The addition of new farms to the sample, and related cost implications, are approved by the RSP holder and accepted by the main auditee.

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**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Part III amfori BSCI audit interpretation guidelines
CHAPTER 5: AMFORI BSCI AUDIT RATING SYSTEM

The overall rating of an amfori BSCI audit reflects the extent to which the auditee has integrated the amfori BSCI Code of Conduct into its daily business culture and operations. It is not calculated by the auditor but generated automatically by the amfori BSCI IT system based on the combination of ratings across the 13 Performance Areas (PAs).

Therefore, auditors do not know the audit rating until they have submitted the audit in the amfori BSCI platform. As a consequence, at the audit’s closing meeting, the auditor focuses on the good practices and the findings but does not present a rating.

<table>
<thead>
<tr>
<th>Overall Rating</th>
<th>Description</th>
<th>Level of Maturity</th>
</tr>
</thead>
<tbody>
<tr>
<td>A Very Good</td>
<td>Minimum seven PAs rated A No PA rated C, D, or E</td>
<td>Very good level of maturity that allows the auditee to maintain its continuous improvement process without a professional follow-up audit.</td>
</tr>
<tr>
<td>B Good</td>
<td>Maximum three PAs rated C No PA rated D or E</td>
<td>Good level of maturity that allows the auditee to maintain its continuous improvement process without a professional follow-up audit.</td>
</tr>
<tr>
<td>C Acceptable</td>
<td>Maximum two PAs rated D No PA rated E</td>
<td>Acceptable level of maturity that requires auditee to develop a related remediation plan within 60 days of the audit date. A professional follow-up audit is envisaged to assess continuous improvement.</td>
</tr>
<tr>
<td>D Insufficient</td>
<td>Maximum six PAs rated E</td>
<td>Insufficient level of maturity that requires auditee to develop a related remediation plan within 60 days of the audit date. A professional follow-up audit is envisaged to assess continuous improvement.</td>
</tr>
<tr>
<td>E Unacceptable</td>
<td>Minimum seven PAs rated E</td>
<td>Unacceptable level of maturity that requires auditee to develop a related remediation plan within 60 days of the audit date. A professional follow-up audit is envisaged to assess continuous improvement.</td>
</tr>
</tbody>
</table>

Table 2: amfori BSCI overall audit rating

Rating per Performance Area (PA): Each PA gets an individual rating ranging between ‘A’ and ‘E’, which is determined by the degree of fulfilment for each question under the PA. Some questions in the PA may be labelled as “crucial questions”, because their content should be of the highest priority of the producer in terms of workers’ protection.

During the audit, the auditor answers each question based on his/her professional judgement with one of three responses:
- **YES**: When the auditor finds the amount of evidence satisfactory;
- **NO**: When the auditor finds the amount of evidence unsatisfactory; or
- **PARTIALLY**: When the auditor finds some satisfactory evidence, but not enough to clearly answer YES.

The table below shows how audit questions impact the overall rating of a PA depending on the answers given and the importance of each element.

Crucial questions in the Child Labour, Bonded Labour, and Occupational Health and Safety Performance areas have the greatest impact on the rating. Furthermore, crucial questions answered NO or PARTIALLY have a higher impact on the calculation of the PA rating as compared to non-crucial questions.

<table>
<thead>
<tr>
<th>Answer</th>
<th>Type of Question</th>
<th>Numerical Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>All question</td>
<td>+</td>
</tr>
<tr>
<td></td>
<td>Non-crucial</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Crucial</td>
<td></td>
</tr>
<tr>
<td>Partially</td>
<td>Crucial in Performance Areas:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Child Labour</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Bonded Labour</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• OHS</td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>Non-crucial</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>Crucial</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Crucial in Performance Areas:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Child Labour</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Bonded Labour</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• OHS</td>
<td></td>
</tr>
</tbody>
</table>

*Figure 2: Impact of audit questions on PA rating*

**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Annex 16: How to draft and read the findings report
- Template 9: Remediation plan
- Part III amfori BSCI audit interpretation guidelines
CHAPTER 6: THE AMFORI BSCI AUDIT CYCLE

The amfori BSCI audit cycle is the two-year period between full audits. In other words, for producers that obtain the highest rating in an amfori BSCI audit (i.e. overall rating of ‘A’ or ‘B’), all PAs will be evaluated every two years.

For producers that obtain an overall rating of ‘C’, ‘D’, or ‘E’, a follow-up audit, which will address not all PAs but only those with findings, is required between 2 and 12 months after another audit.

What is the time period that an audit is valid?

The length of time audit results are valid varies according to the producer’s ratings on both the full and follow-up audits.

- **2 years validity:** amfori BSCI full audits with an overall rating of ‘A’ or ‘B’ (Very Good or Good) are valid for 2 years. The RSP holder can challenge this validity by raising specific concerns to the amfori Secretariat. If the result of a follow-up audit shows an overall rating ‘A’ or ‘B’, then the audit is valid until the next full audit is due at the end of the two-year cycle.

- **12 months validity:** amfori BSCI full and follow-up audits with an overall rating of ‘C’, ‘D’, or ‘E’ are valid for a maximum of 12 months, provided that the period between two full audits never exceeds 2 years. This timeframe provides both the RSP holder and the producer the flexibility to define the best timing for the follow-up audit, which generally takes place between 2 and 12 months after the initial audit. In rare cases, more than two follow-up audits will take place within the two-year cycle. If the deadline for a follow-up audit is missed, a full audit will be required instead.

Additional timelines to consider

- **A producer must be in business for at least three months:** Producers must have a minimum period of existence to generate relevant records (e.g. business license, payroll, and social security) so an amfori BSCI audit can deliver a reliable judgement. Therefore, an amfori BSCI audit should not be conducted for producers who have not been in business at least three months.

- **Six-month preparation for multi-tier audits:** It is recommended that amfori BSCI participants allow a six-month preparation period for multi-tier audits that involve auditing a producer with multiple next-tier producers (e.g. farms). This extra preparation time allows the producer that acts as main auditee to develop necessary internal procedures and conduct internal monitoring of its next-tier producers before the amfori BSCI audit takes place.

- **At least two months before a follow-up audit:** If a producer’s audit has an overall rating of ‘C’, ‘D’, or ‘E’, the audit provides the producer information on how it needs to be improved to act in line with the amfori BSCI Code of Conduct. In such situations, the follow-up audit should never happen before a reasonable period of time that could allow the producer to develop new evidence of progress made. This provision is particularly important for findings concerning remuneration and working hours, where at least two months are needed to generate new records to prove that new practices are in place. Not respecting this guideline can result in an audit that identifies the same issues as the initial audit.
Figure 3: Audit cycle

Notes:

Ready to learn more?
Here are some other resources that will help you to dive deeper:

- Part II, Chapter 2: Deciding on the type of monitoring
- Part II, Chapter 5: amfori BSCI audit rating system
CHAPTER 7: SCOPE OF THE AMFORI BSCI AUDIT

The scope of an amfori BSCI audit is defined at the time of the audit request and must be validated by the time the audit is scheduled.

This process takes place in the amfori BSCI platform and it is triggered by the RSP holder, who will select between one of two options:

- **Main auditee**: For one-site audits, the audit scope usually corresponds to one legal entity at one location
- **Main auditee plus farms**: For multi-tier audits, the audit scope includes the main auditee and its sampled farms, which may belong or not to the same legal entity.

**One site that belongs to a legal entity with several sites**: the RSP holder may request to identify as main auditee only one-site out of several sites belonging to the same legal entity. This exception can be granted by the auditing company provided that the following two criteria concur:

- **Proven physical separation**: The production unit to be audited (one-site) is clearly and physically separated from other production units of the producer
- **Proven workforce separation**: There is no workforce movement or exchange between the production unit to be audited (one-site) and other production units of the producer

The auditing company may accept this audit request from the RSP holder, without seeking for amfori approval. However, prior to accepting it, auditing companies are expected to:

- Conduct relevant due diligence to verify that the conditions above are met
- Maintain documentation of such due diligence.

Furthermore, auditing companies will make sure that:

- The audit duration is calculated based on the number of workers in the production unit to be audited (one-site) and not based on the total number of workers in the legal entity.
- In the amfori BSCI platform:
  - The name of the auditee will clearly indicate that the scope of the audit does not correspond to the entire legal entity but just to one site (e.g. Producer Name [production unit 1])
  - The auditor reports the limited scope under ‘Audit Extent’ in the ‘General Information’ section of the audit report.

Other exceptions to the amfori BSCI audit scope can only be granted by amfori, upon request from the concerned RSP holder. This business enterprise will have the burden of proof to show that its request is clearly and undoubtedly justified on the most effective implementation of the amfori BSCI Code of Conduct (e.g. better protection of workers) instead of purely cost considerations.

The exception shall be requested through system@amfori.org.

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- [Part II, Chapter 2: Deciding on the type of monitoring](#)
- [Part II, Chapter 10: Duration of the amfori BSCI audit](#)
CHAPTER 8: SELECTING AN AUDIT COMPANY

Only auditing companies that have signed the amfori framework contract are qualified to coordinate and conduct amfori BSCI audits.

In addition, only qualified auditors that have completed a qualification process can conduct amfori BSCI audits. Both auditing companies, and their qualified auditors, are subjected to a rigorous third-party integrity programme.

amfori does not prescribe:

- Who pays for the amfori BSCI audit (full or follow-up); nor
- How much the amfori BSCI audit costs.

There are three main ways how amfori BSCI participants engage auditing companies:

- **Ad-hoc engagement**: The RSP holder engages different auditing company for each audit it requests.
- **Long-term engagement**: The RSP holder may engage the same auditing company (or companies) for all audits it requests.
- **Mixed engagement**: The RSP holder may engage the same auditing company for all audits in one region or sector and engage different auditing companies in ad-hoc cases.

amfori does not prescribe the best engagement approach. However, amfori BSCI participants shall take into consideration three criteria when selecting an auditing company:

- **Capacity**: Auditing companies should be approached early enough to plan the amfori BSCI audit and assign an auditor who has the right experience. Requesting audits three or four months in advance is a good practice.
- **Price**: amfori BSCI determines the minimum length of an amfori BSCI audit, but every auditing company defines its own service rate. A complete audit requires good preparation, expertise, and professionalism (prior to, during, and after the audit). Low-cost audits may end up being expensive in the long run, if they do not provide the information needed.
- **Potential conflict of interest**: Auditing companies have mechanisms in place to avoid conflicts of interest. The RSP holder should, however, keep this issue in mind when selecting the auditing company. Some examples of potential conflicts of interest are:
  - The auditor has previously provided training and/or technical advice to the auditee
  - The audit is not paid for beforehand and the price depends on the results
  - The same auditing company is used over time with the same individual auditor (long-lasting auditor-auditee relations can compromise the objectivity of the auditor and the quality of the monitoring process.)

amfori BSCI participants can use the amfori external grievance mechanism to report allegations of auditing company misbehaviour or misrepresentation.
CHAPTER 9: SCHEDULING THE AMFORI BSCI AUDIT

amfori BSCI 2.0 audits can only be scheduled through the amfori BSCI platform.

amfori Academy offers specific tutorials to support business enterprise in scheduling an audit successfully. There the five key steps to always keep in mind:

- **STEP 1:** Verify that the potential auditee is part of the amfori BSCI participant’s list of producers in the amfori BSCI platform.

- **STEP 2:** Take the Responsibility (RSP) for the potential auditee. Only RSP holders can request and schedule amfori BSCI audits, therefore the concerned BSCI participant needs to assume the RSP holder status vis-à-vis the potential auditee.

- **STEP 3:** Click the ‘Request Audit’ button to schedule an audit and use the pop-up window to select:
  - Time range
  - Audit type (full or follow-up audit)
  - Auditing company and branch if applicable
  - Type of announcement: semi-announced, fully announced or fully unannounced. (Audits are semi-announced by default, which means the producer is aware an audit will take place but is not notified of the date.)
  - Environment of the audit
  - Scope of the audit

- **STEP 4:** Add details to the free text box. The amfori BSCI participant can use the scheduling free text box to provide additional guidance and comments to the auditing company. (e.g. “I would like a mixed-gender team of auditors.”)

- **STEP 5:** The audit company receives the request via the amfori BSCI platform and confirms the request. The amfori BSCI platform also:
  - Assigns a date for the audit
  - Appoints an auditor
  - Requests availability dates within a defined period from the main auditee (for a semi-announced audit) or informs the main auditee of the audit date (for an announced audit)

**What the RSP holder needs to know prior to scheduling:** At a minimum, the RSP holder needs to know:

- **Location** of the main auditee;

- **Number of workers** (number of workers determines the length of the audits, both full and follow-up).

- **Existing farming activity that could be added to the audit scope.** (e.g. the main auditee owns, or contracts farms whose produce is processed at the main auditee)

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**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- **Part II, Chapter 1: Responsibility in Business**
- **Part II, Chapter 2: Deciding on the type of monitoring**
- **Annex 1: How to start with the amfori BSCI platform**
- **Annex 14: How to integrate gender equality in the due diligence strategy**
CHAPTER 10: DURATION OF THE AMFORI BSCI AUDIT

The tables below apply as a reference for all amfori BSCI audits.

Full Audit Duration

The table below shows the minimum duration for full audits as well as the minimum number of worker interviews. Audit duration includes 0.5 day for audit report writing.

<table>
<thead>
<tr>
<th>Producer Size (# of Workers)</th>
<th>Full Audit Duration (Man-Days)</th>
<th>Minimum Worker Interviews (# of Workers)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-35 (SPA only)</td>
<td>1</td>
<td>1-5</td>
</tr>
<tr>
<td>1-50</td>
<td>1.5</td>
<td>5-10</td>
</tr>
<tr>
<td>51-100</td>
<td>2</td>
<td>10-15</td>
</tr>
<tr>
<td>101-250</td>
<td>3</td>
<td>15-20</td>
</tr>
<tr>
<td>251-550</td>
<td>3.5</td>
<td>20-25</td>
</tr>
<tr>
<td>551-800</td>
<td>4</td>
<td>25-30</td>
</tr>
<tr>
<td>801-1,200</td>
<td>4.5</td>
<td>30-35</td>
</tr>
<tr>
<td>1,201 +</td>
<td>5</td>
<td>&gt; 35</td>
</tr>
</tbody>
</table>

Table 3: Minimum duration of an amfori BSCI 2.0 full audit

In the case of multi-tier audits (e.g. one packing house and several farms), amfori BSCI recommends calculating the man-days for each farm as separate units.

Let's think of a hypothetical situation where the main auditee has 120 workers and each farm has between 5 and 500 workers. A sample of three out of ten farms has been selected, all farms within walking distance from each other and the main auditee.

The table below is an example of how to calculate the length of an audit.
EXAMPLE:

<table>
<thead>
<tr>
<th>Producer Size (# of Workers)</th>
<th>Full Audit Duration (Man-Days)</th>
<th>Worker Interviews (# of Workers)</th>
<th>Reporting Time (Man-Days)</th>
<th>Travel Time</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main Auditee</td>
<td>120</td>
<td>2.5</td>
<td>18</td>
<td>0.5</td>
</tr>
<tr>
<td>Sampled Farms:</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Farm A</td>
<td>5</td>
<td>0.5</td>
<td>5</td>
<td>0.5</td>
</tr>
<tr>
<td>Farm B</td>
<td>200</td>
<td>2.5</td>
<td>15</td>
<td>0.5</td>
</tr>
<tr>
<td>Farm C</td>
<td>37</td>
<td>1</td>
<td>8</td>
<td>0.5</td>
</tr>
<tr>
<td>Subtotal for Farms</td>
<td>242</td>
<td>4</td>
<td>28</td>
<td>1.5</td>
</tr>
<tr>
<td>TOTAL</td>
<td>6.5</td>
<td>46</td>
<td>2</td>
<td></td>
</tr>
</tbody>
</table>

Using the overall number of workers as a man-day reference (e.g. in this case total number of workers equal 362, therefore total 3.5 man-days and number of worker interview 25) may compromise the audit result, as it may undermine the fact that each sampled farm has new set of documents, management and workers to be taken into consideration.

Therefore, using the table above as a reference, auditing companies will make a proposal to be negotiated between the main auditee, the RSP holder, and themselves.

This initial calculation is presented to both RSP holder and main auditee to assess whether or not economies of scale can be identified.

amfori BSCI does not interfere in these negotiations. However, it expects these negotiations will lead to responsible and realistic solutions that do not compromise the quality of the audit.

Follow-up Audit Duration

The table below shows the minimum duration for a follow-up audit. In this case, the duration depends on the number of workers and the number of PAs with findings in the previous audit. It includes 0.5 day for audit report writing.

The number of interviews does not get reduced in the follow-up audit. When a SPA follow-up audit is conducted by means of desk-review, the duration will be 0.5 man-day (see Annex 12: How to assess a small producer).
## Number of PAs with Findings in Previous Audit

<table>
<thead>
<tr>
<th>Producer Size (# of Workers)</th>
<th>Interview (# of Workers)</th>
<th>1 to 4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
<th>10</th>
<th>11</th>
<th>12 + = Full Audit Duration</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-35</td>
<td>1-5</td>
<td>1*</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>36-50</td>
<td>5-10</td>
<td>1</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
</tr>
<tr>
<td>51-100</td>
<td>10-15</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>2</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>101-250</td>
<td>15-20</td>
<td>1.5</td>
<td>1.5</td>
<td>1.5</td>
<td>2</td>
<td>2</td>
<td>2.5</td>
<td>2.5</td>
<td>2.5</td>
<td>3</td>
</tr>
<tr>
<td>251-550</td>
<td>20-25</td>
<td>1.5</td>
<td>1.5</td>
<td>2</td>
<td>2</td>
<td>2.5</td>
<td>2.5</td>
<td>3</td>
<td>3</td>
<td>3.5</td>
</tr>
<tr>
<td>551-800</td>
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*Table 4: Minimum duration of an amfori BSCI 2.0 follow-up audit*

### Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Part III, Chapter 2: Content of the amfori BSCI audit report
CHAPTER 11: HOW AMFORI BSCI PARTICIPANTS CAN PREPARE FOR THE AMFORI BSCI AUDIT

Before an audit takes place, amfori BSCI participants should do the following:

- **Gather** the information needed to define the type of monitoring approach
- **Request** that the producer signs the amfori BSCI Code of Conduct and relevant Terms of Implementation
- **Agree** on who will pay for the amfori BSCI audit
- **Allocate** budget for specific capacity-building activities both for their own business and for their business partners
- **Allocate** budget and responsibilities for the immediate reaction to zero tolerance alerts

**Access to up-to-date information:** amfori BSCI participants shall ensure that their business partners, particularly those that are going to be monitored (e.g. producers), have regular access to up-to-date information on the audit process.

There are several ways to do this successfully:

- **Assess** who is the right intermediary and provide him or her with the relevant information regularly. amfori BSCI participants will need to develop simplified fliers or tools for people in charge of sourcing, so they have quick access to the key messages to convey to new or existing producers in the supply chain.
- **Provide** producers access to the different amfori BSCI tools available to them, including:
  - **amfori BSCI platform:** Provides producers access to audit reports and remediation plans
  - **amfori Academy:** Provides producers access to relevant courses free of charge

**Assess leverage:** amfori BSCI participants may anticipate the leverage they have with their producers by accessing information in the amfori BSCI platform on the number of other amfori BSCI participants linked to the same producers.

**Voluntary disclosure:** amfori BSCI participants can opt for voluntary disclosure in the amfori BSCI platform, enabling amfori BSCI participants linked to the same producer to see each other’s names. This feature facilitates trust and transparent dialogue between peers.

**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- [Part II, Chapter 2: Deciding on the type of monitoring](#)
- [Annex 14: How to integrate gender equality in the due diligence strategy](#)
CHAPTER 12: HOW AUDITING COMPANY SCHEME MANAGERS CAN PREPARE FOR THE AMFORI BSCI AUDIT

In most cases, a scheme manager from an approved auditing company is responsible for managing amfori BSCI audit requests and scheduling through the amfori BSCI platform.

Prior to scheduling an audit, the scheme manager needs to verify that the audit request is in line with the guidelines of the amfori BSCI System Manual and accurate in terms of:

- **Environment**: If the environment selected is incorrect, scheme managers are expected to advise the RSP holder accordingly (e.g. a SPA has been required for a producer without small producer self-declaration);
- **Audit validity**: If the audit request is not consistent with the amfori BSCI audit cycle, scheme managers are expected to advise the RSP holder accordingly (e.g. the RSP holder requests a follow up audit in a producer that has exceeded the audit cycle and therefore needs a full audit).

The scheme manager may also be responsible for the selection of appropriate auditors (whether a single auditor or a team of auditors). The sector and the region will guide the scheme manager to select the best auditors who:

- Master at least one of the local languages and the languages that a great portion of migrant workers may use (if applicable)
- Understand the sector, applicable legislation and specific social risks
- Are sensitive to potential vulnerabilities (e.g. unprotected minorities) and know how to navigate them.

When building effective auditing teams, the scheme manager will be sensitive to gender balance in the team that fits for the structure of the auditee.

**Financial implications**: Scheme managers will consider that allocated time and manpower to conduct an audit will have financial implications on the party paying for it.

The scheme manager will communicate to the RSP holder any reasoning that could justify increasing number of auditors, extension of travelling time or additional off-site interviews.
Using the amfori BSCI platform: Scheme managers are often responsible for uploading information on the amfori BSCI platform. The amfori BSCI Auditing Framework Contract and amfori IT Platform Terms of Use, define how auditing companies manage information:

- Use only the amfori BSCI platform to communicate the results of their audits
- Ensure that data submitted through the amfori BSCI platform are accurate and current as of the date of submission and to the best of their knowledge
- Use information accessed in the amfori BSCI platform only to audit factories and farms in the supply chain of amfori BSCI Participants
- Treat all information in the amfori BSCI platform as business confidential and do not disclose it outside the amfori BSCI platform

Ready to learn more?
Here are some other resources that will help you to dive deeper:

- Part II, Chapter 2: Deciding on the type of monitoring
- Part II, Chapter 6: The amfori BSCI audit cycle
- Annex 14: How to integrate gender equality in the due diligence strategy

Notes:
CHAPTER 13: HOW INDIVIDUAL AUDITORS CAN PREPARE FOR THE AMFORI BSCI AUDIT

amfori BSCI auditors should take any steps needed to understand the auditee’s situation. At a minimum, an auditor should understand the following aspects:

- **Geography**: An auditor should take into consideration the geography of the producer’s area. Geography is relevant to organising logistics as well as to understanding the workers’ reality. For example, the auditor should verify the way workers commute to work, the distance to schools, and the distance to hospitals and/or other regular administrative offices (e.g. banks).

- **Peculiarities**: An auditor should gain an understanding of possible gender issues, the social hierarchy, migration issues, the use of homeworkers or youth, and relevant local authorities. These peculiarities should never catch the auditor by surprise.

- **Legislation**: An auditor should review specific, relevant legislation. In some cases, local rules and regulations may embed particularities that will impact the way an auditor is going to employ his or her professional judgement.

- **Remuneration**: An auditor should pre-calculate fair remuneration as accurately as possible, based on the region and sector.

- **Sector**: An auditor should gain a good understanding of the sector of the auditee and its peculiarities. This includes, but it is not limited to:
  - Understanding the production structure
  - Verifying the existence of specific trade unions
  - Verifying the existence of specific collective bargaining agreements
  - Learning if there are differences in the way remuneration is granted
  - Verifying if there is specific legislation that applies (e.g. for agriculture or for cooperatives)

**Have all relevant documents upfront**: The auditor shall take the measures necessary to gather all relevant documents prior to conducting an amfori BSCI 2.0 audit. This includes, but is not limited to:

- Access to the amfori BSCI audit report in the amfori BSCI platform or offline
- A copy of the signed version of the amfori BSCI Code of Conduct with the Terms of Implementation to verify the auditee’s involvement in the amfori BSCI monitoring process
- A copy of the remediation plan template (or the link to be shared with the auditee if needed)
- When relevant:
  - A copy of the small producer self-declaration (see Annex 12 How to assess a small producer)
  - A copy of the remediation plan provided by the auditee in the amfori BSCI platform (see Template 9: Remediation Plan)

**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Part III, Chapter 2: Content of the amfori BSCI audit report
- Annex 9: How to promote fair remuneration
- Annex 14: How to integrate gender equality in the due diligence strategy
CHAPTER 14: IMPLEMENTING THE AMFORI BSCI AUDIT

All amfori BSCI audits are to be implemented following a standard of quality, due diligence, and practical wisdom.

Practical Wisdom and Professional Judgement: amfori BSCI auditors are expected to incorporate the use of two key concepts into all audits: practical wisdom and professional judgement.

- **Use practical wisdom:** Within the amfori BSCI 2.0 methodology, auditors are requested to use practical wisdom, i.e. to make informed and rationale judgments without a black and white decision procedure. amfori BSCI audit questionnaires are there to guide auditors in the assessment. However, findings need to be formulated by considering the evidence collected throughout the audit and across PAs. To that aim, amfori BSCI auditors shall interpret rules and principles as well as unspoken or informal signals in light of the specificities of the auditee. Practical wisdom implies that auditors are able to:

  - **Contextualise:** Auditors should be able to put the reality they are assessing into context. E.g. what social or cultural rules impact on worker-management communication? How do OHS rules apply to farming operations?
  
  - **Empathise:** Auditors should be able to take the perspective of other and understand how the situation is perceived from their side e.g. why women worker may prefer talking to a female auditor?
  
  - **Balance:** Auditors should be able to be receptive to conflicting interests without compromising their neutrality e.g. what if workers prefer being paid gross salary without Social Security contributions being deducted?

- **Use professional judgement:** Auditors are expected to use their professional judgement in connecting facts and information with the different values and principles of the amfori BSCI Code of Conduct. The auditor will analyse the interconnection between certain business practices and the PAs (e.g. Limiting access to grievance mechanism as a business practice may most likely have negative repercussions in PAs such as special protection for young workers; Occupational Health and Safety; No discrimination; No precarious employment and Unethical business behaviour). amfori expects auditors to use their professional judgement to make these connections. Professional judgement also helps auditors to decide whether the information gathered qualifies as satisfactory evidence or just information to keep in mind but not necessary an evidence.

The six key steps in the amfori BSCI audit

**STEP 1: Arrive and introduce the team.** The auditor, or group of auditors, will introduce themselves (lead auditor will introduce his/her team), show their credentials, and briefly explain the reason for their visit. When relevant, the auditor will need to inform the auditee of the consequences of denying access.

**STEP 2: Conduct an opening meeting.** The opening meeting will occur in the place defined by the auditee. It can be in a meeting room or outdoors when the audit is conducted on farms. This meeting sets the scene and helps create a collaborative and open dialogue-based approach. The auditor will take this opportunity to:
- Explain the sequence and purpose of the amfori BSCI audit
- Introduce him or herself, the team of auditors if applicable, and the most relevant competence and accreditation
- Explain the auditing company’s anti-bribery policy and its consequences (auditee’s signature on this document is required)
- Gather information on the people present at the opening meeting (e.g. managers and their functions, workers’ representative, and legal counsel)
- Explain and adjust (if necessary) the audit planning (for example: definition of farms to be audited as part of the sample, if they are part of the audit scope)
- Request the bulk of documents that will be initially verified (e.g. contracts, payrolls etc)

STEP 3: Collect evidence. The auditor collects evidence on the auditee’s social performance through documentation, site observation and interviews. These three types of evidence collected will be reported accordingly in the audit report under the following inscriptions:

- **DO**: DO means document verification;
- **SO**: SO means site observation, which includes visiting and analysing the production facilities, units and farms if applicable;
- **MI**: MI means management interview and includes information gathered from interviews with all relevant managers;
- **WI**: WI means workers’ interview and includes information gathered from all workers (seasonal or permanent) that have been interviewed; and
- **WRI**: WRI means workers’ representative interview and includes information gathered from workers’ representatives.

STEP 4: Complete the relevant social performance questionnaire. Based on his/her professional judgement, the auditor will complete the relevant social performance questionnaire for the main auditee and if applicable the questionnaires for each sampled farm. The questions help the auditor to cross-check if he or she has reached ‘satisfactory evidence’ with regard to the auditee’s social performance. Key terms to understand include:

- **Satisfactory evidence**: This refers to a comfortable level of facts and/or information that allows the auditor to reach a conclusion
- **Sufficient evidence**: This is the minimum evidence required to prove a fact (e.g. certificate of potable water).

The amfori BSCI audit questionnaire formulates the questions asking the auditor for satisfactory evidence. This is because we want to encourage auditors to have a wider level of comfort (than just sufficient evidence) on how certain business practices ultimately contribute to workers’ rights protection.

For example, instead of limiting to sufficient evidence (the producer has shown a valid certificate of potable water) amfori auditors will aim at seeking for satisfactory evidence (the producer may have a certificate or other proofs that water is suitable for human consumption; potable water is always available to workers; drinking recipients available, clean and free of contamination vectors).

Certainly, this level of comfort cannot be achieved if auditors answer the questions automatically. At the contrary amfori BSCI audit questionnaire requires auditors a rigorous analysis of the situation prior to answering the questions.
STEP 5: Generate the finding report: The findings report describes auditee’s good practice as well as areas for improvement to progress in the implementation of the amfori BSCI Code of Conduct.

When the audit has included sampled farms as part of the scope, the findings report consolidates the findings and good practices at both the main auditee and the sampled farms.

When it comes to writing the findings, auditors should respect the following approach and explain:

- **The way his or her judgement was built:** Description of the reasoning followed and how workers’ protection was taken into consideration

- **The satisfactory evidence and relevant findings:** Description of the body of facts and information and consequent findings

- **Considerations and consequent observations:** Description of those observations that may not qualify as findings but are relevant as part of the body of information.

STEP 6: Conduct a closing meeting. The closing meeting will occur at the end of the audit in the place defined by the auditee for this purpose. It can be in a meeting room or outdoors. This meeting is vital to maintain the collaborative environment created through the course of the audit and obtain any needed clarification. The auditor will take this opportunity to:

- **Comment** on the sequence identified through the course of amfori BSCI audit. He or she will thank the producer for being collaborative, providing access to documents, and allowing pictures to be taken. He or she may use the opportunity to inform the auditee about some of the issues discovered during the audit.

- **Brief** the auditee on how professional judgement is based upon a combination of facts and information. The auditor should explain that interviews with workers are just one of the many sources of information that contribute to the judgment in order to avoid pressure on workers.

- **Brief** the auditee on the way the amfori BSCI rating is automatically calculated by an online, computerized system and is out of the auditor’s control.

- **Explain** the good practices identified during the audit.

- **Explain** findings and observations, with brief explanations on why the observations represent a potential risk for the auditee and its clients. The auditor should provide the big picture instead of just referring to what the amfori BSCI Code of conduct says.

- **Remind** the auditee of the 60 working-days deadline for submitting the remediation plan through the amfori BSCI platform.

- **Provide** a copy of the remediation plan template.

- **Provide** feedback on next steps with regards to the remediation plan, submission of the audit report in the amfori BSCI platform, etc.

- **Request** that the management and workers’ representative sign the finding report. Inform the auditee that a signature does not represent acceptance of the content, but just acknowledges that the audit has been conducted without irregularities.
- **Remain** open to questions and clarifications.

**Ways the amfori BSCI audit can be compromised**

Implementation of an amfori BSCI audit can be compromised in the following ways:

- **Aborted**: The audit is organized and scheduled through the amfori BSCI platform, but it does not occur. In this case, the audit report only includes general information, but no evaluation of the PAs. The auditor submits the audit report and indicates that the audit was ‘Aborted’ (under ‘Audit Interferences’), and he/she provides details to justify that choice. The audit will not receive a rating, and it will be displayed as ‘Aborted’ in the amfori BSCI platform.

- **Access denied**: The auditee does not allow the auditor to access the site. In this case, the auditor selects ‘Access Denied’ (under ‘Audit Interferences’), and he/she provides details to justify that choice. This causes the amfori BSCI platform to automatically assign the audit an ‘E’ rating.

- **Partially conducted**: The audit is conducted, but interrupted, which prevents the auditor from finishing the evaluation. In this case, the auditor selects ‘Partially Conducted’ (under ‘Audit Interferences’), and he/she provides details to justify that choice. The auditor answers NO to all PAs that were not evaluated, and the amfori BSCI platform automatically calculates the corresponding overall rating for the audit.

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### Ready to learn more?

Here are some other resources that will help you to dive deeper:

- **Part III, Chapter 2: How to draft and read the findings report**

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**Notes:**
CHAPTER 15: THE REMEDIATION PLAN

When problems are identified by an assessment, audit, workshop, or pilot project, a producer can develop a remediation plan that suggests feasible solutions and steps to correcting identified problems.

A producer can create a remediation plan in the amfori BSCI platform at any time it becomes aware of the need for improvements in its business.

In addition to an audit, the producer can learn of improvements needed through:

- **An assessment**: This does not need to be a formal amfori BSCI audit. It can be issued by a different system.

- **A workshop that one of its employees has attended**: This does not have to be through the amfori BSCI platform. It may have been offered by other relevant means.

- **A pilot project the producer is involved in**: The project does not have to take place under amfori BSCI. It may be offered by a different entity.

To draft a remediation plan, a producer can use:

- The remediation plan available on the amfori BSCI platform under the producer profile
- The remediation plan template provided in the amfori BSCI System Manual
- Any other appropriate template preferred by the producer

**Seven steps to creating a remediation plan**

When drafting a remediation plan, the producer should follow these seven steps:

- **STEP 1 – Analysis**: Review the audit report or the results of the assessment that has triggered the need for remediation

- **STEP 2 – Root cause**: Identify the origin of the conduct(s) that has been causing the breach

- **STEP 3 – Solutions**: Identify feasible solutions (distinguish between short-term and long-term solutions)

- **STEP 4 – Responsibility**: Identify a person(s) responsible for the implementation process

- **STEP 5 – Budget**: Allocate a realistic budget

- **STEP 6 – Strategy**: Define and adhere to the implementation steps

- **STEP 7 – Monitor**: Establish a strategy to monitor improvements and adjust approach if necessary

**Response to a findings report**: After an amfori BSCI audit, producers should develop a remediation plan in response to the findings report issued by the auditor and share it with linked participants in the amfori BSCI platform.

- **Timeline**: The auditee is granted 60 working days to draft and submit the final remediation plan in the amfori BSCI platform. If the auditee has faced difficulties in submitting the document in the amfori BSCI platform, he or she should try to share the remediation plan by other means to
the RSP holder and, at the latest, to the auditor that is going to conduct the follow-up audit as part of the preparation process before it takes place.

- **Missing the timeline**: Not submitting the remediation plan does not prevent nor delay the amfori BSCI follow up that verifies the degree of the improvements implemented. In absence of a remediation plan issued by the producer, the amfori BSCI follow-up audit will be scheduled within the timeframe defined in the findings report, and the auditor will use the findings report as point of reference.

### Ready to learn more?

Here are some other resources that will help you to dive deeper:

- [Template 9: Remediation Plan](#)
- [Template 14: Capacity Building Plan in the amfori Academy](#)
- [Annex 13: How to promote capacity building](#)

### Notes:

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CHAPTER 16: FOLLOW UP AND CONTINUOUS IMPROVEMENT

Continuous improvement is a core value of the amfori BSCI system. amfori BSCI participants expect their producers to continuously show improvements in the way their businesses respect human and labour rights at their premises and throughout their supply chains.

amfori BSCI participants are encouraged to support their producers to:

- Remediate findings in the short and long term
- Make necessary long-lasting changes
- Integrate the amfori BSCI Code of Conduct into their business culture

Balancing autonomy and responsibility: amfori BSCI relies on a balanced combination of autonomy and responsibility to guide the relationships between amfori BSCI participants and their producers. The goal is for participants to support producers’ progress and continuous improvement while allow in them to take ownership of their own business responsibilities.

Two key concepts are relevant here:

- **Autonomy:** It refers to a producer’s aptitude after an assessment to take their own decisions toward handling their improvement process. Producers are offered specific trainings and support to overcome any identified shortcomings, including zero tolerance issues. In addition, producers are encouraged to proactively utilize any other available learning resource in a self-motivated manner. Furthermore, producers with an overall rating “A” (Very Good) and “B” (Good) are excepted have the level of maturity that allows them to independently design and maintain their continuous improvement process without the need for an amfori follow-up audit.

- **Responsibility:** For producers with an audit rating equal to or below ‘C’ (Acceptable), an amfori BSCI follow-up audit should be conducted within 12 months of the previous amfori BSCI audit date. If this deadline is missed, an amfori BSCI full audit will need to be requested to maintain the producer within a valid audit cycle.

Circumstances where verification of progress (including amfori BSCI follow audit) may be pursued in an early stage:

amfori BSCI follow up audit usually occurs within 12-month from previous amfori BSCI audit. At the same time, there may be circumstance where amfori BSCI participants may see the need to scheduling a follow up audit in an early stage. This can take the form of an amfori BSCI follow up audit or a different agreed mean. Here some examples:

- **Auditee seeks proactively to get a follow up:** The auditee may have identified how to do the necessary improvements in a brief period of time and it is eager that those improvements are verified by a third party and have a positive impact in its rating.

- **amfori BSCI participant (RSP holder) is proactive:** Experience shows that attentive follow up may be required to encourage the short-, medium- and long-term changes needed to embed the amfori BSCI Code of Conduct in the business. Based on this experience, amfori BSCI participants may seek for early follow up, for example in the following scenarios:

  - **Zero tolerance labelled producer:** The ad-hoc remediation group may agree on the need to conduct an amfori BSCI follow-up audit in a very short period after initial
remediation has presumably taken place to validate progress and move forward towards medium-term improvements.

- **Lack of remediation plan submission:** There may be technical reasons why a producer does not submit a remediation plan in the amfori BSCI platform. However, respect for the timeline is an indicator of the auditee's willingness and interest to improve. Failing to respect the 60-day deadline to submit remediation plan may be an indicator of disregard or lack of interest to improve. Based on this experience, amfori BSCI participants may schedule an amfori BSCI follow up to reactivate producers' interest.

- **Escalation, emergency, or grievances cases:** All these cases represent scenarios where amfori BSCI participants, in collaboration and with the support of the amfori Secretariat, might decide to urgently conduct a third-party assessment (e.g. Special investigation) regardless of the amfori BSCI audit's standard process.

### Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Annex 5: How to follow the Zero Tolerance protocol
- Template 9: Remediation Plan
- Part II, Chapter 6: The amfori BSCI audit cycle

### Notes:

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This part of the amfori BSCI System Manual provides participants and auditors support in the interpretation of the questions of the amfori BSCI audit questionnaire.

Producers that sign the amfori BSCI Code of Conduct commit to respecting human rights in their business activities. If a producer has made this commitment, it is most likely because at least one of its clients is an amfori BSCI participant or sells to an amfori BSCI participant.

This business relationship will lead the related amfori BSCI participant to request their producers to:

- Sign the amfori BSCI Code of Conduct and Terms of Implementation
- Embed the amfori BSCI Code of Conduct in its business operations
- Be audited and take necessary actions to ensure continuous improvement and address possible human rights violations

Auditors are essential stakeholders to gather information that incentivizes constructive dialogue and triggers continuous improvements through the supply chains.
CHAPTER 1: STRUCTURE OF THE AMFORI AUDIT REPORTS

These are the three types of amfori BSCI audit reports:

- **One-site audit**: an amfori BSCI 2.0 audit report on one main auditee
- **Multi-tier audit**: an amfori BSCI 2.0 audit report on one main auditee and findings reports for each of the sampled farms
- **Small Producer**: an amfori BSCI Small Producer Assessment report (SPA) for one main auditee.

These reports are generated automatically through the [amfori BSCI platform](#) to serve the related audit previously requested through the platform. Auditors can be either filled out the audit report directly online in the amfori BSCI platform or filled out as exported Excel.

Once the audit report is submitted through the amfori BSCI platform, it can no longer be modified.

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*Table 1: The amfori BSCI audit report structure*
CHAPTER 2: CONTENT OF THE AMFORI BSCI AUDIT REPORT

Cover page

The auditor uses this section of the amfori BSCI audit report to collect auditee’s basic information. This includes:

- Contact details for this auditee
- Auditing company and auditor(s)
- Audit rating (overall rating and rating per PA)

General information

The auditor uses this section to provide an overview of audit methodology, audit duration and executive summary.

Audit scope and methodology: Information in this module is automatically generated by the amfori BSCI Platform based on the audit request, with the exception of the Zero Tolerance label (see Annex 5 How to follow the Zero Tolerance protocol).

This section is also used for the auditor to report any audit interference or contingencies that may have occurred during the audit (e.g. the auditee did not allow the auditor to take pictures in some instances.)

Audit duration: The auditor reports the number of workers indicated by the auditee, which is taken as the reference to define the duration of the audit.

If the number of workers at the time of the audit substantially differs from the number confirmed during the audit scheduling, the auditor maybe facing a case of misrepresentation that he or she needs to investigate and report accordingly (see Zero tolerance protocol).

The auditor is expected to report such a discrepancy under “Executive Summary”, but he or she will not adjust the audit duration to the new number of workers (e.g. staying for additional time) as this can represent a conflict of interest.

When this discrepancy of number of workers is identified during a SPA and the discrepancy is such that the producer does no longer qualify as a small producer, the auditor shall trigger a zero tolerance alert on misrepresentation.

Executive summary of the audit report: The auditor must always fill out this field to provide an overview of the audit. If the auditor has found a substantial among of satisfactory evidence that anticipates a very good rating (e.g. A), the auditor is expected to use the executive summary to provide detail explanation on the good practices that could justify such a rating.

As a minimum, it will contain the following information:

- Producer information
  - Legal entity: The auditor will provide an overview of main auditee’s company structure (e.g. company or cooperative) and sample farms or cooperative members (e.g. name, organizational structure, physical address, office address, business license number).
  - Facilities: The auditor will describe auditee’s facilities and sampled farms (when relevant). It is also imperative that the auditor describes the building and the floor where the factory is located when that is the case.
o **Business license**: The auditor will report whether or not the business license assessed during the audit is valid and corresponds to the auditee.

- **Circumstances**: Overall description of the different circumstances faced during the audit. The auditor will indicate any circumstances that affected the normal course of the assessment. E.g. producer’s collaborative or uncollaborative behaviour; normal or unnormal levels of production; normal or unnormal workforce composition if compared with the norm in the region.

- **Summary of findings**: The auditor will summarize his or her professional judgment and an overview of the audit results for main auditee and farms, if applicable.

The summary of findings will follow the above logic for all producers, including A rated audits.

### Business license verification

Prior and during the audit, the auditor will review validity and scope of the business license. Attention is to be paid to:

- Compliance with local law
- Exactness of address
- Correspondence between declared and actual number of business units.

Faults in the business license will be reported in the executive summary and relevant findings will be captured under [PA 1 Social Management Systems and Cascade Effect](#), [PA 7 Occupational Health and Safety](#) and [PA 13 Ethical Business Behaviour](#).

In case of flagrant misrepresentation, the auditor will report Zero Tolerance (see [Annex 5](#)).

### Executive summary of confidential comments:

The auditor uses this field to report any additional comment which, due to its nature, needs to be kept confidential. This is the case when the auditor has suspicion of violations that could not be substantiated during the audit e.g. suspicion of unionised workers being harassed.

Auditors must assess the best way to report their suspicions responsibly and in a way that does not put workers at risk. For example, auditors will not disclose witnesses’ identities nor will made accusations that may represent a defamation of the auditee.

In case of possible human rights’ violations, the auditor will take best efforts to investigate the issue and report it using the Zero Tolerance Protocol.

### Ready to learn more?

Here are some other resources that will help you to dive deeper:

- [Annex 5: How to follow the Zero Tolerance protocol](#)
- [Part II, Chapter 2: Deciding on the type of audit](#)
- [Part II, Chapter 7: Scope of the amfori BSCI audit](#)
- [Part II, Chapter 10: Duration of the amfori BSCI audit](#)
- [Part II, Chapter 14: implementing the amfori BSCI audit](#)
Audit data evidence

The auditor uses this section to gather data evidence from the auditee.

**Auditee’s background information**: The auditor shall validate the information provided by the auditee in the preparatory steps.

- **Valid certificates**: the auditor should fill in this information by creating as many lines as necessary in the audit report. Special attention shall be given to the validity of social and environmental sustainability certificates (e.g. GLOBALGAP).
- **Sector, industry**: the auditor will edit these two fields using the drop-down list, if the information provided in the report is not correct. Both fields are mandatory.
- **Product group**: the auditor will edit this field using the drop-down list, if the information provided in the report is not correct. This field is mandatory.
- **Product type**: the auditor may report any relevant product type ensuring they are spelled correctly, separated by commas. This field is voluntary.

**Auditee’s business activities**: The auditor shall record general external information that concerns the auditee (e.g. legal minimum wage) and compare it with the specific practices of the auditee.

The auditor uses the appropriate fields to describe:

- Samples of workers whose working time is verified at the time of the audit
- Specific situations that led to overtime in the six months prior to the audit
- Any accident that occurred in the six months prior to the audit
- Specific information on the workers representative

**Auditee’s production structure**: The auditor shall fill in with validated information concerning working hours, work at night and shifts, when applicable.

**Auditee’s production calendar**: The auditor shall fill in with validated the information provided by the auditee concerning the level of production.

**Auditee’s social performance management**: The auditor shall fill in with validated information on the names of the staff in charge of different areas related to social compliance performance. Information on other relevant issues (e.g. high-risk production techniques) is also reported here.

**Auditee’s employment structure**: The auditor shall provide the most accurate information on the workforce at the time of the audit, to the best of his/her knowledge. This figure may not correspond to the number of workers reported by the auditee when the audit was originally scheduled. (See Audit duration)

**Housing (if applicable)**: The auditor shall describe the housing facilities provided by the auditee. Housing may be provided directly or indirectly by the auditee (e.g. the auditee has a housing arrangement with a different person/legal entity).

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**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- [Annex 2: How to classify sectors and related auditor competence clusters](#)
- [Annex 8: How to quickly assess other monitoring systems](#)
**Fair remuneration quick scan**

**This section does not apply to Small Producers**

Prior to the audit, the auditor shall have a good command of amfori BSCI definitions provided in Annex 9 How to promote fair remuneration. He or she will calculate living wages in the region using most common living wages calculations methods. He or she may need to consult sources about regional contexts such as:

- Government data (statistics, community development departments)
- Local or international NGOs working in the area and addressing the sector
- Community groups who may have answers to some of these questions

The auditor shall fill in this section with information provided by the auditee. He or she will not assess the veracity of the figures, but the auditee’s ability to provide consistent information on living costs relevant to its workforce.

The auditor is asked to evaluate the level of understanding that management and workers have about:

- Living costs of the workforce in the region
- Possible gaps existing between the actual remuneration and the fair remuneration figure
- Identifying potential actions to fill the gap

The auditor shall not aim at comparing his/her regional calculation with the information provided by the auditee as the later refers to the specific situation of the auditee.

**Good practices**: The auditor shall acknowledge, under “Good practices” in the findings report, if the auditee provides this information including the calculation of fair remuneration.

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**Ready to learn more?**
Here are some other resources that will help you to dive deeper:

- Template 5: Fair Remuneration Quick Scan
- Annex 9: How to promote fair remuneration
- Performance area 5: Fair remuneration.

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**Young workers data**

**This section does not apply to Small Producers**

The auditor uses this section to collect information on the young workers who are part of the auditee’s workforce. These workers may have been engaged by the auditee either directly or indirectly. Furthermore, the auditor shall interview 10% of identified young workers (minimum 2, maximum 10) with particular attention given to their access to training on:

- Special occupational health and safety protection
- Access to grievance mechanism

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**Ready to learn more?**
Here are some other resources that will help you to dive deeper:

- Template 7: Young Workers’ Data
- Performance area 9 : Special protection of young workers.
Grievance mechanism

This section does not apply to Small Producers

The auditor shall use this section to collect information on the grievances lodged through the auditee’s grievance mechanism or through external grievance mechanism but related to the auditee. Furthermore, the auditor shall describe the different steps that the auditee follows to investigate and remediate the grievances. This description will help the auditor to develop his or her judgement of the grievance mechanism effectiveness.

Supply chain mapping

The auditor shall use this section to collect information on the auditee’s significant business partners. Business partners do not need to be named but they need to be acknowledged at least with an identification number. The number can be provided by either the auditee or the auditor to preserve business confidentiality.

Different types of business partners can be selected under the column title: “Type of business partners”. If a type of business partner is not included in the list, the auditor shall select “others (please specify)” and specify the type of business partner in the next column.

Significance for the auditee: The auditor will fill in this information based on the information provided by the auditee on business relations, volume, dependency and/or risks.

The following business partners must always be reported, if used by the auditee:

- Recruitment agencies or brokers
- Internally monitored farms:
  -Owned or contracted by the auditee
  -Owned by cooperative members

Signed amfori BSCI Code of Conduct: The auditor shall verify and report if the business partner has signed the amfori BSCI Code with related Terms of Implementation. This evidence shall be collected from auditee records and, if possible, verified with the related business partner.
Included in the sampled business partners: The auditor shall note in this column the farms that he/she has selected to be audited. The auditor shall select farms only from those internally monitored by the auditee. When the auditor selects this option, an audit questionnaire per sampled farms is generated. This column is not to be used if the scope of the audit does not include sampled farms.

Stakeholders mapping

This section does not apply to Small Producers

The auditor uses this section to collect information on the stakeholders that the auditee has identified as relevant to its business.

Stakeholders can be internal (e.g. workers and trade unions) or external (e.g. investors, governments and NGOs). Particular attention shall be paid to verify if the auditee has identified stakeholders for relevant topics. These are the most common topics for which the auditee may engage with stakeholders:

- Training
- Freedom of association
- Special protection given to vulnerable workers and human right violation victims
- Fight against child labour
- Grievance mechanism
- Anti-corruption

These topics apply for both internal and external stakeholders.

Good practices: The auditee has access to the amfori BSCI Template Stakeholders Mapping prior to the audit. The auditor shall acknowledge, under “Good practices” in the Findings Report, that the auditee has provided this information and has mapped its relevant stakeholders.

Interview evidence

Interviews serve as individual sources as well as to validate or back up other sources of information (e.g. auditee documents).

The auditor uses this section to report:

- The interview sample
- The interview methods
- The findings gathered through interviews

The auditor shall report the interview evidence for both the main auditee as well as interviews at the sampled farms, when applicable.

Auditors must interview:
Management: Particularly managers in charge of Human Resources and Occupational Health and Safety (OHS)

- **Workers representative(s)**
- **Internal auditors**: If the audit includes sampled farms
- **Workers**: particularly:
  - Young workers or apprentices
  - Workers’ committee spokesperson
  - Seasonal and/or subcontracted workers
  - Women
  - Night shift workers
  - Migrants

They may also include:

- Trade union representatives
- Relevant external stakeholders

Interviewing management: Auditors may have the first contact with management either during the preparation of the audit or during the opening meeting, the day of the audit.

Interviews with different managers should be conducted in open and constructive dialogue. The auditor shall use interviews to gather substantial information that will allow him or her to build its professional judgement on the auditee’s social performance. These are the minimum information that auditors will seek to get a solid overview on:

- the organisational chart, division of responsibilities and reporting channels
- drafting and implementing policies and procedures (both procedure and responsibilities)
- hiring practices and workforce retention and protection (including workers’ and management’s trainings)
- latest investments to improve OHS and productivity
- different business partners and how the company selects them and monitors their social performance
- work accident protocol and responsibilities
- grievance mechanism procedure and responsibilities
- understanding of the amfori BSCI Code of Conduct values and principles

Interviewing workers and workers representatives: These interviews are a critical source of information to cross-verify:

- The information gathered through documents or interviews with management
- The effectiveness and safety of the procedures developed by the auditee

Interviews may be the only source of information in case of discrimination, incidents of violence, sexual harassment or illegal disciplinary measures. If this is the case, the auditor shall be extremely vigilant in how to report the findings to avoid adding any risk or problem to the detriment of the interviewee(s).

Auditing companies shall direct their auditors to follow these guidelines to interview workers, to ensure they:

- Conduct interviews in a respectful way
- Build trust with different types of workers
- Are sensitive with gender issues or any disadvantaged individuals
- Select the place for the interview (onsite or offsite)
• Define the format (individual or group)
• Protect interviewees from reprisals
• Are aware of local and cultural contexts

Building trust takes different amounts of time in different cultures. It is the decision of the auditor to determine the duration of an interview, in order to get meaningful results.

Elements of the most positive ways to conduct interviews include:

• **Right setting**: Meeting in a neutral setting where workers feel comfortable
• **Small talk**: Starting with small talk (music, films, sports) to let the worker feel at ease, relaxed and more willing to talk about work subjects
• **Body language**: Paying attention to facial expressions, gestures and attitudes
• **Exploratory**: Asking open-ended questions
• **Comfortable**: Listening carefully and not repeating questions if the worker does not seem to understand or is clearly unwilling or uncomfortable to discuss the subject
• **Sensitive**: Changing the topic when emotions are too intense
• **Neutral**: Resisting to make facial expressions of shock, sadness, frustration or other emotions in reaction to what the worker says
• **No notes**: Avoiding note-taking as workers may feel uncomfortable being recorded
• **Empathy**: Being on the same level as the workers (e.g. sitting on the floor if this is where they are)

**Child labour**: These recommendations particularly apply in case the worker being interviewed is a child found working. In addition, auditors must be particularly vigilant to:

• **Avoid staying alone with the child**: auditors could ask the child to have a sibling or a friend present during the interview
• **Ensure a woman (if possible an auditor) interviews a girl**

**Main auditee**

The auditor evaluates the auditee’s performance against the amfori BSCI Code of Conduct version 1/2014.

Through the questionnaire, the auditor will assess to which extend he or she has satisfactory evidence on the auditee’s social performance. This will help the auditor to build his or her professional judgement and describe the findings accordingly.

**Interpretation guidelines**: Every question in the performance areas is linked to interpretation guidelines. These are available in the Audit Report to support the auditor in his/her evaluation as well as in the subsequent chapters.

**Findings**: In this section the auditor is expected to elaborate:

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**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Part II, Chapter 14: Implementing the amfori BSCI audit
- Performance area 8 No Child Labour
- overall assessment of each performance area
- specific description of the finding or findings related to each question
- main missing implementation element

**Good practices:** If applicable, the auditor also drafts consolidated good practices per performance area. Auditors must always provide description of good practices when producers show a good or very good performance level.

Good practices refer to any practice that is voluntarily provided by the auditee to grant a benefit to workers and/or the community

**Sampled farms (if applicable)**

This section is only to be used in a multi-tier audit where the audit scope includes a main auditee (e.g. packing house) and a number of sampled farms who deliver raw material to that auditee.

**Audit questionnaire:** For each sampled farm a separate questionnaire is generated to assess social performance. The sample can consist of:

- **Farms:** undertakings hiring more than 5 workers. The audit questionnaire mirrors the main auditee questionnaire.
- **Smallholders:** undertakings hiring less than 5 workers. The questionnaire is provided in Template 3.
- **Family Farms:** rely only family work. The questionnaire corresponds to Template 3 but only questions marked with star (*) apply.

When sampled farms are included in the audit, the auditor will assess if the main auditee:

- **Maps:** identifies owned and contracted farms
- **Internally monitors** farms:
  - Prior to the first amfori BSCI audit the main auditee monitors at least 2 owned and/or contracted farms
  - During the first audit cycle the main auditee is encouraged to increase the number of monitored to reach 80% of all farms within 2 years.
- **Cascades:** establishes practices to select farms and to support farm management in adhering to the amfori BSCI principles

**Findings:**

- the Executive Summary of the main auditee report will include the overall assessment of all sampled farms and explain how gaps are related to the management system of the main auditee
- the audit report of each sampled farms will include findings for each question
- the follow up of these findings is responsibility of the main auditee in cooperation with the farms.

**Rating:**

- The rating of the sampled farms does not affect the rating of the main auditee.
- Smallholders and family farms are not rated.
Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Template 3: Small-holder self-assessment
- Part II, Chapter 5: amfori BSCI audit rating system
- Part II, Chapter 14: Implementing the amfori BSCI audit

Notes:
CHAPTER 3: AMFORI BSCI AUDIT INTERPRETATION GUIDELINES

This chapter provides auditors with the interpretation guidelines to conduct an amfori BSCI 2.0 audit.

The questions reported below apply to:

- One site audit (main auditee)
- Multi-tier audit (main auditee and sampled farms with more than 5 workers)

The questions do not directly apply to:

- Business enterprises that meet amfori small producer definition (see Annex 12: How to assess a small producer and Template 12: Small producer self-assessment)
- Smallholder and family farms (see Template 3: Small-holder self-assessment)

Holistic approach: Opposite to conventional approach to audits, the amfori BSCI stresses the need for the auditor to connect the different performance area in order to get his or her professional judgement on the auditee’s overall performance. None of the performance area can be assessed in isolation. They all impact at least three other performance areas. These interconnections allow the auditor to navigate through the different pieces of information and evidence and to reach solid conclusions about the way the auditee performs.

Furthermore, all performance areas are connected to the amfori BSCI Code of Conduct to capture:

- How much does the auditee practices the amfori BSCI Code of Conduct in a way that it produces the desired benefit to workforce and business? E.g. the auditee effectively uses honest communication channels with the workforce.
- How much does the auditee’s practical implementation of the amfori BSCI Code of Conduct aim at avoiding contradiction between principles? E.g. the auditee does not promote a gender policy and at the same time imposes mandatory overtime.

This is what the auditor is requested to assess for each performance area and in the overall assessment of the auditee by means of:

- Effectiveness check
- Coherency check

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Part II, Chapter 3: Six distinctive features of the amfori BSCI auditing system
- Part II, Chapter 14: Implementing the amfori BSCI audit
Performance area 1: Social management systems and cascade effect

1.1. Is there satisfactory evidence that the auditee has set up an effective management system to implement the amfori BSCI Code of Conduct?

This question helps to assess the effectiveness and coherency of auditee's management system.

An effective management system is crucial to ensure that social performance is integrated into the business model. With a management system in place, the auditee can take ownership over the process and continuously improve its business practices towards greater protection of the workforce.

**Effectiveness:** To verify the effectiveness of the management system, the auditor must at least evaluate:

- Does the auditee’s management understand why its own good social performance is important for amfori BSCI participants?
- Does the auditee’s management understand the importance and benefits of having an effective management system and related procedures in place?
- Does the auditee's management show full commitment towards integrating the amfori BSCI Code into the auditee business or organizational culture?
- Has the auditee’s management assigned internal responsibilities to staff with decision-making capacity and financial resources for the development and implementation of social management practices?
- Does the auditee’s management understand the difference between short-term investment and long-lasting solutions?
- Does the auditee’s management understand the content of the amfori BSCI Code and Terms of Implementation for business partners to be involved in the amfori BSCI monitoring process?
- Does the auditee’s management understand the need to develop internal procedures to integrate the amfori BSCI Code into day-to-day business practices?
- Does the auditee’s management understand how business relations are affected by the implementation of amfori BSCI?
- Does the auditee’s management understand the need to consult clients to identify and implement improvements of its social performance?
- Is the auditee’s management aware of stakeholders that can support the integration of improvements in day-to-day business practices?

**Coherency:** Furthermore, the auditor shall evaluate if the relevant documents and practices are consistent with the statements provided by key management and workers. This is particularly important in the following cases:

- Structure of the company or organization (including different facilities, when applicable)
- Organisational chart and reporting lines: Who decides what?
- Documented procedures: particularly for hiring, using recruitment agencies, subcontracting, dealing with grievances, training workers, promoting ethical behaviour, following up on amfori BSCI Remediation Plans.
- Work instructions, time table, emergency instructions, instructions in case of accidents
- Forms: most common contracts used (e.g. permanent workers, seasonal workers, apprentices)
- Relevant external documents such as applicable labour law
- A collective bargaining agreement (if applicable)
- Record keeping: current and old records, contracts with the workforce, contracts with recruitment agencies, contracts with subcontractors, payslips, working hours, certificates,
inspections, minutes of meetings with workers and workers representatives, accidents, grievance investigations.

- Are the findings supported by the evidence gathered on the auditee’s practices towards its business partners (Q 1.3)?

1.2. Is there satisfactory evidence that a senior manager has been appointed to ensure that the values and principles of amfori BSCI are followed in a satisfactory manner?

This question helps to assess the effectiveness and coherency of auditee’s integration of the amfori BSCI Code of Conduct in its business culture.

The integration of amfori BSCI Code of Conduct in the business culture may involve several staff members.

**Effectiveness:** To verify the effectiveness of the selection of right staff members, the auditor must at least evaluate that:

The function:

- Is part of senior management
- Actively works towards adhering to the Code of Conduct as part of the business or organizational culture
- Includes other duties and covers several areas of work such as strategy and business development (if relevant)
- Has decision-making power and allocated budget to succeed in the follow-up of amfori BSCI social performance

The individual with this function has:

- A good understanding of the amfori BSCI Code of Conduct and Terms of Implementation
- A good overview of the supply chain:
  - Which business partners are important (significant) for the business
  - Which stakeholders are relevant for integrating values and principles of amfori BSCI Code of Conduct into the business or organizational culture

**Coherency:** Furthermore, the auditor shall evaluate if the selection of the relevant organizational functions is consistent with the values and principles of amfori BSCI Code of Conduct.

- Who is in charge of implementing amfori BSCI Code of Conduct in the business culture?
- Who is in charge of following up with the grievance mechanism?
- Who is in charge of HR?
- Who is in charge of ensuring that workers receive training relevant to the values and principles of amfori BSCI Code of Conduct?
- Who is in charge of OHS issues?
- Do these functions have sufficient skills (by training or by experience) to fulfil their responsibilities?
- Do these functions have allocated budget to succeed in the implementation of amfori BSCI Code of Conduct principles and values?
1.3. Is there satisfactory evidence that the auditee has a good overview of the significant business partners and their level of alignment with the amfori BSCI Code of Conduct?

This question helps to assess the effectiveness and coherency of auditee’s minimum duty of care to select and have an overview of its significant business partners.

In the case of the main auditee being a producer organisation, this question relates to the way such an organisation accepts and monitors its members.

The auditee, and eventually its clients, face important social risks when it lacks an overview on the way its business partners (or members if relevant) respect the law and workers’ rights.

These are examples of significant business partners to be monitored by the main auditee:

- Subcontractors
- Recruitment agencies
- Catering service providers
- Suppliers (including contracted farms)

**Effectiveness:** To verify the effectiveness of the selection and monitoring of business partners (a members of the organisation, if relevant) the auditor must at least evaluate that the auditee:

- Has a management system (or procedure) to select significant business partners or members
- Has instructed relevant staff to take into consideration not only price and quality but also the willingness to respect the amfori BSCI Code of Conduct (or equivalent values and principles)
- Monitors social performance of significant business partners and, when relevant, members. These verifications can be conducted by either its own personnel (as long as they are qualified to do so) or third parties mandated to conduct such assessments

**Coherency:** Furthermore, the auditor shall evaluate if the selection of business partners and members is consistent with the values and principles of amfori BSCI Code of Conduct.

- Does the auditee keep accurate information on its different significant business partners and, when relevant, members?
- Does the auditee know how long business partners and/or members have been working with it?
- How familiar is the auditee with the ways in which its business partners and members manage their own businesses?
- Does the auditee keep records of any complaints received about its business partners and/or members? If yes, how has the auditee dealt with these complaints?

1.4. Is there satisfactory evidence that the auditee’s workforce capacity is properly organised to meet the expectations of the delivery order and/or contracts?

This question helps to assess the effectiveness and coherency of auditee’s workforce planning and organisation.
Effective workforce planning allows the auditee to reduce unnecessary subcontracting or overtime, which represent social risks for both the auditee and its clients.

**Effectiveness:** To verify the effectiveness of the workforce planning, the auditor must at least see that the auditee has realistically calculated the costs of production and delivery times (including labour costs). If so, the auditee will be in a better position to negotiate prices and influence customers’ purchasing practices.

**Coherency:** Furthermore, the auditor shall evaluate if the planning is consistent with the values and principles of amfori BSCI Code of Conduct.

- How reliable is the methodology to plan production and delivery time?
- Does management have a good understanding of the production rate per production unit? In the case of agricultural work environment, does management have a good understanding of the harvest volume?
- Does the management have a good understanding of the production rate per worker?
- Does the management have a “contingency plan” in case something slows down or interrupts production (e.g. delayed supply, extreme weather conditions, outbreak of plat disease)?
- Is management aware of how much overtime (premium paid) would need to be budgeted (and eventually added to production cost) if extra working hours are needed to match a delivery order?
- Does the management discuss workforce capacity with the head of HR and workers representatives?
- Who makes the final decision to change regular work capacity if it appears that delivery time will not be met?

1.5. Is there satisfactory evidence that the auditee monitors how its business partners observe the amfori BSCI Code of Conduct?

This question helps to assess the effectiveness and coherency of auditee’s monitoring practices established to assess its significant business partners’ observance of the amfori BSCI Code of Conduct.

In the case of producer organisations, this question helps to assess the effectiveness and coherency of auditee’s monitoring practices established to assess its members’ observance of the amfori BSCI Code of Conduct.

**Effectiveness:** To verify the effectiveness of monitoring, the auditor must at least evaluate that the auditee:

- Has requested significant business partners and/or members to sign the amfori BSCI Code of Conduct and relevant Terms of Implementation (to be reported in the Supply Chain Mapping section in the amfori BSCI audit report)
- Keeps copies of these signed amfori BSCI documents
- Has institutionalised different processes to make necessary business decisions and/or any corrective actions to address risks found in the activities of business partners or members
- Uses various ways to collect information from its business partners and members. These are some examples:
  - It requests regular transparent reporting related to social risks
  - It conducts internal auditing
  - It requests second-party or third-party audits
• Has established internal processes to support members in adhering to the amfori BSCI Code of Conduct

**Coherency:** Furthermore, the auditor shall evaluate the coherence of monitoring business partners and/or members within the overall auditee business practice.

• How often does monitoring take place?
• Who is responsible for monitoring? Is that person or those people competent (as a result of training or experience)?
• How are the findings about business partners or members followed up?
• What are the consequences if a business partner or member fails to observe the amfori BSCI Code of Conduct?
• Who is informed about any relevant problem related to the business partner or member?
• How does the auditee pass on this information (e.g. to a amfori BSCI Participant)?

1.6. Is there satisfactory evidence that the auditee has developed the necessary policies and processes to prevent and address any adverse human rights impacts that may be detected in its supply chain?

This question helps to assess the effectiveness and coherency of auditee’s procedural practices established to prevent and address adverse human rights impacts.

Infringement of human rights at the workplace or in the supply chain often occurs in a context of absence of principles and/or inadequate enforcement.

**Effectiveness:** To verify the effectiveness of the policies and procedures to address adverse human rights impacts, the auditor must at least evaluate that:

• Management understands that human rights impacts can be prevented and addressed
• Management is aware of the correlation between poor working conditions and potential human rights violations
• Management is aware of the adverse impact contractual terms and/or unplanned placement of orders may have on workers’ rights
• Management is aware of risks of human rights violations intrinsic to its sector, industry or region

**Coherency:** Furthermore, the auditor shall evaluate the coherence of policies and procedures within the overall auditee business practice.

Prevention and remediation of any adverse human rights should at least permeate:

• The regular risk assessment conducted in the company or organisation (e.g. occupational health and safety risk assessment), including owned farms
• The decision-making process regarding human resources recruitment, management, dismissal as well as relations with business partners and members
• The procedures in place to monitor recruitment practice, contractual and payment conditions applied by the auditee or by recruiting agencies and labour sub-contractors, if applicable
• The available budget to address impacts and compensate victims (if relevant)
• The systematic follow up and review of the measures taken
1.7. Is there satisfactory evidence that the auditee manages its business relations in a responsible manner?

This question helps to assess the effectiveness and coherency of auditee’s responsible management of its business relations.

**Effectiveness:** To verify the effectiveness of the way the auditee manages its business relations, the auditor must at least evaluate:

- What communication channels allow business partners to explain their difficulties as well as progress towards aligning to the amfori BSCI Code of Conduct?
- What is the basis for terminating contracts or business relations?
- What are procedures to request quotations, negotiate delivering time and prices in a way that promotes responsible business relations?

**Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee manages its business relations is consistent with the amfori BSCI Code of Conduct.

The auditee does not need to stop business with business partners that do not observe the amfori BSCI Code of Conduct as long as those partners are transparent about their difficulties and take effective actions towards making improvements.

Documents related to this performance area

- Auditee’s business license
- Job descriptions (particularly of those positions directly related to the implementation of amfori BSCI Code of Conduct)
- Production capacity planning documentary evidence
- Records on the amfori BSCI Code of Conduct and Terms of Implementation distribution and signature of significant business partners or members. This may also include farms.
- Evidence of business partners’ social performance (e.g. quarterly reports, audit reports, valid certificates)
- Qualifications of the person in charge of implementing amfori BSCI Code of Conduct
- Documented policies and procedures to implement amfori BSCI Code of Conduct
- Producer Organization list of members

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Annex 3: How to set up a Social Management System (SMS)?
- Annex 10: How to cascade amfori BSCI through the supply chain?
- Annex 14: How to integrate gender equality in the due diligence strategy?
- Template 1: Business Partner Information
- Template 2: Supply Chain Mapping
- Template 4: Working Hours Tracker
Performance area 2: Workers involvement and protection

2.1. Is there satisfactory evidence that the auditee has good management practices that involve workers and their representatives in sound information exchange on workplace issues?

This question helps to assess the effectiveness and coherency of auditee workers’ involvement.

**Effectiveness:** To verify the effectiveness of the way that the auditee manages its working relations with its workforce, the auditor must at least evaluate that the auditee:

- Has established communication structures to genuinely involve workers and their representatives
- Management exchanges information on workplace-related issues with workers and their representatives

**Coherency:** Furthermore, the auditor shall evaluate if the way in which the auditee involves workers and their representatives is consistent with the values and principles of amfori BSCI Code of Conduct.

- How often do the management and workers meet to discuss about improving working conditions?
- Are there minutes of such meetings taken, kept and available for consultation?
- How is the workers’ representative elected?
- Are there records of the election process?
- Are the elections impacted by undesirable interference from the management?
- How does the management follow up on workers’ requests or complaints?
- How are the concerns of the most vulnerable workers (e.g. migrants, young workers) taken into account?

2.2. Is there satisfactory evidence that the auditee defines long-term goals for protecting workers in line with the aspirations of the amfori BSCI Code of Conduct?

This question helps to assess the feasibility and coherency of auditee’s definition of long-term goals to protect its workforce.

**Effectiveness:** The effectiveness of long-term goals cannot be verified as, by definition, they have not yet been implemented. Instead, the auditor shall verify their feasibility.

**Coherency:** Furthermore, the auditor shall evaluate if the way in which the auditee has defined its long-terms goals is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are the vision, mission and objectives of the company in line with the amfori BSCI Code?
- Do the long-term goals reflect a step-by-step approach toward sustainable improvements?
- Are the workers and workers representatives genuinely involved in defining these goals?
- Are the needs of most vulnerable groups (e.g. migrants, women, young workers) integrate in the long-term goals?
- Is the strategic plan to achieve those goals in writing and approved by the competent person (or governance body)?
2.3. CRUCIAL QUESTION: Is there satisfactory evidence that the auditee takes specific steps to make workers aware of their rights and responsibilities?

This question helps to assess the effectiveness and coherency of auditee’s steps taken to raise workers’ rights and obligations awareness.

**Effectiveness:** To verify the effectiveness of the steps taken to raise workers’ awareness, the auditor must at least evaluate that:

- Workers who are interviewed have a good understanding of their rights and obligations.
- Workers’ rights and obligations emanate from:
  - The law
  - Work contracts
  - Job descriptions
  - Working rules of the workplace (as long as these rules abide the law)
- Sources of rights and obligations must be available for workers and their representatives, in a language understood by them
- Workers are regularly trained on their rights and obligations

**Coherency:** Furthermore, the auditor shall evaluate how the auditee raises workers’ awareness on their rights and obligations in a way that is consistent with the values and principles of amfori BSCI Code of Conduct

- Do interviews with workers confirm that they have a good level of awareness of their rights and obligations? Are they aware of the content of their contracts? Are they aware of the content of the rules of the workplace?
- Do interviews confirm that workers were timely and correctly informed of their rights and obligations prior to accepting employment?
- Is the person in charge of training workers qualified (by qualification or experience) to train them on their rights and obligations?
- Do contracts clearly explain workers’ rights and obligations?
- Are there mandatory trainings for new workers?
- Are special trainings provided for migrant workers in the relevant language?
- Are workers trained on occupational health and safety?
- Are workers trained on how to use the grievance mechanism? This is particularly necessary to guarantee young workers’ special protection.

**IMPORTANT:** Trainings are mandatory for any new worker (even if he or she has been engaged via a recruitment agency or broker).

Migrant workers need to be trained and must receive a version of the work contract in a language that they understand.
2.4. Is there satisfactory evidence that the auditee builds sufficient competence among managers, workers and workers representatives to successfully embed responsible practices in the business operation?

This question helps to assess the effectiveness and coherency of auditee’s steps taken to build knowledge and capacities among its workforce.

**Effectiveness:** To verify the effectiveness of the capacity building activities taken by the auditee, the auditor must at least evaluate that:

- Workers, workers’ representatives, managers and other decision-makers are regularly trained to become vectors of a responsible business culture.
- The auditee ensures that management regularly receives:
  - Informative sessions on the amfori BSCI Code of Conduct
  - Specific training for human resources, OHS and the grievance mechanism personnel
  - Feedback on the amfori BSCI audit results and follow up
- The auditee makes training materials related to amfori BSCI Code content available to workers, workers’ representatives and managers

**Coherency:** Furthermore, the auditor shall evaluate if the ways in which the auditee builds internal capacities is consistent with the values and principles of amfori BSCI Code of Conduct.

- How often are workers, workers’ representatives and managers trained on the content of the amfori BSCI Code of Conduct?
- Is the training material available?
- Do interviews with managers and other decision-makers confirm a good level of awareness on social responsibility and the content of the amfori BSCI Code of Conduct?
- Is the person in charge of the training qualified to train the audience?
- Is this person external or internal staff? If the auditee has internal staff who are sufficiently qualified to train others, then it is a very good sign as it shows willingness to build internal capacities.
- Are there mandatory trainings, at least for newcomers, on the content of the amfori BSCI Code of Conduct?

2.5. Is there satisfactory evidence that the auditee has established, or participates in, an effective operational-level grievance mechanism for individuals and communities?

This question helps to assess the effectiveness and coherency of auditee's operational-level grievance mechanism for individuals and communities.

**Effectiveness:** To verify the effectiveness of the grievance mechanism (established or endorsed by the auditee), the auditor must at least evaluate that:

- Workers and communities can lodge grievances through such a mechanism.
- There are grievances lodged relate to the auditee’s actions and/or inactions that represent a potential breach of workers’ or communities’ rights.
- There is a written procedure for the grievance mechanism, which defines:
  - A responsible person for its administration
o Potential conflicts of interest and how to overcome them (e.g. if a grievance is against the person who administers the mechanism)
o Timelines to address grievances
o Process for “appeals” or escalation as an additional guarantee
o Communication process to ensure that workers and community members have access to the grievance mechanism, with special attention to vulnerable workers.
o Alternative ways for lodging a complaint (e.g. through workers representative or directly to the management)
o Record system of grievances lodged, including how they were investigated and addressed
o Regular survey on the grievance procedure

Coherency: Furthermore, the auditor shall evaluate that the grievance mechanism’s definition and management is consistent with the values and principles of amfori BSCI Code of Conduct.

- Is there a system to keep records on the grievances lodged and the history of the solutions and remediation taken?
- Are there additional measures taken to avoid any kind of discrimination to access the grievance mechanism?
- Are workers representatives duly informed and involved (when applicable) so grievances are processed and investigated with the utmost guarantees?
- Are there indicators of satisfaction among the users?

Documents related to this performance area

- Documentary evidence of the workers representative election
- Documentary evidence of regularly scheduled workers meetings
- Records of agreements with workers representatives
- Employment contracts including those related to security personnel, cleaning and other services, particularly recruiting agencies or brokers if relevant
- Job descriptions in which the implementation of amfori BSCI Code of Conduct is included
- Working rules
- Evidence of a training calendar for workers and management
- Documentary evidence of training given to workers, management and human resources (e.g. list of attendees with signatures)
- Documentary evidence of trainer competence
- Documentary evidence of grievances lodged/investigated (e.g. amfori BSCI Template 8: Grievance Mechanism filled in)

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Annex 14: How to integrate gender equality in the due diligence strategy?
- Annex 4: How to set up a grievance mechanism
- Template 8: Grievance Mechanism Tracker
Performance area 3: The rights of freedom of association and collective bargaining

Freedom of Association: The right of workers to form and join organisations of their own choosing is an integral part of a free and open society. An open and trustworthy dialogue between the management and the workers is the first step towards freedom of association and collective bargaining.

When operating in countries where free and democratic trade union activity is unlawful or prohibited, the auditor and auditee will acknowledge the fact that workers are still allowed to freely elect their own representatives.

Collective Bargaining: Collective bargaining is the process used by trade unions or workers representatives and employers to negotiate the provisions that reflect the terms and conditions of employment for workers. It confers to them their rights, privileges and responsibilities.

Freedom of association is a separate right from collective bargaining and it can be exercised even when there are no trade unions present. The legitimacy of both the collective bargaining process and collective bargaining agreement is questionable when the essential right of workers’ freedom of association is not respected.

Restriction of workers’ organisation: A company or producer organization that restricts workers’ rights to join an organisation or a union, or to associate freely, is very unlikely to maintain good labour practices.

These restrictions very often can be discovered in hidden or subtle forms of discrimination, informal restrictions or intimidation.

3.1. Is there satisfactory evidence that the auditee respects the right of workers to form unions in a free and democratic way?

Effectiveness: To verify the effectiveness of the auditee’s respect for workers’ rights to form unions, the auditor must at least evaluate that:

- Workers establish and join workers’ organisations of their own choosing
- Workers do not need previous authorisation from the auditee to join or establish a workers’ organisation
- Workers’ organisations are formed in a democratic manner

Coherency: Furthermore, the auditor shall evaluate if the ways in which the auditee respects workers’ rights to form or join workers’ organisations is consistent with the values and principles of amfori BSCI Code of Conduct.

- Has management interfered to prevent workers’ participation in meetings regarding unions or other workers’ organisations?
- Has management discouraged or interfered in the election process of union members or workers representatives?
- Has management appointed a “workers representative” to undermine the workers’ democratic election?
- Has management made “arrangements” to undermine the auditee’s obligation to respect the national law on freedom of association? (E.g. subcontracting some parts of production intentionally to avoid reaching the number of workers required to introduce workers representatives in the business).
- Have workers suffered any retaliation for participating (actively or passively) in election processes of workers representatives?
3.2. **CRUCIAL QUESTION:** Is there satisfactory evidence that the auditee respects workers’ right to bargain collectively?

**Effectiveness:** To verify the effectiveness of auditee respect for workers’ rights to bargain collectively, the auditor must at least evaluate that:

- Collective bargaining is used to set the rules by which the workplace is regulated and remunerated
- Agreements are regularly renegotiated to adapt to new circumstances

**Coherency:** Furthermore, the auditor shall evaluate how the auditee respects workers’ right to bargain collectively in a way that it is consistent with the values and principles of amfori BSCI Code of Conduct.

- Does the auditee demonstrate understanding of the collective bargaining process?
- Do employment contracts include stipulations contrary to a collective bargaining agreement?
- Without any justification, do the stipulations of a collective agreement fail to apply to all workers in the same category?
- Has the management made “arrangements” to avoid the workers representative or the trade union to negotiate on behalf of the workers?
- Has the workers representative received any benefit from the auditee for giving up on certain aspects of the negotiation?
- Is there documentary proof of recent or the latest collective bargaining agreement? Is the document available? Has the workers representative explained the content to workers?

3.3. Is there satisfactory evidence that the auditee does not discriminate against workers because of their trade union membership?

**Effectiveness:** To verify the effectiveness of auditee non-discriminatory behaviour with respect to unionised workers, the auditor must at least evaluate that:

- Neither workers nor their representatives are discriminated against nor suffer other repercussions because:
  - They freely exercise their right to organise
  - They are members of a trade union
  - They participate in or organise legal activities of their union or workers’ organisation
- Any other circumstance occurs that discourages workers from exercising the rights of freedom of association and collective bargaining

**Coherency:** Furthermore, the auditor shall evaluate how the auditee ensures that there is no discrimination against workers in a way that is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are candidates for a working position rejected because of their affiliation to a trade union?
- Do workers who are members of a trade union receive less access (or no access at all) to overtime; training; social benefits?
- Are union members or sympathisers promoted to higher positions in the company?
- Is there any evidence of worker dismissals due to being unionised?
3.4. Is there satisfactory evidence that the auditee does not prevent workers’ representatives from accessing or interacting with workers in the workplace?

**Effectiveness:** To verify that the auditee does not interfere against workers’ representative mandate, the auditor must at least evaluate that:

- The auditee recognises workers representatives’ access to the workers in the workplace
- The auditee understands that not allowing a workers’ representative to access workers in the workplace represents interference with the right of freedom of association
- If organised in line with the law, meetings with workers’ representatives shall be arranged during working hours and workers’ pay cannot be deducted

**Coherency:** Furthermore, the auditor shall evaluate how the auditee’s interaction with workers representatives is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are workers’ representatives present in the production site(s)?
- Are there clear mechanisms to allow workers to contact and meet the workers’ representative?
- Are there regular meetings between the workers representative and the management?
- Are there grievances lodged with the support of the workers representative?
- How is the interaction between workers and their representatives perceived by the auditee?

**Documents related to this performance area**

- Documentary evidence of the workers representative election
- Collective Bargaining Agreement (if applicable)
- Minutes or documents of meetings that led to the collective bargaining agreement (if applicable)
- Recruitment and dismissal procedures and records

Notes:
Performance area 4: No discrimination

Discrimination is an unjust or prejudicial act and or practice based on certain characteristics of people in the organisation such as race, age or sex, among others. (See more grounds of discrimination in the amfori BSCI Code of Conduct)

It is a global phenomenon that may bar people from some occupations, denies them a job altogether or does not reward them according to their merits.

Discrimination in the workplace can take various forms such as:

- restricting verbal and/or physical freedom (e.g. going to the toilet)
- substandard living conditions and denial of water and food
- intimidation
- unequal treatment
- use or threat of violence
- exclusion from benefits (e.g. promotion)

In some cultures, discrimination may be very subtle or embedded into cultural values. In this context, auditors shall make the necessary efforts to discern when the discrimination, whether punctual or regular, objectively undermines the individual(s) subject to it in a way that they are deprived of their natural rights as human beings.

**Directly or indirectly:** Discrimination can be performed directly or through legal arrangement with services providers (e.g. the auditee arranges through a broker or an agency that migrant workers recruited are charged for their personal protection equipment)

The auditee needs to:

- assess, prevent and stop any discriminatory practice in which they may be directly or indirectly involved
- Be extremely vigilant on business partners that present risks such as labour brokers, labour subcontractors or recruitment agencies.

4.1. **CRUCIAL QUESTION:** Is there satisfactory evidence that the auditee takes the necessary measures to avoid or eradicate discrimination in the workplace?

**Effectiveness:** To verify the effectiveness of the measures taken by the auditee to avoid or eradicate discrimination, the auditor must at least evaluate that:

- The auditee does not act discriminatory or have discriminatory practices when:
  - Hiring, firing, promoting or offering training opportunities
  - Paying social benefits
  - Defining eligibility criteria for cooperative membership and access its governance bodies
- The auditee has eradicated any discriminatory practice in the workplace, as part of any daily work activities, e.g. assignment of duties, access to water, resting breaks, use of facilities…
- The auditee pays particular attention to avoid discrimination against vulnerable groups like disabled workers, pregnant women or migrant workers
- The auditee follows the steps towards eradicating discrimination by:
o **Internal assessment:** Conduct an internal assessment on the most frequent grounds used for discrimination as well as the most common activities through which discrimination may occur (e.g. hiring process)

o **Root cause analysis:** Identify the root causes of discriminatory behaviours

o **Policy:** Draft and enforce a policy to discourage these kinds of behaviours and follow up on the improvements

- The auditee does not use health conditions for discrimination:
  
  o For example, medical testing, virginity tests, use of contraception or equivalent shall not be used as requirements or preconditions for recruitment; promotion; access to training or any other social benefits
  
  o Even in cases where national law requires HIV or other medical testing for public health reasons, the results of these tests cannot be used for discriminatory purposes. Instead, additional measures of protection should be taken.

**Coherency:** Furthermore, the auditor shall evaluate how the auditee’s efforts to avoid discrimination are consistent with the values and principles of amfori BSCI Code of Conduct

- How transparent are the grounds for a worker to be hired, promoted, or fired?
- What are the grounds for workers to be entitled to social benefits? Is overtime allocated as a means of giving “rewards” or “punishment”?
- How is the non-discrimination policy enforced? How and how often is management trained on this policy?
- How is this policy communicated to business partners? What measures are taken in case of any breach of this policy?
- In the case of the auditee being a producer organisation. How transparent are by-laws and operating agreements its members?
- Are the findings consistent with the information gathered in other performance area (e.g. special protection to young workers?)

4.2. Is there satisfactory evidence that the auditee takes the necessary preventative and/or remedial measures to ensure workers are not disciplined, dismissed or otherwise discriminated against because of their complaints against infringements of their rights?

**Effectiveness:** To verify the effectiveness of the measures taken by the auditee to prevent and/or remediate discrimination based on workers’ complaints, the auditor must at least evaluate that:

- Workers have the possibility to submit complaints about infringements of their rights without having to fear reprisals
- The auditee has the necessary preventive measures in place to avoid discriminatory practices based on reprisals (e.g. instructing the human resources department and supervisors that disciplinary measures or dismissal cannot occur based on such complaints)
- The auditee puts in place corrective measures or compensation in cases of unfair dismissal or if other forms of discrimination may have occurred
Coherency: Furthermore, the auditor shall evaluate how the auditee's preventive and/or remedial measures are consistent with the values and principles of amfori BSCI Code of Conduct.

- Are all workers that lodged a grievance still part of the workforce? If not, what are the circumstances under which the worker left the company or organisation, or was dismissed?
- Does the auditee conduct satisfaction surveys on the grievance mechanism? How often? Are there records available of these surveys?
- How are the measures to avoid discipline, dismissal or discrimination translated into the working rules? How and how often is management (including supervisors) trained on these measures?

4.3. Is there satisfactory evidence that the auditee takes the necessary preventative and/or remedial measures so workers are not harassed or disciplined on grounds of discrimination as listed in the amfori BSCI Code?

Effectiveness: To verify the effectiveness of the measures taken by the auditee, the auditor must at least evaluate that the auditee:

- Has a written procedure describing reasons for disciplinary measures
- Is well-informed on what the national legislation states about which disciplinary measures are legally accepted and which are not
- Does not use disciplinary measures that are against the law
- Maintains records on disciplinary incidents

Coherency: Furthermore, the auditor shall evaluate if the measures taken by the auditee are consistent with the values and principles of amfori BSCI Code of Conduct.

- Are all workers aware of the reasons for disciplinary measures?
- Have workers and their representatives been involved or consulted in the development of disciplinary measures and procedures?
- Are the minutes of the consultation process kept in auditee records?
- Have disciplined workers been interviewed?
- How are the disciplinary measures translated into the working rules? How and how often is management (including supervisors) trained on these measures?
Documents related to this performance area

- Documentary evidence on disciplinary procedures
- Documentary evidence on disciplinary cases and the measures taken
- Documentary evidence of workers’ performance assessments and procedures
- Work contracts or agreements, including with recruitment agencies
- Documentary evidence of grievances lodged/investigated (e.g. amfori BSCI Template 8: Grievance Mechanism Tracker filled in)

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Annex 4: How to set up a grievance mechanism
- Annex 14: How to integrate gender equality in the due diligence strategy
- Annex 17: How to promote responsible recruitment

Notes:

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Performance area 5: Fair remuneration

The auditor must be aware of the different interconnected definitions underlying the Fair Remuneration Concept. For more information, see Annex 9: How to promote fair remuneration.

5.1. CRUCIAL QUESTION: Is there satisfactory evidence that the auditee complies with the government’s minimum wage legislation or the industry standard approved through collective bargaining?

The auditor must be aware of the legal minimum wage applicable or the valid collective bargaining agreement applicable in the auditee’s sector or industry. The auditor shall assess the auditee against that threshold, whatever is more favourable for the workers.

Effectiveness: To verify the effectiveness of the auditee’s remuneration practice, the auditor must at least evaluate that:

- The auditee does not pay any wage below the minimum established by the law or the collective bargaining agreement
- Workers who are paid the minimum wage only have to work regular time. They do not have to reach the minimum wage level by working overtime
- The verified payroll sample covers a significant period of time (e.g. 12 months before the date of the audit). However, the period of time taken during a follow-up audit shall not include the period covered by the previous audit, particularly when the verification aims at validating improvements

Coherency: Furthermore, the auditor shall evaluate if the auditee’s remuneration practice is consistent with the values and principles of amfori BSCI Code of Conduct.

- Part-time workers: Do part-time workers receive at least the minimum wage or relevant industry standard on a “pro-rata” basis?
- Piece-rate workers: Does the number of pieces produced in 8 hours amount to no less than the minimum wage per day, defined by law?
- In probation: Is the remuneration of workers in probationary periods in accordance with the law?
- Hired through recruiting agencies or brokers: Does the auditee keep records on how, how much and when the service provider (including recruiters or labour subcontractors) pays these workers?
- In a producer organization: Do the by-laws or internal regulations clearly specify how workers and the cooperative’s members are remunerated and when? Are specifications on loans and possible advance payments respected and documented? Are these specifications approved in a General Assembly, by the majority, also defined in the by-laws? Are members made aware of applicable legislation and of their responsibilities when hiring permanent and seasonal workers?
5.2. Is there satisfactory evidence that wages are paid in a timely manner; regularly and fully in legal tender?

**Effectiveness:** To verify the effectiveness of the auditee’s remuneration practice, the auditor must at least evaluate that:

- The auditee respects all three characteristics of responsible wage payment.
  - **Timely:** As agreed and communicated to workers prior to their engagement
  - **Regularly:** With a frequency that allows the worker to make use of her/his earnings without incurring debts
  - **Fully in legal tender:** The work performed by the workers in regular working hours is to be paid in legal tender only

- The auditee can only pay “in kind”, any benefit that:
  - goes beyond regular working hours earning, which must be paid in legal tender
  - does not represent a breach of law, goes against morals or against public and private health (e.g. in-kind contribution is done in alcohol or other drugs)

**Coherency:** Furthermore, the auditor shall evaluate if the auditee’s remuneration practice is consistent with the values and principles of amfori BSCI Code of Conduct.

- Does the auditee pay particular attention to the way seasonal workers and piece rate workers are paid?
- How is regular payment agreed and communicated in these cases? What special guarantees are defined by the auditee?
- How are transportation and/or housing considered in the remuneration? (If applicable)
- How does the auditee assess the need to replace the personal protective equipment and other tools needed to perform the job? (Even if they are not to be considered as part of the remuneration)
- How does the auditee pay special attention and act diligently when using “recruitment agencies” or labour brokers? (the auditee should ensure that payment takes place timely, regularly and in legal tender even if done indirectly by the recruiter).
- How does the auditee assess and enforce that workers are not charged recruiting fees?
- Has the auditee checked if workers contracted through agencies or brokers pay any recruitment fee either as cash payment, salary deduction, loans or reduction in benefits?
- Is the auditee aware of how and when workers receive payment from the agency?
- Does the auditee keep these records as part of its own record keeping?

5.3. Is there satisfactory evidence that the level of wages reflects the skills and education of workers?

**In preparation for the audit:** The auditor shall understand the different skills needed in the production processes (according to sector). This understanding will help the auditor to assess the complexity, learning curve to the skilful in the different tasks workers may carried out within a business enterprise.

**The opening meeting:** The auditor shall use this opportunity to validate his/her understanding with regard to the skills relevant for the work conducted at the facility.
To gather more details, the auditor will also use interviews with:

- Production line management
- Quality management
- Human resources manager
- Senior workers
- Apprentices
- Farm owners or supervisor when relevant

Skills can be achieved by means of both education and experience. The auditor shall take into account workers' skills even if they cannot be proven by official diplomas. The auditor will pay particular attention to evasion of the law that may occur with regard misuse of apprentice schemes.

**Effectiveness:** To verify the effectiveness of the way that the auditee’s remuneration scheme takes skills and education into consideration, the auditor must at least evaluate that:

- The auditee takes into consideration skills and education in the hiring process
- The auditee adapts the remuneration to the workers’ skills to encourage improvements in quality and stability of the employment relationship
- The auditee does not use unskilled workers to conduct qualified jobs. This represents a social risk (e.g. evasion and OHS issues), which will need to be reported in the relevant performance area
- The auditee does not use highly-skilled workers to conduct low-skilled jobs. If it does, this may represent a sign of discrimination or evasion of the law
- The auditee conducts workers’ training on a regular basis to strengthen their skills

**Coherency:** Furthermore, the auditor shall evaluate if the way the auditee takes into consideration workers skills and education is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are there job descriptions available with the kinds of skills required to perform such jobs?
- Is the person in charge of recruitment trained to evaluate the level of competence?
- Does the auditee guarantee regular trainings to workers?
- Are the people in charge of conducting occupational health and safety risk assessments consulted to determine the type of skills in demand?
- Does the auditee have mechanisms in place to ensure more skilled workers pass their knowledge onto junior workers?
- Are the workers who are hired to conduct certain tasks in possession of the necessary skills? Are they remunerated accordingly?
- How does the auditee assess that taking into consideration skills and education does not conflict with other principles of the amfori BSCI Code of Conduct (e.g. no discrimination)?
5.4. Is there satisfactory evidence that the auditee provides sufficient remuneration that allows workers to meet a decent standard of living?

To verify this question, the auditor must have calculated a living wage estimate relevant for the region and based on the Social Accountability International method or an equivalent reference from governments, trade unions or NGOs.

The auditor shall consult additional sources if so is needed to find out more about the region and the sector:

- Government data (statistics, community development departments)
- Local or international NGOs working in the area and sector
- Community groups may have answers to some of these questions

**Opening meeting:** The auditor may use the opening meeting as an opportunity to explain the aspects which are taken into consideration for the calculation (e.g. number of family members in the region; diet; transportation costs) and also seek additional feedback from the auditee, if needed.

**Effectiveness:** To verify how effective the way in which the auditee takes decent standards of living into consideration to define its remuneration scheme, the auditor must at least evaluate that:

- The auditee is aware that fair remuneration concerns all workers regardless if they are permanent or seasonal; regardless if they are directly or indirectly engaged
- The auditee has a good understanding about:
  - Living costs in the region and the living costs of its own workforce
  - Possible gaps between the actual remuneration and the living costs
  - Possible measures that could be taken to fill the gaps
- Total remuneration provided by the auditee includes:
  - Wages paid for up to 48 regular working hours (or whatever the maximum regular hours are according to local or national law)
  - Premium paid overtime
  - Social benefits
  - In-kind benefits and bonuses
  - Subsidised or free transportation
  - Subsidised or free living space
  - Subsidised or free canteen services
  - Opportunities for education or training

In order to give a monetary value to trainings, the auditor will calculate the training time at the rate of the regular wage.

- Remuneration does not include the cost of:
  - Uniforms
  - Personal protective equipment
  - Training that is mandatory as part of the job requirement. For example, occupational health and safety training
  - Any tool essential to conduct the job

The costs of these elements shall never be deducted from workers remuneration.
Coherency: Furthermore, the auditor shall evaluate if the way the auditee pursues a remuneration practice that allows decent standards of living for the workforce is consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the person in charge of recruitment aware of the standard of living in the region?
- Does the auditee guarantee regular information to workers on what is considered remuneration?
- Are workers representatives consulted when defining the remuneration practice?
- Are there grievances lodged related to remuneration as well as the quality of benefits provided?
- Are different aspects of remuneration adequately detailed in the payroll?

Reporting in the amfori BSCI audit Report:

- **Executive Summary:** The auditor will indicate the source(s) used for the calculation in the Executive Summary of the amfori BSCI audit report.
- **Findings:** If the auditor finds out that the total remuneration provided to workers does not allow them to have a decent standard of living in the region, the auditor shall report the finding under “Findings” in the Fair Remuneration performance area.
- **Good practices:** The auditor shall acknowledge under “Good practices”, in the findings report, when the auditee provides him/her with this information and calculation of fair remuneration.

5.5. Is there satisfactory evidence that the auditee provides workers with the social benefits that are legally granted?

The auditor shall verify if the collective bargaining agreement includes additional social benefits beyond what is mandated by law. If yes, the question is evaluated using the collective bargaining agreement as the threshold.

The auditor shall describe which social benefits are missing or not correctly paid or granted.

Effectiveness: To verify the effectiveness of the way that the auditee grants social benefits to its workforce, the auditor must at least evaluate that:

- The auditee pays the social benefits in addition to the minimum wages and never as a way to allow workers to only attain the minimum
- The auditee pays social benefits to all workers regardless if they are:
  - Seasonal workers
  - Paid based on productivity
  - Migrant workers or any other vulnerable group of workers
- The auditee is aware of the social benefit content, which usually includes:
  - Old age pension
  - Survivor’s benefit
  - Family benefits and parental leave
  - Medical care
  - Unemployment
  - Sick leave
  - Disability
  - Work-related injury compensation
  - Vacations
- The auditee has signed up for a commercial insurance to cover social benefits
Commercial insurance: If the country's legislation allows the use of commercial insurance to substitute (fully or partially) the public social scheme, the auditor shall evaluate the auditee in a positive manner. If the country's legislation does not allow such a substitution, but workers are granted equivalent coverage, the auditor indicates that there are partially satisfactory evidence of the auditee providing social benefits to workers. The auditor shall describe the circumstances and why it is not fully satisfactory.

Exemptions from social benefits: If the auditee is granted exemptions from social benefits, the auditee may submit an approval from the local labour authority or any other authorisation (e.g. from collective bargaining agreements with trade unions), permitting exemptions from social benefits which have been legally granted. Such exceptions shall be:

- Issued in line with the corresponding procedure
- Issued by the legal body with authority to do so
- Valid for the current period of time
- Applicable for the auditee

The auditee shall have made available the original document to prove these exemptions.

Coherency: Furthermore, the auditor shall evaluate the way that the auditee provides workers with social benefits is consistent with the amfori BSCI Code of Conduct

- Is the person in charge of recruitment aware of the (legally granted) social benefits for workers and can he/she explain the benefits accordingly in the recruitment process?
- Does the auditee guarantee regular information to workers on what are considered social benefits?
- Are workers representatives consulted when defining the social benefits?
- Are there lodged grievances related to the quality of social benefits that the auditee provides?
- Are different aspects of social benefits adequately detailed in the payroll?

Good practices: The auditor shall acknowledge under “Good practices”, in the Findings Report, when the auditee provides commercial insurance in addition to the minimum social benefits required by law.

5.6. CRUCIAL QUESTION: Is there satisfactory evidence that the auditee ensures that deductions are only taken under the conditions and to the extent prescribed by the law?

The auditor shall verify if there are regulations with regard to which deductions are legal and how they can be applied (e.g. collective bargaining agreement or the national law). He/she uses as a threshold the regulation which is more beneficial for workers.

Effectiveness: To verify the effectiveness of the way the auditee ensures deductions are legal, the auditor must at least evaluate that:

- Deductions applied by the auditee do not result in:
  - Workers earning less than the legal minimum wage
  - An economic benefit for the auditee
  - A form of discrimination
- The auditee approach to unproductive time is fair to the workers:
  - The time workers may have spent in required meetings, training sessions or under any other workplace conditions beyond their control. Such time cannot be deducted at the expense of the worker but instead must be absorbed by the employer (e.g. a machine the worker uses is under repair and this negatively impacts her/his productivity)
If the auditee’s production site is going to be closed down for repairs or reconstruction, the auditee properly communicates the closing period to the workforce in advance. This communication needs to be done with the support of the workers representative to ensure that all workers’ rights are respected.

- Deductions cannot be made for the use of objects, buildings or services which are directly necessary for work. That includes entry fees and/or charges for the use of:
  - Tools and machines
  - Sanitary facilities
  - Drinking water
  - Washing facilities
  - Provisions of protective clothing for workers

- Deductions are not made to cover the costs of documents and permits required to perform the assigned employment such as:
  - Work permits
  - Visa and renewals
  - Legally required security clearance or health tests

- Deductions for services offered by the auditee (e.g. transportation or food) are charged at local market rates or lower.

- Use of the services offered by the auditee must always be voluntary.

- Deductions are not made without the explicit consent of the worker, who always needs to be first consulted to understand the reasons. Only then could she/he choose to give consent or not.

- Deductions for disciplinary measures only occur under the conditions specified by law, or due to specifications defined in a freely negotiated and established collective bargaining agreement.

**Coherency:** Furthermore, the auditor shall evaluate that auditee deductions are consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the person in charge of recruiting personnel aware of applicable deductions and is he/she able to explain the deductions accordingly in the recruitment process?
- Does the auditee guarantee regular information to workers on how and under which conditions deductions apply?
- Are workers representatives consulted when defining criteria for deductions?
- Are there grievances lodged related to potentially unfair deductions?
- Has the auditee verified if labour subcontractors and service providers apply illegal salary deductions to the workers dispatched to the auditee?
Documents related to this performance area

- Documentary evidence of legal deductions for goods and services
- Documentation on legal minimum wages relevant for the sector
- Documented collective bargaining agreement
- Pay slips for workers and documentary evidence of payments
- Fair remuneration quick-scan completed (amfori BSCI Template 5: Fair Remuneration Quick Scan)
- Auditee’s contracts with labour subcontractors and service providers including recruiting agencies or labour brokers
- Work contracts or agreements, including those held by workers with labour subcontractors and service providers
- Personnel data files for all workers (including seasonal workers)
- Documentary evidence of additional benefits (commercial insurance if applicable)
- Documentary evidence of updated contributions to social insurance funds
- Lists of wage ranges and calculations including for piece rate workers

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Template 5: Fair Remuneration Quick Scan
- Annex 9: How to promote fair remuneration
- Annex 17: How to promote responsible recruitment
- For information on minimum legal wage and working hours, see the ILO country data

Notes:
Performance area 6: Decent working hours

Excessive working hours are recurrent in these sectors:

- The **agricultural sector**, particularly when the produce needs to be harvested within a certain time frame to ensure freshness and saleability
- The **manufacturing industry**, where processes cannot be stopped at mid-production
- The **clothing and textile industry**, where companies sourcing from their business partners may often demand that the products are produced within a short time frame. For example, seasonal work involves long hours in a short time span to meet demand

This experience should provide reasons for companies in these sectors to be even more diligent to make the necessary changes.

6.1. Is there satisfactory evidence that the auditee does not require more than 48 regular working hours per week, without prejudice to the exceptions recognised by the ILO?

**Effectiveness:** To verify the effectiveness of the way the auditee ensures regular working hours, the auditor must at least evaluate that:

- Regular working hours do not exceed:
  - 48 in a week
  - 8 per day
- If there are exceptions, they only apply:
  - For supervisory or management positions
  - When by law, custom or agreement the hours of work in one or more days of the week total less than eight hours, in which case the remaining days of the week can be extended to nine hours
  - For workers employed in shifts, if the average number of working hours over a period of three weeks or less does not exceed these limits
  - For members of the same family employed in the undertaking
  - For workers subject to a special regime, defined by the local laws (e.g. security guards are often not subjected to regular legal requirements regarding working hours)

These exceptions give flexibility to the limit of daily hours as well as weekly hours. However, average working hours within three months or less cannot exceed 48 hours per week. Furthermore, if the excessive working hours are compensated in time within those three months or less, they will not need to be premium paid.

**Coherency:** Furthermore, the auditor shall evaluate how the auditee enforces regular working hours to be consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the person in charge of recruitment aware of the legal limits of working hours and the possible exceptions? Can he/she explain workers’ working hours accordingly in the recruitment process?
- Are exceptions communicated and agreed upon prior to the recruitment?
- How is the definition of shifts reached? Is the workers’ representative involved in the process? Are the people in charge of occupational health and safety risk assessments consulted?
- Are there grievances lodged related to alleged company disregard for regular working hours?
- How are customary and/or religious practices taken into account when the auditee defines working hours and shifts?
• Are workers aware of the regular working hours and possible exceptions? Are exceptions documented and made available?
• In producer organizations: are members informed of applicable legislation and exemptions?

In agricultural works, the 48 regular working hours per week and above-mentioned expectations are to be considered recommendations. However, it will need to be understood that the specific nature of agricultural production may require more flexibility in working hours.

6.2. CRUCIAL QUESTION: Is there satisfactory evidence that the auditee request of overtime is in line with the requirements of the amfori BSCI Code of Conduct?

**Effectiveness:** To verify the effectiveness of the way the auditee requests workers to exceed their regular working hours, the auditor must at least evaluates that overtime is

- **Voluntary:** Overtime always needs to be voluntarily agreed upon, except in cases of temporary exceptions (e.g. force majeure), which must be described in the employment contract.
- **Exceptional:** Overtime cannot be repeatedly added onto regular working hours but respond to an exceptional unforeseen situation.
- **No risks added:** Overtime shall not significantly increase the risk to workers’ health and safety.
- **Premium paid:** It is paid at a premium rate as defined by the law. Overtime occurring during official holidays and/or Sundays may have a higher premium rate.

If the national legislation has set a limit of regular working hours below 48 hours per week (e.g. 40 hours per week), any working hour exceeding that limit of 40 hours is considered overtime. Auditors will have a good understanding on how the applicable legislation defines:

**Temporary exceptions:** These refer to situations where the law allows that regular working hours can be exceeded. E.g.:

- Force majeure
- Threat or actual accident
- Urgent work to be done to machinery

**Overtime legal limits:** National law or collective bargaining may define maximum limits of overtime per day, per week, per month or per year (e.g. no more than 3 hours per day)

**Premium rate:** National law or collective bargaining may define the different premium applicable of the overtime for example; premium for additional hours of work during the week will have a different premium than additional hours of work during the weekend or holiday. To be notice that that in line with the relevant ILO Convention the amfori BSCI Code of Conduct defines 1.25 as the minimum premium rate possible.

**Continuous succession of shift type of processes:** National law may define those working process which, due to their nature, must be carried out in a continuous succession of shifts and for which the national law allows a permanent exception (e.g. national law allows these processes to have 2 shifts of 12 hours instead of 3 shifts of 8 hours per day)

**Legal permanent exception:** If the auditee belongs to a type of industry covered by a legal permanent exception, the auditee keeps updated documented proof of the agreement that backs up its claim.
The auditor shall verify that such a document has force of law and define:

- Type(s) of exceptions
- Categories of workers affected
- The maximum allowance of additional working hours in each case
- The premium rate for overtime which will not be less than 1.25 more than the regular rate

The auditor shall also verify that the auditee is aware of the working hours and overtime regulation that applies to its own industry and it has an internal procedure in place to regulate overtime temporary exceptions.

**Written procedure on overtime:** Particularly regarding temporary exceptions, the auditee shall enforce an internal procedure that:

- Has been approved by a worker representative and management
- Defines how many hours a worker may work daily, weekly and monthly during an exceptional period
- Defines the premium rates applicable to overtime for different days and circumstances
- Respects any other criteria defined by national law

**Coherency:** Furthermore, the auditor shall evaluate the coherence with the values and principles of amfori BSCI Code of Conduct.

- Is overtime voluntarily agreed, unless in cases of temporary exceptions (e.g. force majeure) which need to be described in the contract?
- Is overtime exceptional rather than repeatedly added onto regular working hours?
- Does the auditee take the necessary measures to ensure that overtime decreases the risk to workers’ health and safety? Are people in charge of occupational health and safety risk assessments consulted?
- Is the payment of overtime made in accordance with the law?
- Does the auditee take into consideration:
  - The vulnerability of temporary workers, migrant workers and piece rate workers to excessive overtime?
  - The accumulation of fatigue related to shift systems?
  - The special protection for young workers, pregnant women and night shift workers?

The auditor needs to justify if any identified overtime does not meet any or all of the criteria mentioned above.

The auditor pays particular attention to task rate and piece rate workers, as these kinds of arrangements, based on productivity, need to comply with the requirements for overtime and it is not always easy to assess.

All these aspects also apply to workers of the agricultural sector.
6.3. **CRUCIAL QUESTION:** Is there satisfactory evidence that the auditee grants workers the right to resting breaks in every working day?

**Effectiveness:** To verify the effectiveness of the way that the auditee grants workers the right to rest, the auditor must at least evaluate that the workers are granted:

- **Short breaks:** Workers are allowed to take short breaks during working hours, especially when the work is dangerous or monotonous, to enable workers to recover their vigilance
- **Meal break:** Workers are allowed to take the necessary time for meal breaks according to the law
- **Night rest:** Workers working during the day must have at least eight hours to sleep/rest within a 24-hour period
- **Adequate areas:** Workers have access to areas where resting breaks can be effective e.g.:
  - Access to ventilated areas
  - Accessible toilets
  - Possibility for changing the physical working position (either sitting down or standing up)

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee grants resting breaks is in coherence with the values and principles of amfori BSCI Code of Conduct.

- What are the jobs that could require more resting breaks because of danger or monotony?
- How are customs or religious practices taken into consideration for defining resting breaks?
- Are resting areas effective?
- Are workers informed about the time they have for resting breaks during the day?
- Are there grievances lodged concerning potential disrespect for resting breaks?
- Do accident records indicate more contingencies after long periods of work without resting?

6.4. **CRUCIAL QUESTION:** Is there satisfactory evidence that the auditee grants workers the right to at least one day off in every seven days?

**Effectiveness:** To verify the effectiveness of the way the auditee grants workers the right to rest, the auditor must at least evaluate that the auditee:

- Respects relevant regulations for days off in the country or region (e.g. the day off shall follow national law or custom)
- Grants a full calendar day off in every seven days, unless a freely negotiated collective bargaining agreement or national law defines otherwise
- Have a copy of this collective bargaining agreement (if applicable) accessible for workers and during the audit

**Coherency:** Furthermore, the auditor shall evaluate if the way the auditee grants one day off is in coherence with the values and principles of amfori BSCI Code of Conduct.

- How are customs or religious practices taken into consideration for the day off?
- Are workers informed about the time they have for resting breaks during the day?
- Are there grievances lodged concerning potential disrespect for resting breaks?
Documents related to this performance area

- Documented working rules
- Pay slips for workers and documentary evidence of payments
- Documentary evidence of the legal permanent exception covering the auditee's industry
- Working time records
- Documented overtime procedure including agreements with workers
- Documented records of accidents

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Template 4: Working Hours Tracker
- Template 13: Self-assessment on gender equality

Notes:
Performance area 7: Occupational health and safety

amfori BSCI recognises GlobalGAP certificates as equivalent to Performance area 7 and 12 (OHS and Protection of the Environment).

This recognition is done during the amfori BSCI audit. The auditor shall verify:

- The GlobalGAP certificate has to be held by the main auditee (either option 1 or option 2) or by farms sampled during the amfori BSCI audit
- Verification through GGN nr and name/address of business unit
- Auditors may recognise GlobalGAP certificate as valid for different crops if the workforce and management practices overlap more than 80% including seasonal workers

Shall auditors identify OHS issues that could qualify as findings under amfori BSCI performance area 7; they will describe the findings and related evidence under Confidential Comments.

The auditor will assess the performance of producer organization in occupational health and safety from different angles:

- Level of observance with the laws and regulations applicable for the business activity or industry
- Capacity to detect, assess, avoid and respond to potential threats to workers’ health and safety
- Degree of active cooperation with workers (and/or their representatives) when developing and implementing systems towards ensuring occupational health and safety (e.g. by setting up an occupational health and safety committee)
- Capacity to protect workers in case of accidents including through compulsory insurance schemes
- Information and capacity building of members of a producer organization to prevent threats to the health and safety of members and their workers

The auditor must be knowledgeable about the regulations on occupational health and safety relevant for the auditee’s activities.

Regulations

7.1. Is there satisfactory evidence that the auditee observes occupational health and safety regulations applicable for its activities?

Effectiveness: To verify the effectiveness of how the auditee observes applicable OHS regulations, the auditor must at least evaluate that:

- The auditee works in line with the regulations on occupational health and safety relevant for its activities
- If the country does not prescribe occupational health and safety regulations for its sector, the auditee seeks alternatives to ensure workers’ right to healthy working and living conditions. This includes:
  - Following international standards and specifications
  - Involving workers and their representatives in the drafting and enforcement of the internal procedure on occupational health and safety
  - In a producer organization: involving members to define procedures on occupational health and safety for their operations
Coherency: Furthermore, the auditor shall evaluate that the ways in which the auditee grants healthy working and living conditions is consistent with the values and principles of amfori BSCI Code of Conduct

- Are workers and cooperative members informed on the specific health risks and the necessary protocols they need to follow to overcome those risks?
- Are there grievances lodged concerning potentially unhealthy or insecure working conditions?
- Do accident records indicate any contingencies related to a lack of observance towards the OHS regulations?
- How is the information from the accident records used to improve the occupational health and safety procedure?

7.2. Is there satisfactory evidence that the auditee seeks to improve workers’ protection in case of accident, including through compulsory insurance schemes?

The auditor has an overview of the auditee’s continuous efforts towards improving the protection of its workforce in case of accidents. The auditor verifies the different ongoing measures that have been put in place. The endorsement of compulsory insurance schemes is one example of these measures.

Effectiveness: To verify the effectiveness of the ways in which the auditee seeks to improve workers’ protection, the auditor must at least evaluate that:

- The auditee involves workers and their representatives to identify better ways to protect workers from accidents
- The auditee provides regular training for workers and management on how to avoid accidents and minimise their impacts
- The auditee regularly analyses the accident records to gather lessons learned and adjust the protocols accordingly

Coherency: Furthermore, the auditor shall evaluate how the auditee seeks to improve workers’ protection in coherence with the values and principles of amfori BSCI.

- Are workers informed of the threat of and actual accidents as well as the protocols they need to follow to overcome those risks?
- Are workers and management regularly trained by a competent person?
- Are there grievances lodged concerning potentially unhealthy or insecure working conditions?
- Do accident records indicate the cause of accident and have lessons learned been taken into consideration to adjust safety protocols? How and how often is this information from the accident records used?

Risk assessment

7.3. Is there satisfactory evidence that the auditee regularly carries out risk assessments for safe, healthy and hygienic working conditions?

Effectiveness: To verify the effectiveness of the way that the auditee carries out risk assessments, the auditor must at least evaluate that:
- The auditee recognises potential deficiencies by conducting OHS risk assessments on a regular basis
- The auditee is able to determine to what extent these deficiencies could result in substantial danger for workers (severity versus likelihood), and what kinds of preventive or remedial measures are necessary
- The auditee uses the risk assessments to develop and maintain an action plan which contains all the necessary measures to promote and maintain safe, healthy and hygienic working conditions

**Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee carries out risk assessments is consistent with the values and principles of amfori BSCI Code of Conduct

- Is the risk assessment appropriate to ensure the safety and health of all workers? Does it cover all production activities, workplaces, machinery, equipment, chemicals, tools and processes?
- Does the risk assessment use relevant standards as a reference (e.g. national law and/or international standards)?
- Does it take into consideration the special needs of the most vulnerable workers such as pregnant women and new mothers, young workers, migrant workers? The list is not exhaustive but it is up to the auditee to identify these workers.
- Does the risk assessment take into consideration the transmissible and non-transmissible diseases in the work environment? Does it include regular monitoring and testing? Does it include consultation with workers and their representatives?
- Does the auditee allocate adequate human and financial resources to ensure that the identified risk(s) are mitigated?
- In a producer organization, does the auditee train and support members to conduct risk assessment of their operations?

7.4. Is there satisfactory evidence of active cooperation between management and workers (and/or their representatives) when developing and implementing systems towards ensuring OHS?

Active cooperation between management and workers and their representatives presents an opportunity for the auditee to understand:

- Urgent demands from workers that need to be solved in the short-term
- Necessary medium- and long-term improvements to eventually implement

**Effectiveness:** To verify the effectiveness of how the auditee management cooperates with workers, the auditor must at least evaluate:

- To what extent workers and their representatives are consulted during the risk assessment, the development and implementation of the OHS systems
- The auditee has set up an occupational health and safety committee (or alternative structure) of democratically elected workers representatives
- The OHS committee is regularly active and meeting minutes record their decisions
Coherency: Furthermore, the auditor shall evaluate how the auditee management cooperates with workers to comply with the values and principles of amfori BSCI Code of Conduct.

- Do workers who are members of the OHS committee or equivalent structure receive the adequate training?
- How often does the OHS committee (or alternative structure) meet? How are their recommendations communicated to the decision-maker(s)?
- How often do the OHS committee recommendations get taken into consideration and what are the auditee reasons to disregard them?

Training

7.5. Is there satisfactory evidence that the auditee regularly provides OHS trainings to ensure workers understand the rules of work, personal protection and measures for preventing and reacting to injury to themselves and fellow workers?

Effectiveness: To verify the effectiveness of how the auditee provides OHS training to workers, the auditor must at least evaluate:

- Meeting legal expectations: Workers training on OHS needs to cover minimum content required by national law. E.g.: Basic training usually focuses on:
  - Training on how to use personal protective equipment (PPE). The training pays particular attention to vulnerable workers and includes: cleaning, replacing when damaged and appropriate storage of the PPE
  - Training on how workers need to react in case of injury to themselves and/or fellow workers

- Appropriate training: The content of the training:
  - Provides appropriate information as well as comprehensible instructions on safety and healthy work environments for workers
  - Is provided in a language and modality that is understood by workers, including migrants and low-literacy workers

- Appropriate frequency: The training frequency shall take into account:
  - Staff turnover
  - Recruitment of seasonal workers, particularly in agriculture or to meet peak production times

- Supervision: Workers have the information on the hazards and risks associated with their work and are supervised when necessary. They know what actions must be taken to provide themselves with the necessary protection

- Adequate guidelines: Workers’ guidance and supervision takes into account workers’ levels of education and languages that are applied to the workplace

- Evacuation and firefighting drills: These drills are documented with clear indication of:
  - The purpose
  - The number of workers who participated
  - Results
Coherency: Furthermore, the auditor shall evaluate if the auditee’s OHS training to workers is in coherence with the values and principles of amfori BSCI Code of Conduct.

- Do workers and producer organizations’ members receive proper training on how to use and maintain their personal protective equipment?
- Do workers participate in evacuation drills and/or fire-fighting drills?
- Have workers and producer organizations’ members received trainings on:
  - Basic hazard awareness?
  - Site specific hazards?
  - Safe work practices?
  - Emergency procedures for fire and evacuation?
  - Natural disasters, as appropriate?
- Do management, supervisors, workers, and occasional visitors to areas of risk receive training?
- Are workers and producer organizations’ members who operate machinery and power generators properly qualified to uphold safety regulations and operating procedures? Qualifications can be achieved by means of training and/or experience
- Do people and producer organizations’ members working with electrical installations and equipment understand their tasks and safety procedures?
- Do workers and producer organizations’ members who handle and/or administer hazardous substances receive specific training? These are examples of hazardous substances: chemicals, disinfectants, crop protection products, biocides

**Personal protective equipment**

7.6. Is there satisfactory evidence that the auditee enforces the use of PPE to provide protection to workers alongside other controls and safety systems?

Effectiveness: To verify the effectiveness of the way the auditee enforces the use of PPEs, the auditor must at least evaluate that the personal protective equipment provided by the auditee is:

- **Effective**: Offers effective protection to the worker and occasional visitors. Particular attention shall focus on specific potentially harmful processes (e.g. sand blasting for jeans, fumigation in agriculture)
- **Comfortable**: Does not cause unnecessary inconvenience to the individual
- **Free of charge**: The auditee does not charge workers any cost for using the PPE
- **Suitable**: Suits the activities undertaken

Coherency: Furthermore, the auditor shall evaluate if the ways in which the auditee enforces PPE are consistent with the values and principles of amfori BSCI Code of Conduct.

- Do workers receive proper training on how to use and maintain their personal protective equipment?
- Is the use of PPE based on the information gathered through the OHS risk assessment?
• Is management, particularly supervisors, being trained on how to use and maintain PPE? Are they aware of the protocol to ensure workers use PPE?

• Is there a procedure to control the quantity of PPE so that it always matches the number of workers, including during peak time?

• Is there a procedure that aims to ensure PPE is high-quality and effectively protects workers no matter what and regardless of costs?

• Are there any grievances lodged with regard to the potential neglect of enforcing the use of effective PPE?

Chemicals

7.7. Is there satisfactory evidence that the auditee implements engineering and administrative control measures to avoid or minimise the release of hazardous substances into the work environment, keeping the level of exposure below internationally established or recognised limits?

Effectiveness: To verify the effectiveness of how the auditee implements and enforces control measures, the auditor must at least evaluate that:

• Risk assessment: The auditee has identified the engineering and administrative control measures that may be needed to avoid or minimise the release of hazardous substances into the work environment (factory or farm)

• Administrative control measures: The auditee implements administrative control measures such as:
  
  o Authorisation: Only authorised workers have access to chemical substances
  o Protection: Workers receive adequate protection for handling and administering chemicals
  o Record keeping: Distribution, use and disposal of chemicals is properly recorded
  o Following instructions: The use of chemicals corresponds to the recommendations of the manufacturer
  o Labelled: The labelling of chemicals and marking of hazards are clearly understood by the workers and are done in accordance with nationally and internationally recognised requirements. E.g.:
    - The International Chemical Safety Cards (ICSC)
    - The Materials Safety Data Sheets (MSDS)

  More information on the management of chemicals can be found at the following link:
  http://www.inchem.org/pages/icsc.html

• Engineering control measures: The auditee implements engineering control measures for:
  
  o Expulsing fumes, steam and dust outside (e.g. spot cleaning places)
  o Properly disposing chemicals, even in the absence of national legal regulations

Coherency: Furthermore, the auditor shall evaluate that the way the auditee implements control measures is consistent with the values and principles of amfori BSCI Code of Conduct

• Do workers receive proper training on how to use both administrative and engineering measures?

• Is the implementation of control measures based on the information gathered through the OHS risk assessment?
• Is management, particularly supervisors, trained on how to implement the control measures? Is there a procedure to manage the quantity and effectiveness of the controls? How often are the controls monitored?
• Is there a procedure to report alerts and repair any problem detected in the control measures?
• Are members of a producer organization informed and trained on the need to conduct risk assessment and to implement control measures?

**Accident and emergency procedures**

7.8. Is there satisfactory evidence that the auditee has developed and implemented accident and emergency procedures?

**Effectiveness:** To verify the effectiveness of the way that the auditee implements accident and emergency procedures, the auditor must at least evaluate that:

• The auditee understands the importance of having documented emergency procedures which are also properly implemented
• The auditee has visually displayed the accident and emergency procedures in a way that is clear for workers and first-aid personnel
• The auditee has the procedures in place to immediately stop any operation where imminent and serious danger threatens workers’ safety and health
• The auditee has the procedures in place to enable workers to safely evacuate the premises when needed
• The auditee ensures these procedures are properly explained to:
  o Seasonal and temporary workers
  o Night workers
  o Migrant workers
  o Pregnant women
  o Young workers and other vulnerable workers

**Coherency:** Furthermore, the auditor shall evaluate that the way that the auditee implements accident and emergency procedures is consistent with the values and principles of amfori BSCI Code of Conduct

• Do workers receive proper training on how to act in case of accident or emergency? Are there specific instructions for workers depending on the type of work or department?
• Are the accident and emergency procedures based on the information gathered through the OHS risk assessment? Are the workers and their representatives involved in developing the procedures?
• Is management, particularly supervisors, trained on how to ensure workers follow the accident and emergency procedures?
• Are there any grievances lodged with regard to the possible neglect of accident and/or emergency procedures?
• Is there a procedure to control the effectiveness of the procedures? How often are they monitored?
• Are members of a producer organization informed and trained on the need to develop and implement accidents and emergency procedures?
7.9. Is there satisfactory evidence that the auditee makes visible potential hazards to the workers and visitors through signs and warnings?

**Effectiveness:** To verify the effectiveness of the ways in which the auditee makes visible potential hazards, the auditor must at least evaluate that:

- The auditee is sensitive to the workers’ specific cultures and activities
- The types of signs and the places chosen for their display are appropriate
- The warnings are suited to point to potential hazards. E.g.:
  - Chemicals
  - Electricity
  - Hot surfaces
  - Falling objects
  - Slippery floors
  - Machinery and vehicles

**Coherency:** Furthermore, the auditor shall evaluate that the ways in which the auditee makes visible potential hazards is consistent with the values and principles of amfori BSCI Code of Conduct

- Do workers understand the meaning of the signs and warnings?
- Is the type of hazard identified in the OHS risk assessment? Are the workers and their representatives contributing to this aspect of the risk assessment?
- Do the types of hazards, with warnings about them, relate to accident and emergency procedures?
- Is the effectiveness of the signs regularly monitored or reported on? How often?
- Are members of a producer organization informed on the need to make potential hazards visible in their operations?

7.10. Is there satisfactory evidence that the auditee has and properly uses procedures and systems for reporting and recording occupational accidents and injuries?

**Effectiveness:** To verify the effectiveness of the way the auditee reports and records accident and injuries, the auditor must at least evaluate that:

- **Reporting:** The auditee has systems in place that enable workers to report immediately to their supervisors any situation which may present a serious danger to people’s lives or health. Accidents and near-misses should be reported.
- **Recording:** The auditee keeps records on all accident and injury records by specifying:
  - **When** the accident took place (e.g. date, peak season, picking season)
  - **Who** was involved
  - **What** were the actions taken
  - **What** was the final result (death, injury)
  - **How** the accidents (or work-related diseases) were investigated
  - **What** prevention and remediation actions were taken
  - **For how long** the workers were incapacitated
Coherency: Furthermore, the auditor shall evaluate that the way the auditee reports and records accidents and injuries is consistent with the values and principles of amfori BSCI Code of conduct.

- Do workers understand the protocol to report accidents and injuries to their supervisors? Are they able to evaluate the seriousness of potential dangers in the workplace?
- Do workers receive training on how to prevent and respond to the most frequent accidents or injuries that happen in their area of work?
- (How) are the accident records used to apply lessons learned to improve safety in daily operations? How these lessons are learned incorporated into the revision of accident and injury protocols?
- Are there indications that most accidents or injuries are experienced by vulnerable workers? Are there specific measures meant to prevent this so vulnerable workers receive particular kinds of protection?
- Are members of a producer organization informed and trained on how to prevent and respond to accidents?

7.11 Is there satisfactory evidence that the auditee confirms that the equipment and buildings used for production are stable and safe?

The auditor is not expected to conduct “building integrity inspections” which go beyond his/her mandate as a social auditor.

If the auditee is located in a building with several floors. The auditor shall report in the executive summary:

- the actual location (e.g. 3rd floor out of 5 floors)
- if there are other business enterprises located in the same building (without disclosing their name)
- If the type of activity performed in the building may increase the likelihood of stability and safety for the entire building.

Effectiveness: To verify the effectiveness of the way in which the auditee confirms that the equipment and buildings used for production are stable and safe, the auditor must at least evaluate that the auditee:

- Knows and follows national legal requirements concerning stability, safety and appropriateness of its building to conduct the business activities
- Knows and follows the legal requirements concerning the safety of equipment including, if relevant, ongoing official inspections
- Has procedures in place to confirm the stability and safety of the equipment
- Maintains accurate documentation on any official and private inspection concerning building and equipment safety and stability
- Is in possession of a valid licence to conduct its activities in the related building(s)

Coherency: Furthermore, the auditor shall evaluate that the way in which the auditee confirms that the equipment and buildings used for production are stable and safe is consistent with the values and principles of amfori BSCI Code of Conduct.
Does the auditee conduct its activities in adequate surroundings and buildings?
Are there any grievances lodged concerning a potentially unstable or unsafe building or piece of equipment provided by the auditee?
Are workers able to assess a potential danger associated with the building and/or the equipment?
Are there cases documented in the accident records which show that part of the building or a piece of equipment was unsafe?

7.12 CRUCIAL QUESTION: Is there satisfactory evidence that the auditee respects the workers’ right to remove themselves from imminent danger without seeking permission?

Effectiveness: To verify the effectiveness of the way the auditee respects the workers’ right to remove themselves from imminent danger, the auditor must at least evaluate that:

- The auditee has this right properly documented in the OHS procedure or clearly communicated to workers
- Workers are well-informed of this right as part of the training on OHS
- Workers are well-informed on what to do in case of imminent risk of danger
- The right applies to the workplace and residential facilities provided by the auditee

Coherency: Furthermore, the auditor shall evaluate that the way in which the auditee respects the workers’ right to remove themselves from imminent danger is consistent with the values and principles of amfori BSCI Code of Conduct

- Are workers aware that they have this right? Does it apply to the workplace and residential facilities? Does the auditee take additional measures to ensure vulnerable workers understand this right (e.g. migrant workers)?
- Are there any grievances lodged concerning potential disregard of this right?
- Are workers able to evaluate imminent danger so they to know when to leave? Are they trained to have this awareness?
- Are there cases documented in the accident records where workers were unable to exit the premises despite evident danger?
- Is the management able to describe the protocol that directs workers to immediately leave the workplace or residential facilities in case of imminent danger?
- Are members of a producer organization aware of the right of their workers to remove themselves from imminent danger without seeking permission?

Electricity

7.13 Is there satisfactory evidence that the auditee makes sure a competent person periodically checks the electrical installations and equipment?

Effectiveness: To verify the effectiveness of the way that the auditee ensures a competent person checks electrical installations and equipment, the auditor must at least evaluate that:

- The person in charge of maintaining safe electrical installations is competent by means of training, qualification and/or experience
- The person checks the electrical installations and equipment:
  - Within the pre-defined timeframe
  - Randomly (e.g. in addition to regularly established checks/maintenance)
As per request
- The checks are properly recorded and, if possible, posted close to the verified installation or equipment with clear messages about current status
- The record includes at least:
  - Name of the person in charge
  - Date of the last check
  - Description of the finding (if any)
  - Due date for the next check
- Only properly insulated tools in good working condition are used when dealing with electrical installations and equipment
- People working with installations and equipment have adequate working space and lighting to conduct their work safely. This can be:
  - In accordance with the official regulations
  - Based on common good practice, if those regulations do not exist

**Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee ensures a competent person checks electrical installation and equipment is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are electrical installations and equipment functioning in a way that ensures a safe work environment?
- Are results from the checks taken into consideration to improve safety in the workplace?
- Is the workplace free from distribution lines? Electrical cords shall not pose a tripping hazard
- Are workers properly instructed to avoid possible risk of strangulation or any other accident that could be related to electrical installations?

**Fire protection**

7.14 **CRUCIAL:** Is there satisfactory evidence that the auditee has installed an adequate amount of properly working firefighting equipment?

**Effectiveness:** To verify the effectiveness of the way that the auditee installs firefighting equipment, the auditor must at least evaluate that:

- The installation of firefighting equipment is in line with the OHS action plan developed as a result of the periodic risk assessment
- The auditee follows national law specifications with regard to requirements for firefighting equipment. This usually includes:
  - Position and placement
  - Size and effectiveness
  - Maintenance and inspection requirements
- There are functioning and sufficient fire extinguishers for workplace dimensions and activities
- The firefighting equipment is:
  - Distributed in an equal manner throughout the workplace
  - Placed at a height for it to be effective and easily accessible by workers
- Properly identified (inventoried) with clear reference to the last serviced date and due date for the next inspection
- The location of the fire extinguishers and the route to reach them are visually marked
- Early warning systems are installed and functioning in an adequate manner as required by the law: smoke sensors, fire alarms, alarm devices
- At least a relevant number of workers know how to use a fire extinguisher
Coherency: Furthermore, the auditor shall evaluate that the way in which the auditee installs firefighting equipment is consistent with the values and principles of amfori BSCI Code of conduct.

- Is firefighting equipment functioning in a way that ensures a safe work environment?
- Are workers properly instructed on how to use firefighting equipment? Do they know the protocol to be followed in case of fire? Do they understand the warning signals?
- If there are other types of alarms being used in the workplace (e.g. end of shifts), are they clearly distinct from the fire alarm?
- Are there cases documented in the accident records that resulted from fire? If yes, was the protocol followed? What lessons were or can be drawn from those cases?
- How often are the workers trained on the use of firefighting equipment? Are workers who deal with chemicals and other inflammable substances adequately trained?

Escape routes and emergency exits

7.15 CRUCIAL QUESTION: Is there satisfactory evidence that the auditee ensures that escape routes, aisles and emergency exits in the production site are not blocked, easily accessible and clearly marked?

Effectiveness: To verify the effectiveness of the way that the auditee ensures accessible and visible escape routes, aisles and emergency exits for all workers, the auditor must at least evaluate that:

- Escape routes, aisles and emergency exits fully and simultaneously are:
  - Never blocked
  - Easily accessible
  - Clearly marked
- Workers and visitors can easily leave the premises in case of an incident without putting their lives at risk
- The auditee approaches safe evacuation in a systemic and preventive manner, which includes:
  - Escape routes, aisles and emergency exits that are marked without ambiguity and never blocked or locked during working time
  - Emergency lights and any other evacuation signals are properly installed, well-functioning and verified on a regular basis
  - Production rooms with more than 10 workers have doors which open outwards unless the national law sets different specifications in which case the rule that provides higher protection to workers applies
  - The number of emergency exits aims at ensuring safe evacuation of all workers and directly relates to:
    - The number of workers
    - The size and occupancy (e.g. with regard to population density) of the building
    - The arrangement of the workplace
    - The type of activity or existence of substances or machineries that may increase the risk of unsafe evacuation

Coherency: Furthermore, the auditor shall evaluate that the auditee ensures safe, accessible and visible escape routes, aisles and emergency exits in coherence with the values and principles of amfori BSCI Code of conduct
• Are escape routes, aisles and emergency exits defined in a way that ensure a safe work environment?
• Are workers properly instructed on how to use them? Do they understand the ways in which escape routes, aisles and emergency are visually marked? Do they know the easiest way to follow to exit the workplace?
• Are there any internal regulations that conflict with the requirement of unblocked exits (e.g. for security reasons)?
• Are there cases in the documented accident records that show problems with the exits? Were any lessons learned and put into practice?
• How often are the workers trained on the use of firefighting equipment? Are there workers who deal with chemicals and other inflammable substances located close to the escape routes?
• Are workers on farms informed of the procedure to follow in case of fire outbreak or inundation? Are emergency contacts communicated or known to workers?

7.16 Is there satisfactory evidence that the auditee ensures evacuations plans meet legal requirements and that these plans are posted in relevant places so workers can see and understand them?

Effectiveness: To verify the effectiveness of how the auditee ensures evacuation plans, the auditor must at least evaluate that:

• The evacuation plans are easy to understand to evacuate all workers both from the production area and eventually from the entire building, when necessary
• The evacuation plans also include dormitories or housing premises, if applicable
• Evacuation plans in the workplace must be displayed and at least identify the:
  o Current position, on the premises, of the person who is reading the plan
  o Placement of the closest escape routes including emergency exits
  o Placements of fire extinguishers and any other firefighting equipment
• The auditee keeps in mind the cultural diversity, languages and education level of the workforce to design an effective way to communicate the evacuation plan
• Workers understand the evacuation plans and know how to follow them from their own standpoints
• The evacuation plans take into consideration the type of activity, different working shifts and lay-out of the workplace and building to optimise the evacuation process. In this context, work in the agriculture sector will require auditors the assessment on how evacuation from the fields or from the greenhouse installations can be done in a safe manner.

Coherency: Furthermore, the auditor shall evaluate that the auditee ensures evacuation plans are consistent with the values and principles of amfori BSCI Code of conduct.

• Are evacuation plans defined in a way to ensure a safe work environment as well as a safe housing place?
• Are workers properly instructed on how to read them? Do they understand them? Do they know the easiest way to follow to exit the workplace?
• Are there cases in the documented accident records that show if the evacuation plans have been or are effective? Were there any lessons learned? If so, have these lessons informed current planning?
• How often are the workers trained on the evacuation plans? Are workers who deal with chemicals and other inflammable substances well-informed?
• Are there communication channels that workers can use to alert about issues that could compromise a safe evacuation?
Machine and vehicle safety

7.17 Is there satisfactory evidence that the auditee ensures adequate safeguards for any machine part, function, or process which may cause injury to workers?

Effectiveness: To verify the effectiveness of the way that the auditee ensures adequate safeguards for any machine, the auditor must at least evaluate that:

- All applicable safeguards for equipment are available and properly installed, e.g.:
  - Belt encasements
  - Grills for fans
  - The emergency switch-off
- The auditee ensures valid inspection and insurance for machinery and vehicles as required by law. This may be the case for:
  - Elevators, lifts
  - Trucks, tractors and other potentially dangerous machines
- The auditee ensures maintenance is carried out by competent personnel.
- The auditee keeps records of the maintenance, which includes:
  - Purpose and result of the maintenance
  - Name of the competent person in charge
  - Applicable insurance and its validity
  - Next scheduled maintenance work

Coherency: Furthermore, the auditor shall evaluate that the way the auditee ensures adequate safeguards for any machine is consistent with the values and principles of amfori BSCI Code of Conduct

- Are workers properly instructed on how to handle potential hazards related to machines and vehicles?
- Are there documented cases in the accident records which resulted from machines and vehicles? Were lessons learned? If yes, how were those lessons integrated into the OHS procedure?
- Do workers who use machines and vehicles possess the adequate qualifications to use them in a safe manner?

First-aid

7.18 CRUCIAL QUESTION: Is there satisfactory evidence that the auditee ensures qualified first-aid is available at all times?

Effectiveness: To verify the effectiveness of the way that the auditee ensures qualified first-aid individuals and provisions, the auditor must at least evaluate that:

- The auditee respects national regulations concerning medical provisions and first-aid training
- If there are no such legal regulations, the auditee ensures:
  - Adequate first-aid stations or rooms
  - Adequate first-aid kits
  - Access to potable water, eye-wash stations and/or emergency showers close to workstations when/where immediate flushing with water is the recommended first-aid response
• Qualified first-aid staff shall be present in relevant numbers to address associated risks throughout the workplace.
• A fully-qualified person to verify the contents of the kit; who can also re-fill it
• Training on first-aid and related procedures result in ensuring that an emergency could be handled at any time (including if periods of overtime)
  • Where immediate flushing with water is the recommended first-aid response, the auditee ensures that workstations are either equipped with or very near to:
  - Potable water
  - Eye-wash stations
  - Emergency showers

  **Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee ensures qualified first-aid is consistent with the values and principles of amfori BSCI Code of conduct.

• Is there a fully-qualified person appointed to provide first-aid? Is the working schedule of that person available? Are workers aware of who would replace that person? How is this person selected?
• How often are workers trained on first-aid?
• Are there cases in the documented accident records that show that workers required first-aid? Were lessons learned? If yes, how have those lessons been integrated in the OHS procedure?
• Have workers who use machines, vehicles or those who handle chemicals or those who conduct any other risky activity been made well-aware of the first-aid protocol? Are vulnerable workers aware of the first-aid protocol?

7.19 Is there satisfactory evidence that the auditee has emergency procedures, in writing, to deal with cases of trauma or serious illness?

  **Effectiveness:** To verify the effectiveness of how the auditee emergency procedures deal with trauma or serious illness, the auditor must at least evaluate that:

• The emergency procedure aims at ensuring that workers’ trauma or serious illness are handled in the most responsible manner. The producer must be in writing and regularly updated:
  - It can be a separate document
  - Part of the action plan developed after the OHS risk assessment
• Workers and supervisors are well-aware of how the procedures work in case of trauma or serious illness
• Workers and supervisors understand when a co-worker has to be transferred to an appropriate medical facility
• Workers and supervisors know the necessary steps to ensure timely transfer to the medical facility

  **Coherency:** Furthermore, the auditor shall evaluate if the ways in which the auditee ensures emergencies procedures deal with trauma or serious illness are consistent with the values and principles of amfori BSCI Code of Conduct.

• Are there cases of trauma or serious illness found in the accident records? Were lessons learned? If yes, how were those lessons integrated in the OHS procedure?
• Are there any grievances lodged concerning the neglect of victims of trauma or serious illness?
• Are workers working in the night shift aware of these procedures?
• Is the information on medical facilities visually displayed? Do workers know where to get this information?

**Work place, social facilities, including housing when provided by the auditee**

7.20 **CRUCIAL QUESTION:** Is there satisfactory evidence that the auditee provides workers with potable water at all times?

The right to potable water is a human right. As such, it applies to every person and it is inalienable. Potable water shall be available during working hours as well as at workplace facilities where workers prepare or eat food as well as to the housing provided by the auditee.

If work takes place in agricultural fields or greenhouses, the auditee shall put in place mechanisms to ensure potable and fresh water is available to workers in these places.

Special attention shall be given in regions where the risk of dehydration may be higher due to hot/dry weather or where running/well water is not potable.

**Effectiveness:** To verify the effectiveness of the way that the auditee ensures potable water, the auditor must at least evaluate that:

• Workers and supervisors have access to clean potable water at all times, not only during breaks
• Access to water is not used as means for discrimination or as a disciplinary measure
• Workers have access to clean potable water without risk of contagion
• The auditee respects the characteristics and tests required for potable water as defined by national regulations
• The auditee ensures that there are proper signs to identify water which is not potable in places where it is not mandatory that water be potable

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee ensures potable water is consistent with the values and principles of amfori BSCI Code of conduct.

• Are workers aware of their right to potable water at all times? How often do they access water?
• Does the auditee pay particular attention to the risk of dehydration? Does the auditee go to extra efforts to ensure vulnerable workers have access to water?
• How is water supply guaranteed? Who is responsible to ensure that water is always available?
• Are workers aware of their responsibility to provide potable water to workers at all times?

7.21 **Is there satisfactory evidence that the auditee provides workers with access to an appropriate, clean area for storing food, eating and/or cooking?**

The auditor takes pictures of the state of these areas and includes them in the audit report.

The auditor verifies how food is stored; records of cleaning shifts; menus provided and the range of lunch and/or dinner shifts (if applicable).

**Effectiveness:** To verify the effectiveness of the way that the auditee ensures appropriate areas for storing food, eating and/or cooking, the auditor must at least evaluate that:

• Workers are provided with access to clean areas for food storage, cooking and/or eating, including in remote areas (e.g. during harvest)
- The auditee will follow national regulatory criteria, which usually relate to the number of workers
- The auditee ensures that clean and appropriate areas are also provided during peak season or any other occasion where the number of workers may increase with the use of seasonal or subcontracted workers

**Coherency:** Furthermore, the auditor shall evaluate that the auditee ensures appropriate areas for storing food, eating and/or cooking in compliance with the values and principles of amfori BSCI Code of Conduct.

- Are workers satisfied with the areas provided by the auditee?
- How is the food stored to ensure it keeps its nutrients?
- Are records available on the cleaning shifts for these areas? Is catering subcontracted? Is the menu displayed and are records kept?
- If there are no legal minimum criteria, does the auditee conduct assessments to define them in consultation with workers and their representatives?

### 7.22 Is there satisfactory evidence that the auditee provides workers with clean washing facilities, changing rooms and toilets that are also respectful of local customs?

**Effectiveness:** To verify the effectiveness of the way that the auditee provides workers with clean washing facilities, changing rooms and toilets, the auditor must at least evaluate that

- The auditee provides these facilities to ensure that workers can maintain their dignity and hygiene habits
- The auditee follows national regulations concerning the minimum number of washing facilities and toilets for the size of the workforce
- If there is no national regulations, the auditee determines its criteria based on the OHS risk assessment in consultation with workers
- The auditee is able to explain, during the audit, the reasons for having the amount of facilities it has and the plans to adapt the number if needed
- The toilets are sanitary. This implies: hygienic conditions, soap supply, working locks and separate washroom facilities for women and men
- The auditee provides hygienic changing rooms, when necessary, for workers who change their clothes to perform their functions. This is particularly relevant for workers who handle hazardous substances or have to wear a uniform (e.g. poultry industry)

Particular attention shall be devoted to ensure that facilities meet workers’ needs even when the number of workers increases (e.g. peak session).

**Coherency:** Furthermore, the auditor shall evaluate that the ways in which the auditee provides workers with clean washing facilities, changing rooms and toilets are consistent with the values and principles of amfori BSCI Code of Conduct.

- Does the number of washing facilities, changing rooms and toilets meet the needs of the total number of workers?
- Are women specific needs taken into consideration?
- Does the auditee ensure that the facilities meet workers’ needs even when the number of workers increases (e.g. peak session)?
- Are there any grievances about a potential lax and/or unsanitary approach in how these facilities are provided?
7.23 Is there satisfactory evidence that the auditee provision of transportation to workers is safe and complies with national regulations?

If the auditee does not provide (directly or indirectly) transportation to workers, the auditor shall provide information under “Findings” and answer the question “Not applicable”

**Effectiveness:** To verify the effectiveness of the way that the auditee provides transportation, the auditor must at least evaluate that:

- The transportation provided to workers (either directly or using third parties) is safe and complies with national regulations
- The auditee is able to provide information on how workers get to the premises (e.g. using public transportation, a bicycle)
- The auditee ensures that vehicles unsuitable for human transportation are not used to commute workers (e.g. the use of agricultural vehicles for human transportation represents an additional risk for accidents)
- The information provided on transportation should match the information provided on the quick scan on fair remuneration

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee provides transportation is consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the auditee aware of the way workers commute to work? Are workers consulted on the most effective means of transport? Is the cost of transportation provided by the auditee in a transparent manner?
- Are there alternatives for workers? Is the person in charge of driving workers to the site qualified to do so? Is that person subcontracted?

7.24 Is there satisfactory evidence that the auditee has chosen the location of the social facilities or workers housing to ensure occupants are not exposed to natural hazards or affected by the operational impacts of the worksite (for example noise, emissions or dust)?

**Effectiveness:** To verify the effectiveness of the way that the auditee provides workers safe and healthy housing, the auditor must at least evaluate that:

- The auditee is able to articulate the decision on where to set up social facilities (e.g. canteens) or housing from an occupational health and safety risk assessment perspective
- The auditee is able explain how the chosen location ensures that workers (and/or their families, if applicable) are not exposed to natural hazards or health and safety risks
- In cases where, due to the nature of the work, workers are required to live temporarily or permanently close to the area of work, the auditee provides adequate welfare facilities and accommodation at no cost to the worker (e.g. agriculture and/or animal production)

**Coherency:** Furthermore, the auditor shall evaluate that the auditee provides workers with housing in a way that is consistent with the values and principles of amfori BSCI Code of Conduct

- Do workers have constructive communication channels to provide feedback on the housing conditions?
• Is sufficient space per individual granted?
• Does the housing provide safe places for workers to keep their personal belongings?
• How often are they cleaned? Who is in charge of keeping the housing clean? Is there a big fluctuation of workers/occupants coming and leaving?
• Are members of a producer organization informed of their responsibility to provide appropriate workers’ housing?

7.25 Is there satisfactory evidence the auditee verifies that temperature, humidity, space, sanitation, illumination are adequate for the health and safety of workers?

National law usually defines the characteristics for workplaces as well as social facilities and housing, so they provide a healthy and adequate environment for workers.

Particular attention shall be devoted to cases where the auditee provides workers with housing. The rooms or sleeping quarters shall not be overcrowded, workers shall have space to store personal items while laundry and waste disposal need to be properly organised.

**Effectiveness:** To verify the effectiveness of the way that the auditee verifies adequate temperature, humidity, space, sanitation, illumination, the auditor must at least evaluate that:

• Space and illumination are provided in an adequate way for workers’ specific activities
• The auditee includes the assessment on temperature, humidity, space, sanitation and illumination as part of the OHS risk assessment and related action plan
• The auditee consults workers and their representatives as well as the person in charge of OHS
• The schedule for garbage (and recycling) pickup shall be displayed for workers who live in the housing

The auditee shall be able to provide consistent information on the existing conditions; improvement plans (if any); timeline; and related cost allocations to ensure these aspects of the workplace, social facilities and housing fully respect workers’ health and safety.

**Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee verifies adequate temperature, humidity, space, sanitation, illumination is consistent with the values and principles of amfori BSCI Code of Conduct.

• Are workers satisfied with the temperature, humidity, space, sanitation, illumination conditions?
• Are there any grievances concerning the quality of any of these aspects?
• How often are workers and their representatives consulted about these conditions?
• Is the scheduled garbage pickup displayed? How are laundry services or rooms organised?
• Are there cases documented in the accident records which show neglect for any of these conditions? Were lessons learned? If yes, how were those lessons integrated in the OHS procedure?
Documents related to this performance area

Certificates and contracts:
- Valid inspection and insurance for machinery and vehicles
- Purchase invoices of the PPE bought by the auditee
- Valid business license and all necessary official approvals to run operations
- Official building certificate about safety and appropriateness for the industry
- Contract with any service provider including food services, transportation, agents

Training:
- Documentary evidence of workers training on occupational health and safety
- Documentary evidence of training, consultations and informative sessions held for members of a producer organization
- Workers and management training calendar
- Documentary evidence of workers qualification for those dealing with dangerous machines, electrical installation and any other activity that requires specific training due to the level of risk

Records and reports:
- Risk assessment for safe, healthy and hygienic working conditions
- Action plan for safe, healthy and hygienic working conditions
- Documentary evidence of updated contributions to social insurance funds
- Occupational health and safety regulations applicable for the industry
- Documentary evidence of the election process of the health and safety committee
- Minutes of the health and safety committee meetings
- Documentary evidence of consumption, withdrawal and disposal of chemicals (including Material Safety Data Sheets – MSDS)
- Official inspections conducted to ensure building and equipment safety, including date of validity and corrective actions if any
- Inspection reports, maintenance records, operating and safety instructions for:
  - Dangerous machines, including but not limited to lifts, electrical equipment, high-pressure equipment
  - Firefighting equipment (e.g. inspection tags on fire extinguishers)
  - Potable water at production facilities and dormitories
  - Health and safety for the facilities and dormitories including but not limited to temperature, noise level and lighting

Ready to learn more?
Here are some other resources that will help you to dive deeper:
- Annex 5: How to follow the Zero Tolerance protocol
- Annex 14: How to integrate gender equality in the due diligence strategy
Performance area 8: No child labour

Child labour can be detected and addressed through due diligence, company recruitment and regular dialogue with workers, workers representatives and other key stakeholders. In all cases, a child must be protected, feel safe and able to express her/his work experiences in confidence.

Addressing child labour in the supply chain in a responsible way is very complex; especially in locations where child labour may be common. Removing them from work may force them to enter worse forms of exploitation or greater vulnerability.

When assessing family farms, the auditor shall understand that children participation to family farming activities contributes to the inter-generational transfer of culture, wisdom and skills. Auditors shall evaluate whether children contribution to farming may hide any exploitation component or depriving children from their childhood.

8.1 CRUCIAL QUESTION: Is there satisfactory evidence that the auditee does not engage in illegal child labour directly or indirectly?

Child labour occurs when work:

- Is done by a person who is younger than 15 years old (or someone who is younger than 14 years old in countries that set that age as the threshold)
- Is mentally, physically, socially and/or morally dangerous
- Is harmful to children
- Interferes with children regular schooling because it:
  - Deprives them of the opportunity to attend school
  - Obliges them to leave school prematurely
  - Requires them to attempt to combine school attendance with excessively long and heavy work
- Cannot be considered “light work”

Light work refers to the participation of children or adolescents in work activities such as:

- Helping their parents around the home (including farming)
- Assisting in a family business
- Earning pocket money outside school hours and/or during school holidays

Light work is acceptable as long as:

- The child is at least 13 years old (or at least 12 years old in countries that have set a minimum age of 14)
- It does not prejudice their attendance to school or time dedicated to homework (e.g. maximum two hours in any working day)
- It does not take place on a continuous basis (e.g. school holidays)
- It is supervised by either parents or any other guardian who can ensure the tasks provided to children are not harmful for their current and future health, physical development or interfere with their schooling

A higher minimum age of 18 years is set for hazardous work. Work which, by its nature or by the circumstances under which it is carried out, is likely to jeopardise peoples’ health, safety and/or morals cannot be carried out by workers younger than 18 years old.
**Effectiveness:** To verify the effectiveness of how the auditee ensures not to engage in illegal child labour directly or indirectly, the auditor must at least evaluate that the auditee shows credible and unambiguous efforts to avoid illegal child labour from different perspectives.

This includes:

- The auditee shows a good understanding on what illegal child labour is and why it is an undesirable hiring practice
- The auditee builds the necessary awareness among supervisors and recruitment staff to:
  - Identify the likelihood of child labour in its industry or region (e.g. some industries such as agriculture, fishing or mining have a higher risk of child labour than others)
  - Not engage child labour indirectly (e.g. using recruitment agencies, or allowing migrant or seasonal workers to use their own children to support them at work)
- The auditee keeps accurate records of:
  - Migrant and/or seasonal workers children’s names, ages, school schedules and information on their schools
  - Age and identity cards of workers engaged via recruitment agencies
  - Agencies’ recruitment procedures to avoid engagement of children or illegal workers (among others)
- The auditee keeps contact details of the stakeholder(s) that could be helpful in the event of illegal child labour being identified

**Flagrant child labour:** If child labour is found during the audit, immediate actions shall be taken by the auditor at that very moment:

- Identification of the child and his/her family
- Determining the specific circumstances of the case. For example, if the case refers to accidental child labour (e.g. the company was led to believe the child was older) or if there is a case of the “worst form of child labour and exploitation”, which deserves different remediation
- Getting in touch with the family/guardian and relevant stakeholders to ensure the child is removed in a responsible way

If the auditee has mapped its relevant stakeholders and developed its child labour procedure, the case of child labour found during the audit will allow the auditor to witness the effectiveness of the procedure.

The auditor will take the time necessary to interview the child and gather as much information as possible on:

- How the child entered the job?
- For how long has he or she been employed?
- How has he or she been treated?
- What has been the payment, working time and under what working conditions?
- Has he or she been provided food and housing?
- Are there other children onsite?
- What is the child’s background?

In order to reach the best outcome of this interview, the auditor shall be well-equipped with specific interview techniques to make the child feel comfortable and safe.

**Immediate notification:** The issue needs to be notified immediately via the amfori BSCI platform following the amfori BSCI Zero Tolerance protocol (see Annex 5: How to follow the Zero Tolerance protocol).
The effectiveness of the child labour procedure shall be reported under the No Child Labour performance area either as an area for improvement or as a good practice.

**IMPORTANT:** It is not the child who is in breach of the law, but the employer. The child should not get the impression that something bad will happen to him/her. Auditors must be genuinely willing to listen to what the child is saying, but they should also know when to stop the interview if the child’s memories and experiences are too intense or painful.

**Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee ensures not to engage in illegal child labour directly or indirectly is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are the questions in the recruitment procedure respectful to individuals?
- Does the auditee take into consideration gender issues?
- Is the auditee particularly vigilant if it is based in a region with a high level of migration and seasonal workers?

### 8.2 Is there satisfactory evidence that the auditee has established robust age-verification mechanisms as part of the recruitment process, which may not be in any way degrading or disrespectful to the worker?

**Effectiveness:** To verify the effectiveness of the way that the auditee establishes robust age-verification mechanisms, the auditor must at least evaluate that:

- The recruitment procedures integrate the necessary measures to avoid or minimise the risk to hire minors. The risk is higher for:
  - Certain sectors (e.g. mining, agriculture)
  - For jobs that require low or no qualifications
  - For work conducted in remote areas where:
    - Labour inspectors are less likely to reach
    - Individuals have limited access to official identity cards

- The age-verification mechanism includes:
  - Training the person or people in charge of hiring workers and dealing with high-risk situations
  - Training the person or people in charge of recruitment to “cross verify” interview techniques to find out the age of job candidates in interviews
  - Regular cross verification of workers’ age with other stakeholders (e.g. recruitment agencies, previous employers)

- The age verification mechanism is documented, including the type of questions used by the recruiter to cross verify the age claimed by the worker

- The age verification mechanism is triggered only in cases where the person in charge of recruitment may have doubts about the age claim

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee establishes robust age-verification mechanisms is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are the questions in the recruitment procedure respectful to individuals?
- Does the age-verification mechanism take into consideration gender issues?
- Do workers usually have identification cards?
• Are medical check-ups used to support the verification of age?
• Is the auditee particularly vigilant if it is based in a region with a high level of migration and seasonal workers?
• Is the person in charge of human resources adequately trained on age verification?

8.3 Is there satisfactory evidence that the auditee has adequate policies and procedures in writing toward protecting children from any kind of exploitation?

**Effectiveness:** To verify the effectiveness of the way that the auditee protects children from exploitation, the auditor must at least evaluate that:

• The policies and procedures aim at avoiding any exploitation of children, both directly or indirectly
• The procedure develops from a systematic analysis of the circumstances under which exploitation of children occur
• The procedure sets out:
  o The necessary steps to ensure children are protected from exploitation
  o How to deal with the case of child labour in the most responsible and humane way

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee protects children from exploitation is consistent with the values and principles of amfori BSCI Code of Conduct

• Is there any hazardous working condition in the workplace that could be problematic even for adults? If yes, what kind of measure is absent but needs to be put in place to reduce or eliminate the hazard(s)?
• Is the business based in a region/area where drug trafficking, prostitution or any other illegal activity is recurrent? If yes, what additional measures shall be taken?
• Is the business based in a region/area where family poverty could be the driving force behind child labour?
• Is there any child labour programme or project run in the area by government, NGOs or others?
• Is there any trade union which could provide support in cases of child labour?
• Is there any educational or vocational training facility nearby or in the regional vicinity? Are there available contact details and/or schedules?
• Can the education or social welfare authorities provide assistance?
• Is there financial compensation available for children to stop working so they can go to school?

8.4 Is there satisfactory evidence that the auditee has adequate and remedial policies and procedures to provide for further protection in case children are found to be working?

Having a policy of only engaging adults is not considered a preventive measure neither responsible.

**Possible alternatives:** The auditee needs to understand child labour risks (through its own recruitment or indirectly) and the possible alternatives for an adequate removal and rehabilitation of the child into society (e.g. non-formal or basic education to bring older children up to grade level so they can successfully intern or re-enter regular schools).

**Stepwise approach:** The auditor and auditee need to be aware that in some cases the best approach may be to define a schedule for rectifying irregularities in order to progressively remove children from work. This might be more appropriate than drastically and immediately removing the child without any supervision. He or she may end up drifting back or disappearing into less visible and more exploitative, hazardous, illegal types of work.
Effectiveness: To verify the effectiveness of the way that the auditee provides for further protection in case children are found to be working, the auditor must at least evaluate that:

- The auditee has developed and maintains policies and procedures for remediation in case child labour occurs
- The remediation procedure includes removal and rehabilitation of the children
- The remediation procedure has the ultimate goal that the child is better off as a result of being removed, rehabilitated or prevented from working
- The auditee understands the relevance of stakeholders who could support in cases of dismissals of children who are found working. Examples of such stakeholders are local chapters of organisations like Save the Children, UNICEF and government agencies with mandates to protect children.

Coherency: Furthermore, the auditor shall evaluate that the way in which the auditee provides for further protection in case children are found to be working is consistent with the values and principles of amfori BSCI Code of Conduct

- Does the auditee understand why child labour needs to be eradicated?
- Does the auditee understand that a child who is found working needs to be responsibly rehabilitated into society?
- Does the auditee understand that a progressive removal may in some cases be the best solution?
- Are there any grievances lodged concerning any potentially irresponsible removal of a child?

Documents related to this performance area

- Personnel data files for all workers (including seasonal workers and workers hired using recruitment agencies)
- Age-verification procedure
- Documentary evidence of training given to workers, management and human resources (e.g. list of attendees with signatures)
- Procedure to avoid children exploitation
- Child labour remediation procedure
- Work contracts or agreements, including with recruitment agencies

Ready to learn more?
Here are some other resources that will help you to dive deeper:

- Annex 5: How to follow the Zero Tolerance protocol
- Annex 17 How to promote responsible recruitment
- Template 6: Stakeholder mapping
Performance area 9: Special protection for young workers

Young workers can be vulnerable to precarious employment arrangements, unfair remuneration and OHS hazards. For that reason, they are entitled to special protection in the workplace.

Even if the auditee does not engage young workers at the time of the audit, the auditee shall show:

- a good understanding of type of special protection to be granted to young workers
- the type of activities that young workers should not be engaged in because of being potentially harmful for them
- the type of measures taken to ensure such a special protection could be potentially given

Auditors must always include young workers as part of the interview sample, if there are young workers at the time of the audit.

9.1 Is there satisfactory evidence that the auditee ensures that young persons do not work at night and are protected against conditions of work which are prejudicial to their health, safety, morals and development?

**Effectiveness:** To verify the effectiveness of the way that the auditee ensures special protection to young workers, the auditor must at least evaluate that:

- The auditee includes as part of its OHS risk assessment, the identification of job tasks that could be assigned to young workers because they take into consideration their health, safety, morals and long-term development
- The auditee has set up the necessary measures to ensure that young workers are adequately protected against any harmful working condition - potential or actual - for their health, safety, morals and/or development
- The auditee has set up the necessary measures young workers are not engaged in night shifts

The period of time that qualifies as “night work” is usually defined by national law.

Without a defined national law, amfori BSCI considers “night work” as all work which is performed during a minimum period of seven consecutive hours, including the interval between midnight and 5 am, as defined by the ILO.

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee ensures special protection to young workers is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are young workers satisfied with their task(s) and work schedules?
- Is management, particularly those in charge of human resources and supervisors, aware of the special protection granted to young workers?
- Is there a higher percentage of accident occurrences for young workers than for other categories of workers?
9.2 **CRUCIAL QUESTION:** Is there satisfactory evidence that young workers’ working hours do not prejudice their attendance at school, their participation in vocational orientation approved by the competent authority or their capacity to benefit from training or instruction programmes?

**Effectiveness:** To verify the effectiveness of the ways in which the auditee ensures working hours do not prejudice young workers, the auditor must at least evaluate that:

- The auditee respects young workers’ right to education
- The auditee ensures that the combination of working time, school time and transport time do not exceed 10 hours in a day if workers are enrolled in:
  - Local compulsory education
  - Any other vocational orientation or training programmes approved by the competent authority
- The auditee ensures that internal trainings are organised so young workers can attend. The timing of the trainings cannot coincide with young worker attendance to school or vocational training, as this could qualify as discrimination.

**Coherency:** Furthermore, the auditor shall evaluate that the ways in which the auditee ensures working hours do not prejudice young workers are consistent with the values and principles of amfori BSCI Code of Conduct

- Are young workers satisfied with the work schedule?
- Have there been any internal trainings organised at times when young workers could not attend?
- Are supervisors aware of the time that young workers work? Do they take additional measures to ensure that young workers, do not exceed the 10 hours daily limit (work, school, transport)?
- Are there cases when young workers were promoted after having finished vocational training?

9.3 **CRUCIAL QUESTION:** Is there satisfactory evidence that the auditee has established the necessary mechanisms to prevent, identify and mitigate harm to young workers?

**Effectiveness:** To verify the effectiveness of how the auditee establishes the necessary mechanisms to not prejudice young workers, the auditor must at least evaluate that:

- The OHS risk assessment and related action plan pay specific attention to young workers
- Workers and their representatives are consulted and involved in identifying the most appropriate preventive and mitigation measures
- The mitigation measures are properly documented and practiced, when applicable

**Coherency:** Furthermore, the auditor shall evaluate that the ways in which the auditee establishes the necessary mechanisms to not prejudice young workers is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are there any cases in the accident records that show that the mitigation measures were applied to young workers? Were there any lessons learned? If yes, how have they been integrated in the revision of the OHS action plan?
- Are there special preventive and mitigation measures to address young female workers?
• Are supervisors aware of the preventive and mitigation measures to avoid harming young workers?

9.4 Is there satisfactory evidence that the auditee seeks to ensure young workers have access to effective grievance mechanisms?

**Effectiveness:** To verify the effectiveness of the ways in which the auditee ensures young workers have access to effective grievance mechanisms, the auditor must at least evaluate that:

• Young workers receive special training on how to lodge a grievance
• Young workers are properly informed on the available support provided to them to lodge a grievance
• Young workers are trained regardless of the circumstance of employment: seasonal, subcontracted or directly engaged
• The auditee keeps records of training provided to young workers, concerning the existence and use of the grievance mechanism

**Coherency:** Furthermore, the auditor shall evaluate that the ways in which the auditee ensures young workers have access to effective grievance mechanisms is consistent with the values and principles of amfori BSCI Code of Conduct.

• Are young workers satisfied with the quality of trainings? Do they understand the steps to lodge a grievance and who could help them in the process?
• Does the auditee pay particular attention to ensure access to young female workers?
• Are there any grievances lodged by young workers? Are there any grievances lodged about possible laxity in protecting young workers?
• What are the lessons learned? How are they integrated in the revision of the grievance mechanism?
• Are supervisors made aware and instructed to provide support to young workers to access and utilise the grievance mechanism?

9.5 Is there satisfactory evidence that the auditee seeks to ensure that young workers are properly trained on OHS and have access to related training programmes?

**Effectiveness:** To verify the effectiveness of the way that the auditee ensures young workers are properly trained on OHS, the auditor must at least evaluate that:

Young workers receive occupational health and safety training on the specific risks they face as young workers as well as those related to their specific tasks.

The auditee has documented these trainings, which include:

• Dates, schedule (which should not conflict with schooling or vocational training)
• Content
• Trainer name and qualifications
• Attendance list with attendee signatures
Coherency: Furthermore, the auditor shall evaluate that the way in which the auditee ensures young workers are properly trained on OHS is consistent with the values and principles of amfori BSCI Code of Conduct.

- Are young workers satisfied with the quality of trainings? Do they understand the specific risks associated with their tasks and how to manage them?
- Are there internal communication channels set up for young workers to report their concerns on OHS? Does the auditee pay particular attention to young female workers?
- Are there any grievances lodged about potential laxity in protecting young workers?
- What are the lessons learned? How are they integrated in the revision of the OHS action plan?
- Are supervisors made aware and instructed to provide support to young workers on OHS?

9.6 Is there satisfactory evidence that the auditee has a good overview of all young workers engaged in its production site?

Effectiveness: To verify the effectiveness of the way that the auditee seeks to have the overview of all young workers engaged; the auditor must at least evaluate that:

- The auditee properly understands that young workers are more vulnerable than most workers
- The auditee devotes extra efforts towards monitoring young workers’ working conditions
- The auditee has a good overview of young workers’ work cycles in the organisation
- Work cycle refers to:
  - The recruitment process
  - Remuneration
  - Hours of work
  - Disciplinary measures
  - Promotion
  - Trainings and termination of employment
- The auditee collects and keeps specific records on young workers

amfori BSCI provides Template 7: Young Workers Data, which points to the minimum information needed on young workers. Such records should be kept in accordance with the national regulations for handling confidential information. See also performance area 13: Ethical Business Behaviour.

Coherency: Furthermore, the auditor shall evaluate that the overview of all engaged young workers is both complete and consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the person responsible for human resources aware of the number of young workers engaged in the company or producer organization?
- Does the auditee keep accurate records on young workers? Is the work cycle of young workers understandable from the records?
- Are there examples of young workers who have received promotions and/or who have faced disciplinary measures?
- Is young workers remuneration in line with the level of responsibility? Are there specific rules for remunerating apprentices?
- If the auditee claims to have a policy of not hiring young workers, what are the reasons behind it? Is the auditee aware of side effects for having such a policy?
- Are the personal data of young workers handled in a respectful manner?
Documents related to this performance area

- Documentation of all trainings given to young workers
- Risk assessment and related action plan with specific measures to protect young workers and young female workers
- Young workers overview records
- Young workers' work cycle overview

Ready to learn more?

Here are some other resources that will help you to dive deeper:

- Template 7: Young workers data
- Annex 4: How to set up a grievance mechanism

Notes:

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Performance area 10: No precarious employment

Precarious work deeply damages societies at large. It leaves workers and communities in unstable and insecure situations, disrupting their life planning options.

More concretely, precarious workers are found to suffer a higher rate of occupational health and safety issues. Such impacts fortify gender divisions and worsen the situation of migrant workers.

The general conditions of fear and insecurity also dissuade workers from exercising their rights, leaving them even more vulnerable to precarious work arrangements.

10.1 Is there satisfactory evidence that auditee employment relationships are not precarious for the workers?

Precariousness can affect both permanent and temporary workers.

Temporary workers: The definition of permanent and temporary jobs (e.g. seasonal) is usually given by law. If this is not the case, jobs that have a pre-determined end date or will end as soon as a project is completed are considered as temporary.

Effectiveness: To verify the effectiveness of the way in which the auditee ensures no precarious employment, the auditor must at least evaluate that:

- The employment relationship does not cause insecurity to the worker. These are examples that cause insecurity:
  - Deprive workers from social security
  - Use of seasonal contracts at the expense of providing permanent positions
  - Recruitment and dismissal practices to avoid consolidation of workers’ rights
- The auditee monitors that work cycles are respectful to the workers at every step. These steps are:
  - Recruitment process
  - Remuneration
  - Hours of work
  - Disciplinary measures
  - Promotion
  - Trainings
  - Termination of employment
- The auditee does not use temporary job arrangements to cover workloads that lack pre-determined end dates
- The auditee does not misuse probationary periods:
  - Their duration is according to the law: national legislation often defines the first few months of a new employment relationship as a probationary period. The maximum duration is generally specified in the national legislation
  - Their purpose is to try out the employment relationship for both the employer and the employee. They are normally associated with special periods of notice for termination, while other obligations such as the remuneration and social security provision remain unaffected

Good practices: The auditee defines working conditions and working hours by taking into account workers who are parents or caregivers.
The auditor shall acknowledge these efforts under “Good practices” in the Findings Report. Any other contractual practice that goes beyond legal requirements to create beneficial and secure working conditions shall be acknowledged as good practice.

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee ensures no precarious employment is consistent with the values and principles of amfori BSCI Code of Conduct

- Is the person responsible for human resources aware of practices that can potentially make employment precarious?
- Does the auditee keep accurate records on workers’ work cycles? Is there any indication of an employment practice that could create insecurity?
- Are there any grievances concerning potentially precarious employment practices, including against members of producer organizations?
- Are workers and their representatives involved when the auditee defines working hours, training or disciplinary measures?
- Are members of producer organizations made aware of precarious employment issues and advised on recruitment procedures and arrangements?
- Is the role that workers may have as parents or caregivers taken into consideration by the auditee?

**Effectiveness:** To verify the effectiveness of the way that the auditee engages workers, the auditor must at least evaluate that:

- The work relation is established in line with the framework that provides the greatest protection to workers:
  - National legislation
  - Custom or practice
  - International labour standards
- The work relation is supported by means of documentary proof that makes the workers aware of their rights and obligations. Contracts are one among other possibilities (e.g. posters indicate the working rules).
- The auditee makes additional efforts to ensure workers understand their working conditions, particularly when workers:
  - Have difficulties to read and write
  - Are migrants/foreigners
  - Are hired for a short season or hired orally in line with customs
- The auditee pays particular attention when using recruitment agencies. This includes:
  - Having a good overview on when, how and how much these workers are paid and cross-checking through interviews of workers
  - Keeping up-to-date records on these workers
Coherency: Furthermore, the auditor shall evaluate that the way the auditee engages workers is consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the person responsible for human resources aware of the framework that provides the greatest protection to workers? (E.g. local custom stipulates additional social benefits)
- Are members of a producer organization made aware of employment frameworks that provide protection to their workers, including seasonal and temporary workers?
- Does the auditee keep accurate records on workers’ work cycles?
- What kinds of additional efforts does the auditee make to ensure vulnerable workers understand the terms of their working conditions?
- Are vulnerable workers well-aware of their working conditions?
- Are workers representatives engaged to ensure additional sources of information?
- Are there any grievances lodged concerning potentially unrecognised working relations, including at the level of members of a producer organization?

10.3 Is there satisfactory evidence that the auditee provides workers with understandable information before entering into employment?

Effectiveness: To verify the effectiveness of the way that the auditee provides workers with understandable information before entering into employment, the auditor must at least evaluate that information is:

- **Understandable**: The auditee takes necessary measures to facilitate the understanding of information on working conditions. This may require:
  - Translation into the language of workers
  - Audio and visual guidance for disabled workers as well as workers who have difficulties in reading and writing
- **Accurate**: The information refers to rights, obligations, and employment conditions that will effectively apply to the worker upon starting employment. It includes information on:
  - Working hours
  - Trainings
  - Resting periods and holidays
  - Remuneration and terms of payment
  - Grievance mechanism
- **Timely**: The auditee provides the information before initiating the employment relationship
- **Indirect recruitment**: The auditee provides the same necessary information to workers hired through recruitment agencies, labour subcontractors or brokers.

Coherency: Furthermore, the auditor shall evaluate if the way in which the auditee engages workers is consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the person responsible for human resources aware of workers’ rights and obligations? Does that person explain them in an easy manner? Does the person speak other languages or dialects that can be preferred by workers?
- How are workers who are engaged by recruitment agencies and labour subcontractors informed about their rights and obligations?
- What kinds of additional efforts does the auditee make to ensure vulnerable workers understand their working conditions?
• Are vulnerable workers well-aware of their working conditions?
• Are workers representatives engaged to ensure additional sources of information?
• Are members of a producer organization aware of their responsibility to provide workers with accurate information prior to hiring?

10.4 CRUCIAL QUESTION: Is there satisfactory evidence that the auditee does not use employment arrangements in a way that deliberately conflicts with the genuine purpose of the law?

Certain employment arrangements may represent an additional risk of undermining workers’ rights. This is the case for:

Apprenticeship schemes: when they are not used with intent to impart skills or provide regular employment

Seasonal or contingency work: when they are used to cover permanent workflows that would require hiring workers on a permanent basis

Labour-only contracting: when the agent or broker uses its position to undermine the workers’ rights

Subcontracting: when it is used to avoid reaching the minimum number of workers that allows the establishment of workers representatives or the right to unionise

Effectiveness: To verify the effectiveness of the way that the auditee uses employment arrangements, the auditor must at least evaluate that:

• The auditee understands that these employment arrangements may undermine workers’ rights when used in a wrong way
• The auditee uses those employment arrangements in line with the genuine purpose of the law
• The auditee is able to explain the business logic behind its subcontracting practices and demonstrates that workers’ rights are guaranteed

Coherency: Furthermore, the auditor shall evaluate if the way that the auditee uses employment arrangements is consistent with the values and principles of amfori BSCI Code of Conduct.

• Is the person responsible for human resources aware of the additional risks of these employment arrangements?
• How do workers engaged under these circumstances explain their rights and obligations?
• Are workers representatives engaged to ensure additional sources of information?
• Are members of a producer organization made aware of the risks of unlawful employment arrangements?
Documents related to this performance area

- Employment contracts and/or posters where workers’ rights and obligations are displayed
- Recruitment and dismissal procedures and records
- Overview of subcontractors
- Overview of apprenticeships granted in the company
- Overview of seasonal workers

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Notes:
Performance area 11: No bonded labour

Bonded or forced labour is unacceptable regardless of the circumstances. The utmost must be done so that no form of bonded labour takes place anywhere in the supply chain, on company premises or within the sphere of influence.

The risk of bonded labour is not only determined by the working conditions at factory or farm level, it can find its roots in the recruitment process. Workers might be exploited before they even enter a factory or step foot on a farm by unscrupulous agents.

To prevent these issues, the employer must conduct accurate due diligence on the business partners engaged to acquire labour force: recruiting agencies, labour brokers and labour subcontractors.

11.1. CRUCIAL QUESTION: Is there satisfactory evidence that the auditee does not engage in any form of servitude, forced, bonded, indentured, trafficked or non-voluntary labour?

Effectiveness: To verify the effectiveness of the ways in which the auditee ensures not to engage in bonded labour, the auditor must at least evaluate that:

- The auditee exercises due diligence to avoid engaging in any form of bonded labour for own workers as well as for workers recruited through agents or labour subcontractors
- Managers, particularly supervisors and those in human resources, are aware of the defined procedures to minimise the risk of bonded labour
- The auditee takes necessary measures to understand what can be considered as bonded labour and which hiring or engagement practices may introduce that risk
- Workers shall have valid work permits
- The auditee engagement with the workforce do not include any potential or actual risk of forced labour. For example:
  - Lack of workers’ consent to work
  - Intentional cruelty
  - Coercion (e.g. debt bondage, restriction of movement, violence, threats or intimidation)
  - Charging recruiting fees (see Annex 17: How to promote responsible recruitment)
- The auditee does not request workers to leave personal documents or vital possessions in deposit
- The auditee does not apply unlawful retention of wages or benefits or illegal deductions
- Workers do not work through any form of servitude (e.g. negotiation of visa, housing, work in exchange for training and education)
- Workers are granted the right to leave work and freely terminate their employment, provided that reasonable notice is given to the employer
- Workers are allowed to leave the premises after working hours
- If the auditee uses security guards (armed or unarmed), it ensures that they do not keep the workforce under retention
- Workers are permitted to leave the production site and/or housing in their free time, without having to ask for permission. Security restriction shall be established to protect workers, not to limit their movement.
- Workers are allowed to choose accommodation outside of the housing offered by the employer, if applicable

In countries where applicable legislation conflicts with the “No bonded labour” principle (e.g. migrant workers are not permitted to change employer for a given number of years), the auditor will verify that the producer is enforcing adequate measures to prevent the risk of bondage (e.g. provide sufficient
information on working conditions before hiring or make known the procedure to interrupt the contract and return to home country).

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee ensures not to engage in bonded labour is consistent with the values and principles of amfori BSCI Code of Conduct.

- Is the person responsible for human resources aware of the additional risk of bonded labour when the auditee uses brokers?
- Does the auditee understand the risks of bonded labour? Does the auditee pay additional attention to avoid the risks?
- Are members of a producer organization made aware of the risk of bonded labour and the need to define preventive measures?
- Are workers representatives engaged to ensure additional sources of information?
- Are there any grievances lodged concerning potential bonded labour?
- Is the person responsible for human resources aware of the auditee responsibility to guarantee protection to forced labour victims?

**Specific guidance on prison labour:**

**Prison labour:** The most familiar and accurate notion of prison labour is that which provides a form of occupation for convicts. Such labour is not *per se* a human rights violation, if it fulfills certain conditions, such as:

- Prisoners offer their labour voluntarily, without being subjected to pressure or the threat of any punishment
- The work is performed under conditions close to a free labour relationship (wage level, social security, OHS) to the extent that prisoners’ conditions allow it

This means that if the auditee is using prisoners to work (both directly and indirectly), the auditor shall verify that work is conducted in the framework of national law and the ILO Conventions 29 and 105.

In any case, amfori BSCI recommends that amfori BSCI participants do not engage with business partners that use prison labour in China since prisoners there are often forced to work in conditions that contravene international labour or human rights standards because:

- The prison labourer’s rights are not covered under Chinese labour contract law and labour law but under the prison's law and criminal law. Full labour rights, including overtime rates, are not properly protected
- The laws of the local prison and criminal law that govern prison labour include explicit terms which indicate that legal minimum wages do not apply in prison labour but are instead subject to the discretion/decision of the individual prison’s management
- Due to the prison’s rules and regulations, it is impossible for auditors to carry out a full amfori BSCI audit in any of the prison’s work sites

**amfori BSCI participants should not use prison labour in China and, if found during an amfori BSCI audit, auditors must report it as a Zero Tolerance issue, following amfori BSCI Zero Tolerance Protocol** (see *Annex 5: How to follow the amfori BSCI Zero Tolerance Protocol*). This recommendation might change in the future if Chinese laws evolve to offer the same kinds of protection to prison labourers as other workers especially with regard to decent working conditions.
11.2 Is there satisfactory evidence that the auditee acts rigorously and diligently when engaging and recruiting migrant workers both directly and indirectly?

**Effectiveness:** To verify the effectiveness of the ways in which the auditee acts diligently when recruiting migrant workers, the auditor must at least evaluate that:

- The auditee understands that migrant workers are more vulnerable than other workers towards ending up in forced labour situations
- The auditee pays attention and vigilance to indirect engagement (e.g. via recruitment agencies, brokers or labour subcontractors)
- The auditee devotes unambiguously attention and potential remediation to the following aspects:
  - Absence of state protection (both country of origin and host country)
  - Debt bondage (e.g. the worker had to pay a recruitment fee to the agency and she/he lacks transparency on the terms of employment such as deductions and remuneration)
  - Restriction of movement (visa, travel documents or vital possessions are held by the agency or employer. Workers who do not understand the host country language may face more restricted movement)
  - In agriculture, any cultivation organised on a communal basis by virtue of law or custom, is not regarded as compulsory cultivation as defined in the ILO Convention 29 (art. 19.2)

**Coherency:** Furthermore, the auditor shall evaluate if the way in which the auditee recruits migrant workers is consistent with the values and principles of amfori BSCI Code of Conduct.
• Is the person responsible for human resources aware of the additional risks of bonded labour when engaging migrant workers?
• Does the auditee take additional preventive measures?
• Are workers representatives engaged to ensure additional sources of information?
• Are there any grievances lodged concerning the potential violation of migrant workers’ rights?

11.3 CRUCIAL QUESTION: Is there satisfactory evidence that the auditee does not subject workers to inhumane or degrading treatment, corporal punishment, mental or physical coercion and/or verbal abuse?

**Effectiveness:** To verify the effectiveness of how the auditee ensures workers do not receive degrading treatment, the auditor must at least evaluate that:

• The auditee understands what can be considered as degrading treatment
• Workers are not subject to degrading treatment
• The auditee does not tolerate corporal punishment or mental coercion as part of the auditee’s disciplinary measures
• Supervisors are instructed to never punish workers corporally or mentally and there are consequences if they do so
• The auditee pays particular attention to avoid degrading the most vulnerable workers such as migrants, seasonal workers, young workers or pregnant women
• If collective housing is provided, dormitories ensure working conditions that respect workers’ dignity. For example:
  o Separate bed for each worker
  o Separate locker for each worker to store personal belongings
  o Separate accommodation for women and men

**Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee ensures workers do not receive degrading treatment is consistent with the values and principles of amfori BSCI Code of Conduct.

• Is management, particularly supervisors, aware that punishment or degrading treatment toward workers is not allowed? Do they understand the consequences of contravening this?
• Does the auditee take additional preventive measures to avoid punishing or degrading workers?
• Are workers representatives engaged to ensure additional sources of information?
• Are there any grievances lodged concerning potential punishment of or degrading treatment toward workers?
11.4 Is there satisfactory evidence that the auditee has established all applicable disciplinary procedures in writing and has explained them verbally to workers in clear and understandable terms?

**Effectiveness:** To verify the effectiveness of the way in which the auditee establishes disciplinary measures to workers, the auditor must at least evaluate that:

- The employer uses disciplinary measures only when there are concerns about work, conduct or unjustified absence
- Disciplinary measures and procedures are outlined in writing and workers know them and can easily access them. They describe:
  - What kinds of performance and behaviour might lead to disciplinary measures
  - What kinds of measures the employer might take
  - The decision process to take disciplinary measures
- Disciplinary procedures shall include the name of a person who shall help the worker express her/his viewpoint or disagreement with any disciplinary measure (usually from HR or the workers representative)
- Disciplinary measures shall not facilitate a way for the auditee to unfairly take money from workers. Particular attention shall be given to the imposition of financial fees or deductions, which may be illegal (see also illegal deductions under Performance area 5: Fair Remuneration and Annex 9: How to promote fair remuneration)

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee establishes disciplinary measures is consistent with the values and principles of amfori BSCI Code of conduct.

- Are the disciplinary procedures consistent and in line with the law?
- Is there documentary evidence on how they are implemented?
- Are workers aware of the disciplinary measures and do they understand the content and consequences?
- Are the workers representatives consulted and involved?
- Are there disciplinary measure that could represent gender-based or any other discrimination?
Documents related to this performance area

- Documentary evidence of trainings given to workers, management and human resources (e.g. list of attendees with signatures)
- Documentary evidence on disciplinary procedures
- Employment contracts including those related to security personnel, cleaning and other services
- Documentary evidence on disciplinary cases and measures taken

**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Annex 5: How to follow the Zero Tolerance protocol
- Annex 17: How to promote responsible recruitment
- Position paper on sumangali
- Position on prison labour in China
- Responsible recruitment guidelines

**Notes:**
Performance area 12: Protection of the environment

**IMPORTANT:** If the main auditee holds a valid GlobalGAP Certificate, the auditor shall not monitor this performance area.

Setting up environmental policies and procedures reflect business responsibility to observe the law, minimize negative environmental impact and make positive contributions to long-term development. In the context of business and human rights due diligence, the right to a healthy environment cannot be neglected and shall be part of the business due diligence.

12.1 Is there satisfactory evidence that the auditee continuously identifies the significant impacts and environmental implications associated to its activity?

Business enterprises should assess the impacts of their operations to prevent or minimise their adverse environmental impact to the surrounding communities, resources and workers in the supply chain.

**Effectiveness:** To verify the effectiveness of the way in which the auditee assesses its adverse environmental impacts, the auditor must at least evaluate that:

- The auditee assesses and determines its environmental impact taking into consideration all processes of its the business (whether industrial or agricultural production)
- The auditee establishes plans to minimize its negative environmental impacts, which include goals, corrective measures and monitoring mechanisms
- The auditee integrates into the impact assessment any new processes or newly installed equipment (e.g. this can be seen in adaptations of the remediation plan)
- The auditee has a clear understanding of how surrounding communities, natural resources and workers are affected by its activity
- The auditee has a pre-defined interval for carrying out such environmental impact assessments and appoints staff with the right skills to do so.

**Coherency:** Furthermore, the auditor shall evaluate that the way the auditee assesses its environmental impact is consistent with the values and principles of amfori BSCI Code of Conduct.

- Has the auditee incurred in any penalty or fee as a result of inappropriate environmental management practices?
- Is there a grievance mechanism in place to address the environmental concerns of surrounding communities?
- Is the person in charge of conducting the impact assessment qualified?
- Is there a procedure to ensure impact assessments are regularly conducted?
- Are workers and members of a producer organization made aware and trained of significant impacts and environmental implications related to their operations?
12.2 Is there satisfactory evidence that the auditee has procedures in place to ensure integration of local environmental law into the business model?

**Effectiveness:** To verify the effectiveness of the procedures, the auditor must at least evaluate that the auditee has:

- Policies and procedures to incorporate relevant environmental laws
- Made these policies and procedures a visible part of the business or organizational culture
- Mechanisms to ensure:
  - Ongoing identification of environmental legislation
  - Definition of the specific requirements that are applicable to its daily activities
  - Identification of sources of information on environmental legislation such as:
    - specialised sites online
    - publications issued by industry experts
    - tailor-made services provided by specialised companies

**Coherency:** Furthermore, the auditor shall evaluate that the way in which the auditee has developed procedures to integrate environmental law is consistent with the values and principles of amfori BSCI Code of Conduct.

- Is there a grievance mechanism in place to address the environmental concerns of surrounding communities?
- Is the person in charge of drafting the procedure qualified?
- Is the procedure revised regularly?

12.3 Is there satisfactory evidence of the auditee’s required environmental permits and licences?

**Effectiveness:** To verify the effectiveness of available permits and licenses, the auditor must at least evaluate that:

- The necessary environmental permits and licences, required by law to carry out the specific business activities, are made available and are also valid
- In case the permits and licences are not available:
  - The auditee has undertaken all actions to solicit the relevant licence(s) and/or permit(s) from the competent authorities
  - Additional consideration must be given to any delays that result from the bureaucratic processes of those authorities. If this is the case, documentation to confirm the bureaucratic delay should be made available.

**Coherency:** Furthermore, the auditor shall evaluate that the auditee’s available permits and licenses and/or its efforts to obtain them is consistent with the values and principles of amfori BSCI Code of Conduct

- Does the auditee understand the importance of having these permits/licenses?
- Are the documents relevant for the business activities?
- Do these permits need to be updated on a regular basis? How often? Have they been correctly and recently validated?
12.4 Is there satisfactory evidence that waste is managed in a way that does not lead to the pollution of the environment?

There are local areas where waste segregation and/or disposal are not managed by public authorities. This may lead to dumping waste into the environment. Even in the absence of national regulations, the auditee shall not dump waste into natural environments or burn it in open fires.

**Effectiveness:** To verify the effectiveness of the way in which the auditee manages its waste, the auditor must at least evaluate:

- How the auditee manages the waste, including packaging material, chemicals and agro-chemicals containers
- The auditee devotes particular attention to industrially contaminated water, agricultural wastewater and hazardous waste
- The auditee has procedures in place to:
  - Identify and separate the type of waste generated (hazardous versus non-hazardous, including packaging)
  - Define any specific handling requirements (e.g. disposal via an authorised agent or designated to a specialised site)
  - Create awareness among workers about the waste generated onsite and the proper way to handle it
  - Avoid dumping waste into natural environments
  - Avoid burning waste in open fires
  - Dispose of plastics and empty chemical containers without incurring environmental risks or harming humans
  - Designate and use areas for the storage and disposal of hazardous waste
  - Ensure monitoring and treatment systems for all wastewater generated, in line with relevant laws and permits
  - Prevent the discharge of water pollutants and restore water quality

**Coherency:** Furthermore, the auditor shall evaluate that the auditee’s waste management is consistent with the values and principles of amfori BSCI Code of Conduct.

- Does the auditee understand the importance of proper waste management?
- Are the waste management practices relevant for the business activities?
- Are workers aware of the policy and procedures for waste management?
- Are there any grievances lodged about potential irregular waste management by the business?
- Has the auditee incurred penalties or fees as a result of inappropriate waste management practices? If so, what have been the lessons learned?
12.5 Is there satisfactory evidence that water is managed in a way that respects the environment, particularly but not limited to preserving local water sources?

**Effectiveness:** To verify the effectiveness of the way in which the auditee manages water, the auditor must at least evaluate that:

The auditee has mechanisms in place to promote water conservation and water waste reduction. This refers to water used for industrial, agricultural purposes and personal consumption.

Possible mechanisms include:

- Licensed water use (when requested by the applicable law/authorities)
- Proper identification of water springs, rivers, lakes and other water ecosystems / sources in the area
- Documented risk assessments that justify management decisions on water use (e.g. irrigation in farms)
- Awareness raising to workers on water waste reduction e.g. irrigation system
- Procedures to use water rationally and reuse it when possible
- Record keeping on the status / health of water sources used and critical issues

**Coherency:** Furthermore, the auditor shall evaluate that the auditee’s water management is consistent with the values and principles of amfori BSCI Code of Conduct

- Does the auditee understand the importance of proper water management?
- Are both management and workers aware of the local water sources and how they relate to the facility in terms of use, supervision and preservation?
- Are the water management practices in the company or producer organization relevant for the business activities?
- Are workers aware of the business policy and procedures for water management?
- Are there any grievances lodged about potential irregular water management by the business?

**Documents related to this performance area**

- Environmental risk / impact assessment
- Map identification of water springs, rivers, lakes in the area of auditee activities
- Calculation of the necessary financial and personnel resources to comply with the minimum social and environmental requirements
- Valid certificates and environmental licenses
- Waste management plan
- Water management plan
- Environmental Management policies and procedures

**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Annex 3: How to set up a Social Management System (SMS)
- Annex 8: How to quickly assess other monitoring systems
Performance area 13: Ethical business behaviour

13.1 Is there satisfactory evidence that the auditee actively opposes any act of corruption, extortion or embezzlement, or any form of bribery in its activities as a business enterprise?

**Effectiveness:** To verify the effectiveness of the way in which the auditee opposes actively and unambiguously to any act of corruption, the auditor must at least evaluate that

- The auditee identifies the situations and activities where acts of corruption, extortion or bribery are most likely to occur in its business. Particular attention shall be given to procurement, recruitment, administration and request of permits and reception of audits
- The auditee develops and make available policies condemning any act of corruption
- The auditee develops procedures and takes active measures to prevent and fight any act of corruption
- The auditee regularly trainings workers about the benefits of a work environment free of corruption and actively reward workers and management’s honest behaviour

Particular attention needs to be given to the relations between auditor and auditee as well as between supervisors, recruitment agencies and subcontractors.

**Coherency:** Furthermore, the auditor shall evaluate that the auditee’s ethical and active policies and procedures are consistent with the values and principles of amfori BSCI Code of Conduct.

- Does the auditee have a policy (e.g. amfori BSCI) in place that publicly condemns corruption, extortion and bribery as unacceptable unethical behaviours perpetrated in its business and sphere of influence?
- Which mechanisms does the auditee use to inform and train workers and producer organization members on the problem of corruption?
- Has the auditee identified where and how the major risks of corruption could occur?
- Does the auditee have procedures in place to investigate and discourage any misbehaviour among the workers, particularly those with decision-making power?
- Does the auditee “reward” ethical behaviour and integrity among its workers and managers?
- Does the auditee include ethics and integrity in training given to workers and managers or producer organization members?
- Is the auditee aware of the perverse effects of corruption on its business and society in general?

13.2 Is there satisfactory evidence that the auditee keeps accurate information regarding its own activities, structure and performance?

Record keeping systems provide a solid foundation for filing, tracking and making available information on financial transactions, required documentation and workforce data.

Legal compliance departments should work closely with buyers and other relevant colleagues to ensure all personal information - on workers, business partners, clients and others - is carefully filed. It must comply with privacy laws and standards.

For more information on see Annex 3: How to set up a Social Management System.
**Effectiveness:** To verify the effectiveness of record keeping on auditee activities, structure and performance, the auditor must at least evaluate that the information is:

- **Accurate:** Any information presented by the auditee must be true
- **Factual:** Any claim made by the auditee in terms of its activity must be correct (e.g. production volumes; number of workers; working hours; if hiring is direct or indirect).
- **Structured:** The information on different facilities and the way in which the auditee organises its production sites should be available and clear

**Coherency:** Furthermore, the auditor shall evaluate that the gathered and filed information is consistent with the values and principles of amfori BSCI Code of Conduct

- Is there a follow-up on any previously reported audit or government inspection findings?
- Does the auditee disclose the information in accordance with applicable regulations and industry benchmark practices?
- Are there any possible risk of discrimination in the way private information is gathered and filed by the auditee?
- Is there a grievance mechanism where affected individuals or communities could complain against the way the auditee gathers and files information?

**13. 3 CRUCIAL QUESTION:** Is there satisfactory evidence that the auditee takes the necessary measures to not be involved in falsifying information related to its activities, structure and performance; nor in any act of misrepresentation of its supply chain?

Falsification, fraud and misinterpretation are purposeful actions intended to cause harm or loss to another party, for one’s own direct or indirect gain.

They can relate to:

- **Auditee’s own scope of operations** (e.g. invalid or fake business license, not declaring production units, misleading RSP holder or auditor to limit the scope of an amfori BSCI audit)
- **Auditee’s supply chain** (e.g. undeclared production or sourcing operations)

**Effectiveness:** To verify the effectiveness of auditee measures, the auditor must at least evaluate that the auditee:

- Understands the severity of these unethical business behaviours
- Has a serious and unambiguous commitment to avoid any such behaviour
- Has developed (and maintain) the necessary internal procedures to minimise the risks of falsification or misrepresentation
- Ensures proper investigation and disciplinary measures if any staff behave unethically

The auditor may request data related to productivity, in order to establish the veracity of production capacity, the need for overtime or the links to other facilities.

The auditor shall follow the amfori BSCI Zero Tolerance Protocol (see Annex 5: How to follow the Zero Tolerance Protocol) if flagrant falsification, fraud or misrepresentation is identified during the amfori BSCI audit.
**Coherency:** Furthermore, the auditor shall evaluate if the measures to avoid falsification or fraud are consistent with the values and principles of amfori BSCI Code of Conduct.

- Does the auditee understand the importance of avoiding falsification, fraud or misrepresentation?
- How are the unethical behaviours identified? How are they investigated?
- What do workers think about the disciplinary measures taken by the auditee (if any)?

13.4 Is there satisfactory evidence that the auditee collects uses and otherwise processes personal information with reasonable care and in accordance with privacy and information security laws and regulatory requirements?

**Effectiveness:** To verify the effectiveness of how the auditee handles personal information, the auditor must at least evaluate that the auditee:

- Collects and processes personal data of individuals with the outmost respect for the individuals’ fundamental rights (particularly the right to privacy)
- Applies reasonable care to the personal information of directly hired workers, business partners, customers and consumers in the auditee’s sphere of influence
- Pays special attention to the way in which it collects data in order to protect the vital interest of the worker (e.g. medical records)
- Collects and processes personal information in line with the applicable information security laws

**Coherency:** Furthermore, the auditor shall evaluate if the way the auditee handles personal information is consistent with the values and principles of amfori BSCI Code of Conduct

- Does the auditee understand the importance of handling personal information respectfully?
- Is the information on workers treated adequately, particularly if they are vulnerable workers?
- Are the records, particularly those with private information, properly filed with the necessary guarantees?
- Are there any consequences for supervisors who fail to treat personal information with respect?

**Documents related to this performance area**

- Business license
- Anti-corruption policy
- Corruption risk assessment
- Procedure for investigation and discouragement of unethical behaviour
- Communications and trainings to promote and reward integrity

**Ready to learn more?**

Here are some other resources that will help you to dive deeper:

- Annex 3: How to set up a Social Management System (SMS)
- Annex 5: How to follow the Zero Tolerance protocol
PART IV - amfori BSCI guidelines for producers

This part of the amfori BSCI System Manual consists of four chapters that provide the producer with explanation of all relevant templates that amfori BSCI makes available for them and specific guidelines on what is expected in every performance area.

Producers that sign the amfori BSCI Code of Conduct commit to respect human rights in their business activities. If a producer has made its commitment to this Code, it is most likely because at least one of its clients is an amfori BSCI participant or sells to an amfori BSCI participant.

Under such business relationships the related amfori BSCI participant will request producers to:

- Sign the amfori BSCI Code of Conduct and Terms of Implementation
- Embed the amfori BSCI Code of Conduct in its business operations
- Be audited and take necessary actions to ensure continuous improvement and address possible human rights violations

Furthermore, the amfori BSCI participant will create a profile in the amfori BSCI platform for each concerned producer. This allows to:

- Reduce audit fatigue
- Share remediation plans
- Access relevant trainings free of charge
CHAPTER 1: DATA COLLECTION AND MANAGEMENT

The goal of the amfori BSCI system is to support a culture of continuous improvements within a business. Producers are encouraged to create a Social Management System (SMS) to analyze, control, and reduce the negative social impacts of their activities. As part of that system, producers will need an organized way to gather and keep data and records. For more information see Annex 2: How to set up a social management system.

The producer should choose a key contact person that:

- Provides information to amfori BSCI participants
- Maintains the data in the amfori BSCI platform
- Takes the lead on preparing for the amfori BSCI audit

If the producer does not have any data gathering system in place, the amfori BSCI system offers tools and templates to help producers organise their data in a systematic way.

Template 1: Business partner information

amfori BSCI participants might ask the producer to provide a first overview of its business. One way of handling this request is by filling in the amfori BSCI Template 1: Business Partner Information.

The template aims at collecting data on a producer’s business operations and practices that impact social performance, such as:

**Business data:** Information about location, sector, and products. The producer must report if it has production or just trading activities.

**Business contact details:** Contact information and main language(s) spoken. The producer provides contact details, so its client and the auditor can easily stay in contact.

**Production data:** Information on production volume and cost calculation.

**Production calendar:** Information on the months when high, medium, or low production activity takes place.

**Certification overview:** Information on any valid certificates. These certificates can relate to social performance, environmental performance, and quality performance.

**Valid certificates** for social or environmental standards show the producers’ commitment on social and environmental issues. At this point, producers are encouraged to report any valid certificate they may have. amfori BSCI recognizes efforts done within other systems.

**Working environment:** Information on working environment and applicable labour regulations.

**Business remuneration practices:** Information on the applicable legal minimum wage and benefits as well as any specific industry-based remuneration (if applicable).

**Situational descriptions:** Describe any situation relevant to social performance (e.g. overtime, accidents, subcontracting, and strikes).

**Sourcing and procurement strategy:** Indicate any direct contracts with farms, homeworkers, and labour providers.
**Template 2: Supply chain mapping**

The producer may use [amfori BSCI Template 2: Supply Chain Mapping](#) to collect information on its significant business partners. Alternatively, the producer can edit this information directly in its producer profile in the amfori BSCI platform, if already active.

For more information see [Annex 10: How to cascade the amfori BSCI through the supply chains](#).

The producer will need to assess and classify its business partners in: ‘low, medium or high’ significance.

For example, high significant business partners are those that:

- Represent a large share of the producer’s purchasing volume and/or service provision
- Have a direct link on producer’s business reputation
- Are easy to be related to serious negative impact on workers and environment
- Lack reliable and valid information on their social performance

In this template, the producer will also keep an overview on those significant business partners that have already signed the amfori BSCI Code with related Terms of Implementation.

It is the producer’s decision who to choose as a significant business partner based on its own due diligence, not the auditor’s.

**Template 3: Assessment of smallholders and family farms**

If the producer has identified among its significant business partners smallholders and family farms, the [amfori BSCI Template 3: Assessment of smallholders and family farms](#) will help him to gather information and get a first understanding on the smallholders’ social performance.

It is very important for the producer to do this assessment and keep the records, particularly if the amfori BSCI audit is going to include a sample of farms in the scope.

**Template 4: Working hours tracker**

The producer may use [amfori BSCI Template 4: Working Hours Tracker](#) to collect information on the working hours of its workforce, per worker.

Collecting this information shows the producer’s awareness of the potential social risks related to excessive working hours (which could be an indicator of a forced labour situation).

This template offers the producer a model for learning how its workforce’s hours compare with decent working hours.

The producer is expected to record weekly working hours for every quarter of the year. This allows the auditee to:

- Identify periods with high activity
- Balance excessive working time over a period of three months

The producer may start by calculating working hours per department, but eventually determine the figures per worker, to become more aware of how to deal with potential health and safety risks.
**Template 5: Fair remuneration quick scan**

The producer may use [amfori BSCI Template 5: Fair Remuneration Quick Scan](#) to collect information on its region and its workforce’s cost of living.

This template offers the producer a tool to understand:

- The local cost of living and its relation to workers’ remuneration
- The calculation formula to assess living cost per family

For further information see [Annex 9: How to promote fair remuneration](#).

**Regional context information:** How people commute to work, the size of an average family, and household sources of energy all contribute to living expenses. Such information may not be readily available, but the producer can request it from different sources, such as:

- Open discussions with workers and their representatives
- Government (statistics department)
- Local NGOs or community groups

**Average monthly family expenses:** The producer estimates the ‘family basket,’ or living expenses for an average family, using the information collected above.

**Good practices:** If the producer provides the auditor with the above information and the calculation of relevant for its workforce, the auditor must acknowledge this effort under ‘Good Practices’ in the findings report.

The auditor should not judge the accuracy of the data provided by the producer. Instead, he/she should evaluate how the information was collected (e.g. from workers or from government statistics). The auditor should provide feedback on his or her calculation at the regional level, so the producer can assess if there are differences between its own calculation and the regional trend.

**Template 6: Stakeholder mapping**

The producer may use [amfori BSCI Template 6: Stakeholder Mapping](#) to collect information on its stakeholders.

Collecting this information shows the producer’s awareness of the importance of working with its stakeholders.

Stakeholders are individuals, communities, or organisations that are affected by and may affect an organisation’s products, operations, markets, industries, and outcomes.

Stakeholders can be internal (e.g. workers) or external (e.g. clients). The producer identifies and works together with stakeholders to deal with relevant topics, such as for example:

- Training
- Freedom of association
- Special protection for vulnerable workers
- Stopping and preventing child labour
- Grievance mechanisms
- Anti-corruption

These topics apply to both internal and external stakeholders.
**Template 7: Young workers data**

The producer may use [amfori BSCI Template 7: Young Workers Data](#) to collect information on its young workers, as defined in the [amfori BSCI Code of Conduct](#).

Collecting this information shows the producer’s awareness of the importance of guaranteeing special protection to the young workers in its workforce.

The producer must have a procedure on how to verify the age of workers and a system for collecting this information and whether or not it employs young workers.

**Template 8: Grievance mechanism**

The producer may use [amfori BSCI Template 8: Grievance Mechanism](#) to collect information on grievances that have been filed. Setting up and effectively using a grievance mechanism shows the producer’s awareness of the need for ways to identify social risks such as discrimination, (sexual) harassment, and forms of unethical business behavior.

The producer may use the template each time a grievance is submitted. For information about setting up a grievance mechanism see [Annex 3: How to Set up a Grievance Mechanism](#).

Notes:
CHAPTER 2: THE BENEFITS OF A SELF-ASSESSMENT

Compliance with the amfori BSCI Code of Conduct is monitored through amfori BSCI audits, which target 13 interrelated performance areas (PAs).

Each performance area has a set of questions that amfori BSCI auditors use to assess the performance of a producer when compared to the amfori BSCI Code of Conduct. The same questions can be used by the producer to:

- Conduct a self-assessment
- Prepare for the amfori BSCI audit

The Self-assessment

The self-assessment helps producers to:

- Understand each amfori BSCI performance area
- Define possible improvements (regardless if an amfori BSCI audit is due or not)

Since all performance areas are connected, improvements in one performance area will have a positive impact on other performance areas.

The producer can include the self-assessment as part of its regular cycle of PLAN-DO-CHECK-ADJUST, as a way to strengthen its ownership of the amfori BSCI continuous improvement process.

The amfori BSCI system provides three different templates to support producers conducting their own self-assessment:

- Template 3: Assessment of smallholders and family farms
- Template 11: Producers self-assessment (food and non-food)
- Template 12: Small producers self-assessment (food and non-food)

The self-assessment should be conducted by person who has a minimum knowledge on the amfori BSCI system. However, to facilitate the process and make the self-assessment as intuitive and user-friendly as possible, a producer is asked to make its self-assessment by choosing:

- Not started: When the producer has not started the implementation
- In progress: When producer has taken initial steps for all or only a part of the performance areas
- Already in practice: When the producer is already confident in the daily implementation and maintenance

The self-assessment questionnaire offers the producer the possibility to capture the information on the type of evidence it has used to assess its performance:

- MI: Management interview
- WI: Worker interview
- WRI: Worker representative interview
- DE: Documentary evidence
- SO: Site observation

For capacity building on the self-assessment process, producers are encouraged to go to amfori Academy for specific courses.
**Self-assessments of farms**

A producer that sources fresh produces directly from farms (without any intermediary) is encouraged to:

- ask these farms to conduct self-assessment (e.g. using the same template)
- conduct an internal assessment if the farms are too small to do that by themselves (e.g. less than 5 workers)

This practice would help the producer to:

- have a good overview of the farms delivering fresh produce to it
- maintain a good management of potential social risks in its supply chains
- be prepared for a multi-tier amfori BSCI audit if the amfori BSCI participant chooses to go for this approach.

Such a multi-tier amfori BSCI audit will assess that the producer (called main auditee) has:

- An effective social management system in place to select and monitor its business partners that are farms
- Internally monitored at least two farms and developed an unambiguous plan on how it will keep increasing the share of monitored farms up to over 60% (2/3 of the farms)
- A credible procedure to support farms in their social performance continuous improvement

Note:
CHAPTER 3: AMFORI BSCI AUDIT INTERPRETATION GUIDELINES

Producers are encouraged to consult this chapter for any clarification about the way social performance is interpreted in the context of an amfori BSCI audit.

Questions: To facilitate the search, questions are numbered in the same order as in the amfori BSCI audit questionnaire. They are marked as crucial when they have a high impact on the social performance of the producer, which will eventually impact the amfori BSCI audit rating. To get further information about the amfori BSCI audit rating see System Manual Part II, The amfori BSCI monitoring approach.

Performance area: Questions are grouped per topic or performance area. At the end of each performance area, there is a list of documented evidence that the producer is advised to maintain and show during the audit. There is also a reminder for producers sourcing directly from farms.

If the auditor finds flagrant human rights violation during the audit, it will follow the Zero Tolerance Protocol. To understand the repercussions, producers are advised to read Annex 5: How to follow the Zero Tolerance Protocol.

Interviews: The auditor uses interviews to get information on the producer’s social performance. Management should be ready to provide clear explanations about:

- The organisational chart, division of responsibilities, and communication channels
- The latest investments to improve occupational health and safety and productivity
- The different business partners and how the business selects them and monitors their social performance
- Operational details about:
  - Drafting and implementing policies and procedures
  - Hiring practices, grievance management, and workers’ training

Type of audits: There are three different amfori BSCI 2.0 audit methodologies adapted to the scope of the audit:

- One site (food and non-food)
- Multi-tier (food and farms)
- Small producer assessment (processed food and non-food)

For more information see System Manual Part II, The amfori BSCI monitoring approach.

Final remark: While most questions require the producer to take the necessary measures to ensure compliance, amfori BSCI system recognises that a producer cannot provide “full guarantees” of its performance but can strive to make best efforts to act as a responsible business.
Performance Area 1: Social management systems and cascade effect

A Social management system (SMS) is the set of policies, processes and procedures that allow a business to manage its social performance through a continuous improvement approach. For more detailed information see Annex 2: How to set up a social management system.

Cascade effect means that a producer develops and communicates systems, procedures and competences necessary to live up to the amfori BSCI Code of Conduct within its own business culture and promotes it with its business partners. For more detail information see Annex 10: How to cascade the amfori BSCI through the supply chain.

Business partners: Businesses connected to producers by a commercial relationship, including:

- Farms
- Service providers
- Sub-contractors
- Sub-suppliers

1.1 The auditee has set up an effective management system to implement the amfori BSCI Code of Conduct

This means that the producer (auditee) takes the necessary measures to set up an effective social management system and develop policies, processes and procedures to manage its social performance. To that aim, the producer will recognise:

- The content of the amfori BSCI Code of Conduct and Terms of Implementation
- The importance of social responsibility for its clients
- The benefits of having a social management system in place and how it affects other PAs
- The importance of open communication with customers and stakeholders on its efforts

For detail information see Annex 2: How to set up a social management system.

1.2 The auditee appoints a senior manager to make sure the amfori BSCI values and principles are followed in a satisfactory manner

This means that the producer (auditee) takes the necessary measures to implement the amfori BSCI values and principles.

This requires the involvement of staff and specifically of a person with sufficient seniority, decision-making power and an allocated budget, to drive the producer’s performance towards the implementation of amfori BSCI.

The appointed person needs to understand:

- amfori BSCI Code of Conduct and amfori BSCI System Manual
- Business and the supply chain
- Significance of business partners to the producer
- Expectations of stakeholders

In addition, the producer assigns the staff responsible for:

- Following up on the grievance mechanism and remediation activities, including possible zero tolerance cases
- Human resources, including managing recruiting agencies if applicable
- Ensuring that workers receive training on relevant amfori BSCI values and principles
Continuous risk assessment of occupational health and safety

### 1.3 The auditee knows who its significant business partners are and assesses how they understand and apply the amfori BSCI Code of Conduct

This means that the producer (auditee) takes the necessary measures so that at least the most significant business partners are well-known and assessed against the amfori BSCI values and principles.

**Mapping:** The producer shall identify which business partners are significant for its business based on:

- Price, quality, and delivery time
- Volume
- Nature of the relationship
- Level of trust and reliability, including social performance

The supply chain mapping includes:

- Subcontractors
- Recruitment agencies
- Catering service providers
- Suppliers (including contracted farms)

**Selection:** The producer creates criteria for choosing business partners that take into account their social performance.

**Monitoring:** The producer sets up a monitoring system for significant business partners and keeps records of how these business partners manage:

- Their own social responsibility
- Potential grievances from their own workers

### 1.4 The auditee organises its workforce capacity to meet the expectations of the delivery order and/or contracts

This means that the producer (auditee) take the necessary measures to ensure that unforeseen orders can be handled without harming workforce health and safety.

Controlling and preparing for production reduces unnecessary subcontracting and overtime, which may impact quality and workers’ health.

The producer has control over the production planning when:

- It understands the volume and frequency that it is able to deliver
- It manages the following factors:
  - Production, quality checks, and delivery time
  - Workforce capacity (working together with workers’ representatives and the person in charge of human resources)
  - A contingency plan (in case something slows down or interrupts production)
  - Organisation of overtime according to business needs, with a person responsible for its approval
  - Cost calculation (including overtime premium paid)
  - Growth expectation and human resources needed
1.5 The auditee monitors how its business partners observe the amfori BSCI Code of Conduct

This means that the producer (auditee) takes the necessary measures to ensure that its business partners are aligned with the amfori BSCI values and principles

**Preliminary steps:** The producer requests that its business partners:

- Sign the amfori BSCI Code of Conduct and relevant Terms of Implementation (mandatory if the amfori BSCI audit includes a sample of farms)
- Share the amfori BSCI Code of Conduct and relevant Terms of Implementation with their own business partners
- Provide information regarding their social performance (e.g. internal audits, quarterly reporting, social audits, and/or certificates)

**Clear procedures:** The producer develops and implements clear procedures to:

- Monitor the social performance of business partners (e.g. internal audits, third party audits, or reporting)
- Train staff that oversees the monitoring of business partners
- Set consequences in case business partners breach trust. For specific details see next question.

For example, the producer should decide which circumstances lead to termination of contracts or commercial relations with a business partner due to disregard for workers’ rights.

For more information about stopping business relations with a business partner, see Chapter 12: Interrupting Business Relations Responsibly of *The amfori BSCI System Manual Part I, The amfori BSCI due diligence implementation strategy*.

1.6 The auditee develops the necessary policies and procedures to prevent and address any harm done to workers in its supply chain (physically, financially or psychologically)

This means that the producer (auditee) takes the necessary measures to ensure a safe and satisfactory work environment.

Workers are often harmed when working rules are insufficient or unclear. The harm may be physical, but also financial and/or psychological.

**Prevention:** To deal with these issues, the producer has methods in place to:

- Conduct risk assessment(s)
- Create steps to prevent and address harm to workers
- Allow workers to file grievances

**Remediation:** If workers’ rights violations are found in the producer’s supply chain, the producer makes sure it counts on:

- Decision-maker and available means of communication
- Budget and procedures to manage the impact(s)
- System to follow up on remedial actions

1.7 The auditee manages its business relations in a responsible manner

This means that the producer (auditee) take the necessary measures to ensure that business relations with other business partners are as responsible as the producer will like to be treated.
The producer does not need to stop business or contracts with business partners if they have difficulties in following the amfori BSCI Code of Conduct.

To manage these difficulties, the producer should have:

- **Communication channels** to let the business partners explain their difficulties as well as the actions they’re taking to follow the amfori BSCI Code of Conduct
- **Clear procedures** to decide when a contract with suppliers or subcontractors needs to be terminated
- **Specific clauses** in its contracts about the possibility of ending a business relationship or cancelling a contract due to social issues that are not resolved

**Documents related to this performance area**

- Job descriptions that include the implementation of the amfori BSCI system
- Documents describing the production capacity planning
- Evidence that the amfori BSCI Code of Conduct and Terms of Implementation have been given to significant business partners
- Signed amfori BSCI Code of Conduct and relevant Terms of Implementation (if farms are included in the audit)
- Evidence of business partners’ social performance (e.g. quarterly reports, audit reports, and valid certificates)
- Evidence that the person in charge of implementing amfori BSCI is qualified
- Copy of the social policy and procedures to implement amfori BSCI
- Evidence of budget allocated to social performance and improvements

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.

**Notes:**  

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Performance Area 2: Workers involvement and protection

Workers and their representatives are:

- Involved in a truthful way in communications that relate to their rights, protection, and ability to perform assigned tasks
- Aware of their rights and responsibilities
- Able to access an effective grievance mechanism
- Trained in occupational health and safety issues and able to point out risks and suggest improvements

2.1 The auditee involves and exchanges information on workplace issues with workers and their representatives

This means that the producer (auditee) takes the necessary measures to ensure that workers and their representatives feel at ease in providing information on workplace related issues.

The producer (auditee) has a system in place so that:

- Management and workers meet on a regular basis to talk about how to improve working conditions
- Minutes of these meetings are taken, kept, and remain available for workers to review
- A workers’ representative is elected by workers (including seasonal workers)
- Records on the election process are kept and made available
- The concerns of the most vulnerable workers are taken into consideration (e.g. migrant, women, and young workers)
- Workers’ complaints and requests are recorded and followed up on

2.2 The auditee defines long-term goals to protect workers according to the amfori BSCI Code of Conduct

This means that the producer (auditee) takes the necessary measures to ensure workers’ protection is long-lasting in the business.

The producer (auditee) defines long-term goals together with workers and workers’ representatives and has a long-term plan (e.g. 5 years) of how they will follow the amfori BSCI Code of Conduct.

This long-term plan should:

- Include a vision, mission, and objectives for the business that are aligned with the amfori BSCI Code of Conduct
- Have a step-by-step process for making significant improvements
- Involve workers and workers’ representatives in a truthful way in defining the goals
- Be written, approved, and followed up on by the appropriate person (or governance body in the case of cooperatives or producers’ associations)

2.3 CRUCIAL QUESTION: The auditee takes specific steps to make workers aware of their rights and responsibilities

This means that the producer (auditee) take the necessary measure to ensure that workers feel engaged and loyal to the business by better understanding their rights and obligations

For this question, producers need to understand that:
Workers’ rights and obligations are defined by:

- Law
- Specific work contracts and job descriptions
- Auditee’s workplace rules (as long as these rules abide the law)

Workers’ awareness of their rights and responsibilities can be raised by means of:

- **Organising information sessions** (a good starting point, but the sessions need to be integrated with other activities to have impact)
- **Developing work contracts, working rules, and job descriptions** that follow the law and are clearly communicated to workers
- Creating effective communication channels with workers
- Ensuring that workers receive a copy of their contracts
- **Organising regular training by qualified person(s)** on:
  - The use of personal protective equipment
  - Health and safety issues that focus on the work environment
  - The procedure and use of a grievance mechanism
  - Any other topic that may have been identified as awareness is needed

Workers’ regular trainings shall be documented, and recordkeeping should include: a list of names and job titles of the participants, dates, content of the material, and qualification of the trainers.

**IMPORTANT:** Trainings are mandatory for any new worker (even if he/she has been hired through a recruitment agency). Migrant workers need to be trained and must receive a version of the work contract in a language they understand. In some cases (e.g. illiterate workers or migrant workers that don’t speak the local language) workers should be informed of their rights and obligations in other ways (e.g. posters with pictures and/or with simple written words).

**2.4 The auditee builds sufficient competence to successfully embed responsible practices in the business operation**

This means that the producer (auditee) shall gain knowledge and skills to become more capable of integrating responsible practices (as demanded by the market) into business operations. To that aim, the producer makes sure that:

- Workers, workers’ representatives, managers and other decision-makers are regularly trained to be part of this transformation process.
- Management regularly receives:
  - Informative sessions on the amfori BSCI Code of Conduct
  - Specific training for workers responsible for human resources, occupational health and safety, and grievance mechanisms
  - Feedback on the amfori BSCI audit results and follow-up
  - Training materials related to the amfori BSCI Code of Conduct content

The recordkeeping on training (see previous question) will also support this one.

**2.5 The auditee establishes or participates in an effective grievance mechanism for individuals and communities**

This means that the producer (auditee) shall create and use a grievance mechanism that allows workers and communities to make suggestions or complaints related to producer’s actions that may have impacted workers’ or communities’ rights.

Grievance mechanism can also help preventing harmful incidents from happening.
Creating an internal grievance mechanism, or joining an existing external one, are both effective options.

To learn more about this topic see Annex 4: How to set up a grievance mechanism.

The written procedure for the grievance mechanism shall define:

- The person who is responsible for managing it
- Potential conflicts of interest and how to overcome them (e.g. a grievance against the person who manages the mechanism)
- Timelines for responding to grievances
- Processes for appeals and escalation (with additional guarantees that the producer will address the grievance)
- Communication processes to make sure that workers and community members can use the grievance mechanism (including workers’ representatives and seasonal, migrant, temporary, young, and female workers)
- Alternative ways for filing a complaint (e.g. through a workers’ representative or directly to the management)
- A system for keeping the records of submitted grievances, including how they were investigated and handled
- Regular surveys to learn if users are satisfied with the grievance procedure

**Documents related to this performance area**

- Documented evidence of the workers’ representative election process
- Documented evidence of regularly scheduled workers’ meetings
- Records of agreements with workers’ representatives
- Employment contracts, including those for security, cleaning, and other service personnel
- Job descriptions that are aligned to the amfori BSCI values and principles
- Documented workplace rules
- Evidence of a training calendar for workers and management
- Documented evidence of training given to workers, management, and human resources
- Documented evidence that trainers are qualified
- Documented evidence of grievances filed and investigated (e.g. see Template 8: Grievance Mechanism Tracker)

Producers sourcing directly from farms will need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for the producer business.

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Performance Area 3: The rights of freedom of association and collective bargaining

The producer enables workers to approach management for discussing and negotiating better working conditions. The producer respects the rights to:

- **Freedom of association:** The right of workers to form and join organisations of their own choosing.
- **Collective bargaining:** The process of negotiation between trade unions or workers’ representatives and employers to:
  - Define the terms and conditions of employment for workers
  - Confer rights, advantages, and responsibilities to the parties

3.1 The auditee respects the right of workers to form unions in a free and democratic way

This means that the producer (auditee) takes the necessary measures to ensure that workers feel engaged and loyal to the business by better understanding their right to form unions.

The right of workers to form and join organisations of their own choosing is necessary for a free and open society. Even in countries where trade union activity is unlawful, the producer should allow workers to freely elect their own representatives.

The producer has, and follows, a clear policy **NOT** to:

- Keep workers from participating in the activities of unions or other workers’ organisations
- Discourage or get involved in the process of electing workers’ representatives
- Harm workers who participate (actively or passively) in the election of workers’ representatives

3.2 CRUCIAL QUESTION: The auditee respects workers’ right to bargain collectively

This means that the producer (auditee) encourages collective negotiations on the terms of employment. The producer ensures that the stipulations contained in the collective bargaining agreement:

- Are available to workers
- Are integrated into employment contracts
- Apply to workers in the same category

3.3 The auditee does not discriminate against workers because of their trade union membership

This means that the producer (auditee) puts into practice a clear policy **NOT** to:

- Discriminate against candidates for a company position because of their connection to a trade union
- Give more nor less benefits to workers because of their connection to trade unions
- Fire workers for being unionised

3.4 The auditee does not prevent workers’ representatives from accessing or interacting with workers in the workplace

This means that the producer (auditee) understands that:

- Workers’ representatives can meet with workers during working hours in agreement with the law
- The time workers spend meeting with workers’ representatives cannot be deducted from workers’ remuneration
Documents related to this performance area

- Documented evidence of the workers’ representative(s) election
- Collective bargaining agreement (if applicable)
- Minutes or documents from meetings that led to the collective bargaining agreement (if applicable)
- Recruitment and dismissal procedures and records (hiring and firing workers)

Producers sourcing directly from farms will need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for the producer business.

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Performance Area 4: No discrimination

Discrimination is an unfair or prejudicial act or practice used against a worker or group of workers based on their characteristics.

Discrimination in the workplace can take different forms such as:

- Restricting verbal and/or physical freedom (e.g. going to the toilet)
- Providing poor living conditions and denying water and food
- Intimidating or ignoring a worker
- Abusing a worker verbally and/or threatening workers with violence
- Treating a worker unequally on purpose
- Preventing a worker from benefits (e.g. promotion)

In some cultures, discrimination may be very subtle or embedded into cultural values. However, the bottom line is that discrimination is unfair and denies people opportunities just based on prejudices.

4.1 CRUCIAL QUESTION: The auditee takes the necessary measures to avoid or eradicate discrimination in the workplace

To avoid discrimination in the workplace, the producer (auditee) makes sure to:

- Give equal opportunities to its workers and not use reasons that could be considered discriminatory when:
  - Hiring
  - Doing any daily activities in the workplace
  - Firing
  - Promoting or offering training opportunities
  - Paying social benefits
- Pay careful attention to avoiding discrimination against vulnerable groups like disabled workers, pregnant women, young workers, or migrant workers
- Pay attention to potential discrimination between workers in its workforce
- Discourage discriminatory behaviours, particularly when workers are hired, promoted, fired, or assigned benefits
- Follow up on the improvements

To end discrimination in the workplace, the producer strives for:

- **Internal assessments:** Regular internal assessment can help the producer to early identify most common types of discrimination (e.g. race) as well as the most common activities and processes through which discrimination can occur in the company (e.g. hiring process)
- **Root cause analysis:** Learn and accept the root causes of discriminatory behaviours is the only way to be able to design solutions that can truly end the problem.

**IMPORTANT:** Virginity tests and the use of contraception, or equivalent practices, are forbidden as requirements or preconditions for workers’ hiring, promotion, access to training, or any other social benefits.

4.2. The auditee ensures workers are not disciplined, dismissed or discriminated against because of their complaints against infringements of their rights

This means that the producer (auditee) makes sure that workers feel free to use the grievance mechanism without fear of reprisal.
The producer regularly:

- Gets lessons learned from all grievances submitted through the grievance mechanism and how they were handled
- Informs workers on the improvements made thanks to some or all grievances
- Conducts grievance satisfaction surveys
- Trains managers and workers on how to get the best out of a grievance mechanism

All these activities shall be recorded so they can be verified during an amfori BSCI audit.

4.3 The auditee takes the necessary measures, so workers are not harassed or disciplined on grounds of discrimination

This means that the producer (auditee) makes all efforts and investments to avoid that workers are hurt because of their gender, race, religion etc.

These efforts include that the producer ensures:

- Disciplinary actions in the workplace based on the law, and reasons shall be kept in a written procedure available to any workers or relevant stakeholders
- Workers and their representatives are consulted on disciplinary actions and how they should be enforced
- A record-keeping system that maintains overviews of disciplinary actions that have been taken
- Regular training to managers and workers on the disciplinary actions that can be applied in the workplace
- Training to managers and workers on the risks of discrimination and how to overcome them

**Documents related to this performance area**

- Documented evidence of disciplinary procedures
- Documented evidence of disciplinary cases and the actions taken
- Documented evidence of workers’ performance assessments and procedures
- Documented evidence of grievances filed/ investigated (see Template 8: Grievance Mechanism Tracker)

Producers sourcing directly from farms will need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for the producer business.

Notes:
Performance Area 5: Fair remuneration

Fair remuneration means that workers are to be paid:

- Following minimum wage regulations established by law or in collective bargaining agreements as the minimum reference for 48 hours weekly working time
- Timely, regularly, and fully in legal currency (in-kind payment shall be above minimum wage)
- Reflecting the skills and experience of workers
- Including mandatory social benefits
- Having only the deductions allowed by law

For better understanding of these concepts see Annex 9: How to promote fair remuneration and Template 5: Fair Remuneration Quick Scan

5.1 CRUCIAL QUESTION: The auditee complies with the government’s minimum wage legislation or the industry standard approved through collective bargaining (if applicable)

This means that the producer (auditee) applies the relevant regulations (e.g. national or industry standard) to all workers, regardless how they have been hired.

The producer will make all efforts to:

- Know the minimum wage or industry standard that applies to its sector
- Not pay any worker below the minimum amount or standard

Pay above the minimum to those workers that due to their seniority or skills are entitled to receive higher benefits

- Keep pay slips for at least the 12-month period before the date of the amfori BSCI 2.0 audit

The producer will dedicate special attention on the way payment is done to:

- **Part-time workers**: On a pro-rata basis
- **Piece-rate workers**: The number of pieces produced in eight hours should amount to no less than the minimum daily wage as defined by law
- **Workers in the probationary period**: Paid according to the law
- **Workers hired through agencies**: The producer is aware of and keeps records on how, when, and how much the agency pays these workers

5.2 Wages are paid in a timely manner; regularly and fully in legal tender

This means that the producer (auditee) makes sure that wages are paid in the local and valid currency, that payments occur at the time that has been agreed and with a frequency that allows workers’ planning.

The producer pays workers:

- **Timely**: As agreed upon and communicated to workers prior to their hiring
- **Regularly**: Workers can plan and make use of their earnings, because they know when payment is due.
- **Fully in legal tender**: Regular working hours are to be paid in the local and legal currency.

The producer can only pay workers “in kind”, any benefit that:

- goes beyond regular working hours earnings
- does not represent a breach of law, goes against morals or against public and private health (e.g. It is not allowed that in-kind contribution is done in alcohol or other drugs)
For workers hired through agencies: The producer is aware of and keeps records on how, when, and how much the agency pays these workers.

The producer calculates the cost of transportation and housing given to workers and has a written policy on how these free services are included in the remuneration.

Personal protective equipment and other tools given to workers to perform their tasks are not part of the payment and should never be deducted from worker’s salaries.

5.3 The level of wages reflects the skills and education of workers

This means that the producer (auditee) recognises that skills can be developed through both education and experience. Many skills are not proven by having an official diploma and yet they represent such an asset for the producer that workers with those skills are rewarded accordingly.

Workers’ skills are taken into consideration:
- In the hiring process
- When assigning salaries
- When assigning tasks

Having a highly-skilled worker receiving a low-skilled worker salary is not acceptable and it may be a sign of discrimination or a practice against the law.

The producer makes sure that:
- Job descriptions are available with lists of the kinds of skills required to perform the jobs
- Human resources and supervisors are trained to assess workers’ skills
- Regular trainings are provided to strengthen workers’ skills
- People in charge of doing occupational health and safety risk assessments are consulted to determine the types of skills needed for each job

5.4 The auditee provides sufficient remuneration that allows workers to meet a decent living standard

This means that the producer (auditee) takes all necessary measures to ensure that workers can meet a decent standard of living.

Fair remuneration concerns all workers regardless if they are:
- Permanent or seasonal
- Directly or indirectly hired

The producer may use Template 5: Fair Remuneration Quick Scan to estimate the living costs in its region and determine whether its remuneration practice covers this. This will be acknowledged by the auditor as a good practice. If there is a gap between the cost of living and workers’ wages, this information should be considered in future wage negotiations.

Total remuneration includes:
- Wages paid for up to 48 regular working hours (or whatever the maximum regular hours are according to local law)
- Social benefits
- In kind benefits and bonuses
- Subsidised or free transportation
- Subsidised or free-living space
- Subsidised or free canteen services
• Opportunities for education or training
• Premium paid for overtime work

Remuneration does not include the cost of:

• Uniforms
• Personal protective equipment
• Training that is mandatory as part of the job requirement (e.g. occupational health and safety training)
• Any tool essential to conduct the job

5.5 The auditee provides workers with the social benefits that are legally granted

This means that the producer (auditee) take all necessary measures to ensure that workers get the social benefits that they are legally granted

National law: National law defines the mandatory social benefits given to workers in that region.

Mandatory social benefits usually are:

• Old age pension
• Survivor’s benefit
• Family benefits and parental leave
• Medical care
• Unemployment
• Sick leave
• Disability
• Work-related injury compensation
• Vacations

Collective bargaining agreement: A collective bargaining agreement must be respected.

Commercial insurance: In some countries, the producer may sign up for commercial insurance to cover at least some of the social benefits (usually work-related injury and health) and use these commercial insurances to replace (fully or partially) the government programme.

The producer will need to explain this approach during the amfori BSCI audit and be aware that if the workforce is insured only with private insurance, but the country’s legislation does also require contribution to the public scheme, the auditor will evaluate this question as “partially” covered.

Exceptions from social benefits: The producer may have been granted exceptions from social benefits. Such exceptions shall be:

• Issued by the legal authority (usually government department)
• Valid for the current period of time
• Applicable for the producer (e.g. identified by business licenses or similar)
• In agreement with the procedures of the business

The producer should make available the original document(s) that prove these exceptions.

Good practices: If the producer provides commercial insurance in addition to the minimum social benefits required by law, the auditor shall acknowledge it under ‘Good Practices’ in the findings report.
5.6 **CRUCIAL QUESTION**: The auditee ensures that deductions from wages are only taken under the conditions and to the extent prescribed by the law

This means that the producer (auditee) cannot apply deductions to workers' wages if they result in:

- Workers earning less than the legal minimum wage
- An economic benefit for the producer
- A form of discrimination

**Training sessions**: Workers cannot have deductions in wages or working hours because of the time they are in required meetings, training sessions, or other workplace situations beyond their control. Instead, the employer assumes responsibility for these situations (e.g. a machine used by a worker is under repair and the lost time negatively impacts her/his productivity).

**Closure of production site**: If the producer’s production site is going to be closed down for repairs or reconstruction, the producer has to let the workforce know in advance when it will be closed. This communication must be done with the support of the workers’ representative to make sure all workers’ rights are respected.

**Objects or services**: Deductions cannot be made for the use of objects, buildings, or services that are directly necessary for doing the work.

That includes entry fees and charges for the use of:

- Tools and machines
- Sanitary facilities
- Drinking water
- Washing facilities
- Protective clothing for workers

**Market rate**: Deductions for services offered by the producer (e.g. transportation or food) are charged at local market rates or lower. These services must always be voluntary for workers to use.

**Disciplinary measures**: Deductions for disciplinary actions can only occur under the conditions specified by law or the conditions defined in a freely negotiated and established collective bargaining agreement.

**Documents related to this performance area**

- Documented evidence of legal deductions for goods and services
- Documentation of legal minimum wages relevant for the sector
- Documented collective bargaining agreement
- Pay slips for workers and documented evidence of payments
- Completed Fair Remuneration Quick Scan ([amfori BSCI Template 5: Fair Remuneration Quick Scan](#))
- Worker contracts or agreements, including those with recruitment agencies
- Personnel data files for all workers (including seasonal workers)
- Documented evidence of additional benefits (commercial insurance if applicable)
- Documented evidence of updated contributions to social insurance funds
- Documented evidence of legal deductions for goods or services
- Lists of wage ranges and calculations including for piece rate workers
Producers sourcing directly from farms will need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for the producer business.

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Performance Area 6: Decent working hours

Decent working hours include following elements:

- Working hours not exceeding 48 hours a week and 8 hours a day
- Overtime according to legal limits and paid at premium rate
- Right to resting break in every working day
- Right to one day off in every seven days

Permanent and temporary exceptions may be allowed by national law for specific industries or production seasons.

Particular attention is to be paid to:

- Production peaks due to seasonality, not forecasted orders or perishability of the product
- Task rate and piece rate workers for overtime limits and payment
- Vulnerability of young workers, pregnant women, migrant workers, and night shift workers

6.1 The auditee does not require more than 48 regular working hours per week, without prejudice to the exceptions recognised by the ILO

This means that the producer (auditee) ensures that working hours do not exceed:

- 48 regular hours per week
- 8 regular hours per day

The producer may apply some exceptions foreseen by the law, related to the following circumstances:

- **Management**: Supervisory or management positions may need to work more than 48 hours per week or more than 8 hours per day
- **Custom**: The law, custom or agreement may define that workers can work less than 8 hours in one or more days of the week. In these cases, the remaining days of the week can then be extended to 9 hours, provided that 48 regular working hours per week remains the maximum.
- **Shifts**: Workers employed in shifts may work for more than 48 hours per week or 8 hours per day, if the average number of working hours over a period of three weeks or less does not exceed these limits.
- **Family**: Family members running their family business may work more than 48 hours per week or more than 8 hours per day
- **Special regime**: Workers subject to a special regime, defined by the local laws (e.g. security guards often don’t have to follow regular legal requirements regarding working hours)

These exceptions make the daily and weekly limits for hours more flexible. However, average working hours within three months or less shall not exceed 48 hours per week.

If the excessive working hours are compensated in time within those three months, they will not be paid premium.

**IMPORTANT**: In agricultural works, the 48 regular working hours per week and above-mentioned expectations are to be considered recommendations. However, it will need to be understood that the specific nature of agricultural production may require more flexibility in working hours.
6.2 CRUCIAL QUESTION: The auditee request of overtime is in line with the requirements of the amfori BSCI Code of Conduct

This means that the producer (auditee) will only request workers to work overtime under conditions that respect the amfori BSCI Code of Conduct.

In this context, producer shall be aware of the law that applies to its industry and that:

**Overtime:**

- It is any working hour in addition to the regular hour limit. In countries where legislation sets the limit below 48 hours per week (e.g. 40 hours) any additional working hour is considered overtime.
- It must be paid in a premium rate, which cannot be less than one and one-quarter times the regular rate.
- Asking workers to work overtime will never significantly increase the likelihood of occupational health and safety hazards.

The legislation of its country will most likely define:

- **Temporary exceptions** that allow additional working hours (e.g. force majeure, accident risks, or actual and urgent work to be done to machinery)
- **Overtime limits per day, week or month** (e.g. maximum three hours per day)
- **Premium pay rates** that applies to overtime (e.g. 1.25 more than a regular working hour)
- **Type of working processes** that must be done in continuous shifts because of their nature and receive a permanent exception (e.g. national law allows two shifts of 12 hours per day instead of three shifts of eight hours per day)

**Written procedure on overtime:** Particularly regarding temporary exceptions, the producer shall enforce an internal procedure that:

- Has been approved by a worker representative and management
- Defines how many hours a worker may work daily, weekly and monthly during an exceptional period
- Defines the premium rates applicable to overtime for different days and circumstances
- Respects any other criteria defined by national law

**When drafting these procedure, workers’ representative and management shall make sure that:**

- **No discrimination:** Temporary workers, migrant workers, and piece rate workers are not always being the ones requested to work overtime.
- **No accumulation of fatigue:** Overtime should be well balance with resting periods.
- **Special protection** is granted for young workers, pregnant women, and night shift workers

**Legal permanent exceptions:** If the producer belongs to a type of industry which is covered by a legal permanent exception, the producer must keep updated documented proof of the agreement that describes the legal exception.

This agreement must have force of law and define:

- Type of exceptions
- Categories of affected workers
- The maximum additional working hours in each case
- The premium rate for overtime: at least 1.25 more than the rate for regular hours.
To sum up, overtime shall be:

- **Voluntary:** Overtime always needs to be voluntarily agreed upon, except in cases of temporary exceptions (e.g. force majeure), which must be described in the employment contract.
- **Exceptional:** Overtime cannot be repeatedly added onto regular working hours, but to respond to an exceptional unforeseen situation.
- **No risks added:** Overtime shall not significantly increase the risk to workers’ health and safety.
- **Premium paid:** It is paid at a premium rate as defined by the law. Overtime occurring during official holidays and/or Sundays may have a higher premium rate.

**Corrective measures:** Certain measures can be implemented to reduce excessive overtime:

- New technologies to improve production efficiency
- New production techniques
- More skilled and qualified workers
- Improvement in logistics (e.g. coordination and planning)
- A conversation with clients about delivery time expectations

All these aspects and precautions to reduce overtime also apply for agricultural work.

**6.3 CRUCIAL QUESTION:** The auditee grants workers the right to resting breaks in every working day

This means that the producer (auditee) ensures that workers benefit from:

- **Short breaks:** Workers are allowed to take short breaks during working hours, especially when the work is dangerous or monotonous, to enable workers to stay alert.
- **Meal and toilet break:** Workers are allowed to take the necessary time for meal and toilet breaks according to the law.
- **Night rest:** Workers working during the day are allowed at least eight hours of night rest within a 24-hour period.
- **Adequate areas:** Workers have access to effective resting break areas that include the following:
  - Access to ventilated areas
  - Accessible toilets
  - Possibility for changing the physical position (either sitting down or standing up)

**6.4 CRUCIAL QUESTION:** The auditee grants workers the right to at least one day off in every seven days

This means that the producer (auditee) understand that workers need to rest to be able to be productive and management grants workers one full calendar day off every seven days, unless the freely negotiated collective bargaining agreement or national law defines otherwise.

**Full calendar day:** The producer respects relevant regulations for days off. The days off shall be full calendar days and should follow national law or custom.
Documents related to this performance area

- Documented working rules
- Pay slips for workers and documented evidence of payments
- Documented evidence of the legal permanent exception covering the producer’s industry
- Records of hours worked by all workers
- Documented overtime procedure including agreements with workers
- Documented records of accidents

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.
Performance Area 7: Occupational health and safety

The performance of a business in occupational health and safety (OHS) is assessed in four aspects:

- Compliance with regulations
- Risk assessment
- Training of workers
- Procedures and equipment to ensure OHS

The producer must be able to explain and provide documented evidence of its processes and procedures to ensure that OHS regulations are respected. Imminent risks to workers’ health and/or lives identified during the audit will cause the auditor to trigger an alert according to the amfori BSCI Zero Tolerance Protocol.

IMPORTANT: If the main auditee holds a valid GlobalGAP Certificate, the auditor will not monitor this performance area.

7.1 The auditee observes applicable occupational health and safety (OHS) regulations

This means that the producer (auditee) has a good knowledge of the OHS regulations that apply to its business and observes these regulations.

In cases where the country does not prescribe OHS regulations, international standards apply.

The producer involves workers and their representatives in drafting and enforcing the internal procedures on occupational health and safety, which are necessary to ensure observance of OHS regulations.

7.2 The auditee seeks workers’ protection in case of accident, including through compulsory insurance schemes

This means that the producer (auditee) implements different measures to protect workers in case of accident (e.g. the producer may set or promote that workers sign up for private insurance scheme) and does the following:

- Involves workers and their representatives in finding better ways to protect workers from accidents
- Provides regular training for workers and management on how to avoid accidents and minimise impacts from accidents
- Regularly analyses the accident records to learn lessons and adjust accident protocols accordingly

7.3 The auditee regularly carries out risk assessments for safe, healthy and hygienic working conditions

This means that the producer (auditee) regularly conducts occupational health and safety risks assessments to:

- Identify the most common risks for workers
- Classify the risks based on their severity and likelihood
- Define the kind of preventive or remedial measures that may be necessary
- Develop, maintain, and implement an action plan
- Allocate budget
The producer will keep in mind that a good risk assessment:

- Is appropriate for the safety and health of all workers
- Includes consultation with workers
- Covers all production activities, workplaces, machinery, equipment, chemicals, tools, and processes
- Uses relevant standards as a reference (e.g. national law or international standards)
- Includes regular monitoring and testing
- Provides enough human and financial resources to ensure that the identified risk(s) can be reduced
- Takes into consideration:
  - The special needs of the most vulnerable workers such as pregnant women, young workers, or migrant workers
  - The transmittable and non-transmittable diseases in the work environment

7.4 There is active cooperation between management and workers (and/or their representatives) when developing and implementing systems towards ensuring OHS

This means that the producer (auditee) takes the necessary measures to proactively promote constructive dialogue between management and workers.

Workers and their representatives are to be consulted:

- During the risk assessment
- During the development of the action plan
- During the implementation of the systems to ensure safe and healthy workplace

If the producer has set up an OHS committee with democratically elected workers’ representatives, this is a positive step.

Other kinds of cooperation are acceptable, but there must be unambiguous evidence that shows how this active cooperation happens.

The producer keeps records on:

- OHS committee meetings
- OHS committee recommendations
- How the management evaluate these recommendations to accept or reject them

7.5 The auditee regularly provides OHS training to ensure workers understand the rules of work, personal protection and measures for preventing and reacting to accidents

This means that the producer (auditee) takes the necessary measures to make information available to workers about:

- The hazards and risks associated with their work
- The actions that should be taken for their protection

This information needs to be displayed in a way that can be easily understood by workers.

The producer should make sure that workers are at least trained on the following OHS aspects:

- Using and maintaining the personal protective equipment (cleaning, replacement when damaged, and appropriate storage)
- Handling basic and site-specific hazards
• Safe work practices
• Emergency procedures for natural disasters
• Evacuation drills and/or fire-fighting drills, which have records for:
  o The purpose
  o Number of workers who participated
  o Results
  o Photos and dates
  o Time taken for the evacuation (the time required for evacuating the building should never be more than nine minutes)

The producer improves its performance by doing additional training on OHS for the following audiences:

• Management, supervisors, and occasional visitors
• Workers who operate machinery and power generators
• People working with electrical installations and equipment who also must understand their tasks and safety procedures
• Workers who handle and/or administer hazardous substances (including, but not limited to, chemicals, disinfectants, crop protection products, and biocides)

7.6 The auditee enforces the use of personal protective equipment to provide protection to workers in conjunction with other facility controls and safety systems

This means that the producer (auditee) takes the necessary measures to provide workers with adequate personal protective equipment that:

• Offers effective protection to workers and occasional visitors. Special attention is to be given to risky processes such as sand blasting for jeans or pesticide application in agriculture
• Does not cause unnecessary inconvenience to the person wearing it
• Is free of charge to all workers
• Works well for the necessary activities in the workplace

7.7 The auditee implements engineering and administrative control measures to avoid or minimise the release of hazardous substances into the work environment. It keeps the level of exposure below internationally established or recognised limits.

This means that the producer (auditee) puts into practice:

Regular risk assessments: To identify the engineering and administrative control measures that are needed to avoid or minimise the release of hazardous substances into the workplace and the environment.

Administrative control measures: At the minimum, the producer will set up the following measures at the workplace:

• Authorisation: Only authorised workers have access to chemical substances
• Protection: Workers receive adequate protection for handling and administering chemicals
• Record-keeping: The distribution, use, and disposal of chemicals are properly recorded
• Following instructions: Workers must follow the recommendations of the manufacturer, when using chemicals (trainings may be provided in this context)
• Labelling: The labelling of chemicals and marking of hazards are clearly understood by the workers and are done in agreement with nationally and internationally recognised requirements. For example:
  - The International Chemical Safety Cards (ICSC)
  - The Materials Safety Data Sheets (MSDS)
More information on the management of chemicals can be found at the following link: http://www.inchem.org/pages/icsc.html.

**Engineering control measures:** At the minimum, the producer will set up the engineering measures at the workplace to:

- Expulse fumes, steam, and dust outside (e.g. spot cleaning places)
- Properly dispose of chemicals, even in the absence of national legal regulations

**7.8 The auditee develops and implements accident and emergency procedures**

This means that the producer (auditee) puts into practice accident and emergency procedures at least following the recommendations below:

**Step-wise:** Management and a good proportion of the workforce knows the steps to follow in case of accident or emergency, so risks are minimised.

**Written procedures:** These steps are documented in an emergency procedure, which is widely understood by workers, especially those who play a more relevant role when accidents happen (e.g. first-aid personnel).

**Special attention:** The producer makes sure that these procedures are properly explained to:

- Seasonal and temporary workers
- Night workers
- Migrant workers
- Young workers
- Pregnant workers
- Disabled workers

**7.9 The auditee makes visible potential hazards to the workers through signs and warnings**

There are no universal ways to communicate potential hazards and warnings to workers and visitors. However, the producer (auditee) shall be confident that potential hazards to workers are understandable to those who are concerned.

Signals and warnings must be:

- Relevant to the specific culture and activities
- Displayed in the appropriate place for their purpose
- Related to the accident and emergency procedures
- Related and suitable to potential hazards, such as:
  - Chemicals
  - Electricity
  - Hot surfaces
  - Falling objects
  - Slippery floors
  - Machinery and vehicles
7.10 The auditee has and properly uses procedures for recording and reporting occupational accidents and injuries

This means that the producer (auditee) takes the necessary measures on:

**Reporting:** The procedures enable workers to immediately report to their supervisor any situation that presents a serious danger to life or health. Both accidents and near-misses are reported.

**Recording:** The producer keeps records on all accidents and injuries. Records specify:

- **When** the accident took place (e.g. date, peak season, harvest season)
- **Who** was involved
- **What** actions were taken
- **What** the final results were (e.g. death or injury)
- **How** the accidents (or occupational diseases) were investigated
- **What** actions for prevention and remediation were taken
- **How** long workers were unable to work

7.11 The auditee seeks the stability and safety of the equipment and buildings used for production

This means that the producer (auditee) takes the necessary measures to:

- Have procedures in place to confirm the stability and safety of the equipment
- Keep accurate documentation of any official and private inspection concerning building and equipment safety and stability
- Have valid licenses to conduct its activities in the relevant building

The producer knows and follows:

- National legal requirements concerning the building:
  - Stability
  - Safety
  - Appropriateness for conducting its business activity
- Legal requirements concerning the safety of the equipment, including ongoing official inspections (if relevant)

7.12 CRUCIAL QUESTION: The auditee respects the workers’ right to remove themselves from imminent danger without seeking permission

This means that the producer (auditee) takes the necessary measures to ensure that workers can remove themselves from imminent danger without asking permission. This workers’ right:

- Applies to the workplace and residential facilities provided by the producer
- Must be well communicated to workers during trainings
- Must be properly documented in the OHS procedures

7.13 The auditee makes sure a competent person periodically checks the electrical installations and equipment

This means that the producer (auditee) takes the necessary measures to ensure that a competent person will regularly verify electrical installations and equipment. Competent person means that the person has:

- The relevant training
- Relevant qualifications
- Acquired relevant experience
- Checks of the electrical installations and equipment will happen:
  - Within the pre-defined timeframe
  - Randomly
  - Per request

The checks are properly recorded and, if possible, posted close to the verified installation or equipment. The record includes at least:

- Name of the person in charge
- Date of the last check
- Description of findings (if any)
- Due date for the next check

Furthermore, when dealing with electrical installations and equipment, workers need to conduct their work safely by:

- Using only tools properly insulated and in good condition
- Having appropriate working space and lighting
- Informing the competent person in case electrical installations or equipment show abnormal functioning

Usually national laws define the working space and lighting needed by workers that work with electrical installations and equipment.

If national laws exclude such regulations, the producer uses common good practices and adapts them to its situation, such as:

- Workplaces being free of distribution lines
- Electrical cords not posing a tripping hazard
- Risks of strangulation and other work-related accidents being evaluated and included in the OHS procedure to minimise them
- Engaging workers who use the installations and competent persons to get suggestions on how to reduce risks

### 7.14 CRUCIAL QUESTION: The auditee has installed an adequate amount of firefighting equipment, which works properly

This means that the producer (auditee) takes the necessary measures to ensure that the workplace counts with the firefighting equipment required by the OHS action plan. Usually the national law specifies the standard requirements for firefighting equipment such as:

- Position and placement
- Size and effectiveness
- Maintenance and inspection requirements

If there are no legal requirements, the firefighting equipment must at least be:

- Distributed in an equal way around the workplace
- Placed at a height that ensures effectiveness
- Easily reached by workers
- Properly identified (e.g. inventoried) with clear reference to:
  - The date of the last servicing
  - The due date for the next servicing
- Where fire extinguishers are located and the route to reach them must be visually marked.
Early warning systems must be installed and function as required by the law. Warning systems can be:
- Smoke sensors
- Fire alarms
- Alarm devices

7.15 CRUCIAL QUESTION: The auditee ensures that escape routes, aisles and emergency exits in the production site are easily accessible, clearly marked and not blocked

This means that the producer (auditee) takes the necessary measures to ensure that workers and visitors can easily leave the premises if an incident occurs without putting their health or lives at risk.

To that aim:

- **Escape routes, aisles, and emergency exits** must be all of the following:
  - Not blocked or locked during working time (including overtime and night shifts)
  - Easily accessible
  - Clearly marked
  - Ending in a safe place for workers and visitors

- **Safe evacuation** shall be managed in a systemic and preventive manner, for which workers shall conduct fire drills at least as required by law

- **Emergency lights** and any other evacuation signals must be properly installed and function well

- **Production rooms** where more than 10 workers work in the same shift should have doors that open outwards unless the national law sets different rules

- **The number of emergency exits** must be adequate for:
  - The number of workers
  - The size and occupancy of the building
  - The arrangement of the workplace

7.16 The auditee ensures evacuation plans meet legal requirements and are posted in relevant places so workers can see and understand them

This means that the producer (auditee) takes the necessary measures to ensure that the evacuation plans are the best possible to ensure workers can evacuate the workplace safely.

Plans to evacuate the workplace (and the building) must show:

- **Standpoint**: Current position from the location where the plan is posted
- **Closest escape routes**: Location of the closest escape routes including emergency exits
- **Firefighting equipment**: Location of fire extinguishers and any other firefighting equipment

The producer organises regular trainings to ensure that workers know how to:

- use a fire extinguisher
- read and follow the evacuation plan to reach a safe point

7.17 The auditee ensures adequate safeguards for any machine part, function, or process which may cause injury to workers

This means that the producer (auditee) takes the necessary measures to ensure that workers can use any relevant machine, function or process in a safe manner.

All applicable safeguards for equipment are available and properly installed, for example:
• Belt encasements
• Grills for fans
• Emergency switch-off

Valid inspections and insurance for machinery and vehicles are available as required by law. The maintenance work is done by competent personnel and recorded. This may be the case for elevators, lifts, and other hazardous machines.

The producer keeps records of the maintenance, which includes:
- Summary of maintenance
- Name of the competent person in charge
- Applicable insurance and its validity

7.18 CRUCIAL QUESTION: The auditee ensures qualified first-aid is available at all times

This means that the producer (auditee) takes the necessary measures to ensure that workers can receive first-aid in case of need.

National legal regulations define what kind of medical provisions shall be available for workers in the workplace.

If there are no such legal regulations, the producer provides:
- Adequate first-aid kits, rooms, and/or stations
- Regular training on first-aid and related procedures to ensure emergency treatment
- One or multiple trained people who can administer first-aid
- Responsible people to verify and re-fill the content of the first-aid kit

Where immediate flushing with water is the recommended first-aid response, the producer makes sure that close to workstations there are:
- Potable water sources
- Eye-wash stations
- Emergency showers

7.19 The auditee has emergency procedures to deal with cases of trauma or serious illness. These procedures must be in writing.

This means that the producer (auditee) takes the necessary measures to ensure that workers are helped in case of trauma or serious illness and are transferred to appropriate medical facility if necessary.

The emergency procedures may be in a separate document or part of the action plan developed after the OHS risk assessment. It shall include the steps to be taken when a worker has to be transferred to an appropriate medical facility as well as the names of responsible staff in every shift.

Workers are aware of the procedures and who is the responsible staff in case of trauma or serious illness of themselves or one of their fellow workers.

7.20 CRUCIAL QUESTION: The auditee provides potable water for workers at all times

This means that the producer (auditee) takes the necessary measures to ensure that workers have access to potable water always and not only during breaks.

Limiting access to potable water must be regarded as inhuman treatment or discrimination. Therefore, it must not happen, even less as a disciplinary measure.
The right to potable water shall be granted always in:

- The workplace (both factories or farms)
- The facilities where workers prepare or eat food
- Housing or dormitories provided by the producer or provided by a broker or recruitment agency

National regulations often define:

- Water quality acceptable for human use
- Which areas may not require potable water (e.g. showers)
- The kinds of tests and authorities that verify water is potable

**Certificates:** Relevant and valid certificates must be made available.

**Signs for non-potable water:** Places where water is not potable must be properly marked to avoid any health risk to users.

**Risk of dehydration:** The producer pays additional attention to the right to potable water during seasons or in regions where risk of dehydration is higher due to hot weather.

**7.21 The auditee provides workers with access to an appropriate, clean area for storing food, eating and/or cooking**

This means that the producer (auditee) takes the necessary measures to ensure that workers can eat, cook and store food in all safety and human dignity.

The producer makes sure that workers are allowed to enjoy their lunch or dinner breaks in a place that is safe and clean.

If the law states that businesses must provide an eating room or canteen, the producer follows that law.

If the law does not define the minimum conditions for these facilities, the producer should make its own assessment in consultation with workers and their representatives to define and agree on the safe and clean conditions.

The producer pays particular attention during peak season to ensure that the facilities can accommodate the entire workforce (permanent and all other workers), and still enjoy their lunch or dinner breaks in a place that is safe and clean.

The producer must have the following information available for the audit:

- How food is stored
- Records of cleaning shifts
- Menus for the last six months before the audit
- Lunch and/or dinner shifts

**7.22 The auditee provides workers with clean washing facilities, changing rooms and toilets that are respectful of local customs**

This means that the producer (auditee) takes the necessary measures to ensure that workers can maintain their hygiene habits and be safe from any contamination risk.

The producer makes sure that workers are granted decent changing rooms, washing rooms, and toilets equipped with all necessary conditions of human dignity. At the minimum, facilities must provide:

- A steady supply of soap
- Working locks
- Gender separation
- Separate changing rooms for workers who change their clothes to perform their functions (e.g. to handle hazardous substances or wear protective clothing)

If the law defines the minimum number of washing facilities and toilets that businesses must provide, the producer follows that law.

If no law exists, the assessment of how many facilities are needed to serve the size of the workforce needs to be part of the OHS risk assessment and related action plan.

If there is no applicable law, the number of washing facilities, changing rooms, and toilets should meet the needs of the total number of workers. Particular attention should be given to making sure that facilities meet workers' needs even when the number of workers increases (e.g. peak season).

The producer is able to explain during the audit the reasons for having the amount of facilities that it has. It can also explain plans to adapt the number, if needed.

7.23 The auditee provides workers with transportation (either directly or by using third parties) that is safe and that complies with national regulations

This means that the producer (auditee) takes the necessary measures to ensure that workers come to work safely. To that aim:

- The producer has information on how workers get to the workplace (e.g. public transportation or bicycle).
- The means use for transportation are suitable for human transportation

7.24 The location of the social facilities or workers housing ensure that users are not exposed to natural hazards or affected by the operational impacts of the worksite (for example noise, emissions or dust)

This means that the producer (auditee) takes the necessary measures to ensure that workers are not exposed to natural hazards or operational impacts due to the location of the social facilities or housing.

National law usually defines the characteristics for where and how social facilities and housing must be located. If not, the producer:

- Bases its decision on the OHS risk assessment and related action plan
- Ensures that the location of social facilities and housing does not expose workers to:
  - Natural hazards
  - Adverse impacts on health, safety, or their lives
- Industrial buildings (with or without industrial activity) are not used for workers' housing

Cost of accommodations: When workers are required to temporarily leave the regular workplace for a different work environment (e.g. agricultural or animal production), the producer should provide the workers adequate facilities and accommodations at no cost for them.

7.25 The auditee verifies that temperature, humidity, space, sanitation, illumination are adequate for the health and safety of workers

This means that the producer (auditee) takes the necessary measures to ensure that workers are not exposed to unnecessary health risk due to the working conditions.
**Respectful to workers’ health and safety:** The producer needs to make sure that workers have a workplace, social facilities, and housing that are fully respectful of their health and safety.

If the law defines the minimum characteristics for the workplace, social facilities, and housing, the producer follows that law.

If not, the producer comes up with the relevant standards because of the OHS risk assessment. The producer must define in consultation with workers and their representatives the adequate conditions related to:

- Temperature
- Humidity
- Space
- Sanitation
- Lighting

**Space and lighting:** Space and lighting need to be provided in such a way that is adequate for workers’ specific activities.

The producer must be able to provide to the auditor consistent information on:

- The existing conditions
- Improvement plans (if any)
- Timeline and related cost(s) for improvements

If the producer provides workers with housing:

- The rooms must give workers enough space and not be overcrowded
- Workers must have space to store personal items
- Laundry and waste disposal need to be properly organised
- Waste removal scheduling must be displayed for workers in the housing

**Documents related to this performance area**

**Certificates and contracts:**

- Valid inspection and insurance for machinery and vehicles
- Purchase invoices of the Personal Protection Equipment bought by the producer
- Valid business license and all necessary official approvals to run operations
- Official building certificate about safety and appropriateness for the industry
- Contracts with service providers, including food services, transportation, and agents

**Training**

- Documented evidence of workers training on occupational health and safety
- Evidence of a training calendar for workers and management
- Documented evidence of the qualifications of workers who deal with dangerous machines, electrical installation, and any other activity that requires specific training due to the high level of risk

**Records and reports:**

- Risk assessment for safe, healthy, and hygienic working conditions
- Action plan for safe, healthy, and hygienic working conditions
- Documented evidence of up-to-date contributions to social insurance funds
- Occupational health and safety regulations for the industry
- Documented evidence of the election process for the health and safety committee
- Minutes of the health and safety committee meetings
- Documented evidence of the consumption, release and disposal of chemicals (including Material Safety Data Sheets – MSDS)
- Official inspections conducted to ensure building and equipment safety, including date of validity and corrective actions if any
- Inspection reports, maintenance records, and operating and safety instructions for:
  - Dangerous machines including lifts, electrical equipment, and high-pressure equipment
  - Firefighting equipment (e.g. inspection tags on fire extinguishers)
  - Potable water at production facilities and dormitories
  - Health and safety of the facilities and dormitories including temperature, noise level, and lighting

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.
**Performance Area 8: No child labour**

**Child labour** is work that:
- Is done by a person under 15 years old
- Is dangerous morally, physically, socially, or mentally
- Interferes with schooling
- Is not ‘light work’

**Light work** is the participation of children or adolescents in work such as:
- Helping parents around the house
- Assisting in a family business
- Earning money outside school hours

Light work is acceptable if children are:
- at least 13 years old (or at least 12 years old in countries that have set a minimum age of 14)
- able to attend school and have time to accomplish their homework (e.g. two hours in any working day)
- supervised by parent or guardian who ensures tasks given to children are harmless

**A higher minimum age for hazardous work:** Work that by its nature, or the circumstances under which it is carried out, is likely to jeopardise health, safety or morals can only be executed by a person older than 18 years old.

8.1 **CRUCIAL QUESTION:** The auditee does not engage in illegal child labour directly or indirectly

This means that the producer (auditee) takes the necessary measures to ensure that children younger than 15 years old (or younger than 14 years old in countries that have set that age as the threshold) are not engaged directly or indirectly to be part of the workforce

Child labour shall be avoided because it is:
- mentally and physically harmful to the children
- morally incorrect for a responsible business
- harmful for the community because it:
  - Deprives children of the opportunity to attend school
  - Obliges them to leave school before completing the term
  - Requires them to try to combine school attendance with excessively long and heavy work

The producer must take the necessary actions to:
- **Understand** what child labour is and what it is not
- **Understand** the legal context it operates in and local laws relating to child labour
- **Identify** whether child labour is likely to occur in its industry or region (e.g. some industries such as agriculture, hunting, forestry, fishing, mining, and quarrying have higher risks of child labour than others.)

**The producer shall avoid engaging child labour indirectly** (e.g. by using recruitment agencies or allowing migrant or seasonal workers to use their children to support them at work).

To that aim, additional precautions may be needed, and the producer will keep up-to-date records of:
- Migrant or seasonal workers’ children’s names, ages, schooling time schedules, and school information
- Age and identity cards of workers engaged through recruitment agencies
- Agencies’ recruitment procedures to avoid engagement of children or illegal workers (among others)

All this personal data will be kept with utmost respect and according to data privacy regulations. If during the additional preventive measures, the producer realises that some of the workers were hired before they reached the legal age to work, the producer reports this to the auditor and shows that actions taken to keep the situation from happening again.

**Stakeholder mapping:** The producer keeps contact details of the stakeholder(s) who could provide victim and child protection support (e.g. returning to school and identification of parents).

amfori BSCI offers Template 6: Stakeholder Mapping to use for this purpose.

8.2 The auditee establishes robust age-verification mechanisms as part of the recruitment process, which may not be in any way degrading or disrespectful to the worker

This means that the producer (auditee) takes the necessary measures to ensure that its recruitment process can identify any minor before he or she is recruited.

The risk of hiring minors is higher for:

- Certain sectors (e.g. mining and textile)
- Certain cultural contexts and countries (e.g. Sumangali system in India)
- Jobs that require low or no qualifications
- Work conducted in remote areas where:
  - Labour inspectors are less likely to reach
  - Individuals have limited access to official identity cards

A robust age-verification mechanism includes:

- Training of the person or people in charge of hiring workers and dealing with high-risk situations
- Training of the person or people in charge of hiring workers to use interviewing techniques that can cross-verify the actual age of workers being interviewed
- Regular cross-verification of workers’ ages with other stakeholders (e.g. recruitment agencies and previous employers)

8.3 The auditee has adequate policies and procedures in writing, towards protecting children from any kind of exploitation

This means that the producer (auditee) takes the necessary measures to ensure that children are protected from any kind of exploitation neither directly (by the producer) or indirectly (by business partners).

The procedures shall be kept up-to-date and include:

**An overview of:***

- Particularly hazardous working conditions in the workplace
- Illegal activities in the region (e.g. drug trafficking, prostitution, and forced migration)
- Family poverty as a driving force behind child labour
- Child protection projects run in the area by government, NGOs, or others
- Trade union(s) that could offer support in case of child labour
• Educational or vocational training facilities nearby or in the region (including contact details and schedules)
• Education or social welfare authorities that can provide assistance in cases of child labour

**An assessment** of the measures to:

- Control the risk of child labour
- Reduce or eliminate child labour
- The necessary steps to deal in the most responsible way with cases of child labour

**8.4 The auditee has adequate and remedial policies and procedures to provide for further protection in case children are found to be working**

This means that the producer (auditee) takes the necessary measures to ensure that, should children ever be found working in its business, they would be protected.

The **remediation procedure** must include:

- Ways to help children **return to society** when they stop working (e.g. non-formal or basic education for older children so they can successfully re-enter regular schools)
- Relevant **stakeholders** who could support children and their families when children stop working or for them to be able to stop working (e.g. local offices of international organisations like Save the Children and UNICEF and government agencies dealing with child protection) and up-to-date contact lists.
- **Allocated budget** to provide financial compensation to children found working so they can go to school

In some cases, the **best approach** for remediation may be to:

- Progressively remove children from work
- Set up a time schedule to monitor how children return to society

These two approaches might be more appropriate than immediately removing the child without any supervision.

An immediate removal might incentivise the child to get involved in less visible and more exploitative, hazardous, or illegal types of work. Having a policy to only engage adults is not acceptable as a child labour remediation procedure.

**Documents related to this performance area**

- Personal data files for all workers (including seasonal workers)
- Age-verification procedure
- Training on responsible recruitment
- Procedure to avoid exploitation of children
- Child labour remediation procedure
- Worker contracts or agreements, including those with recruitment agencies

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.
**Performance Area 9: Special protection for young workers**

Young workers:

- Must not work night shifts
- Must not work near or with dangerous substances and chemicals
- Must have received specific training on health and safety standards as well as specific training on how to access and use the producer’s grievance mechanism
- Are assigned working hours that do not put at risk their school attendance, participation in vocational orientation, or capacity to benefit from training or instruction programs

The producer has to take all necessary measures so that such special protection is provided to protect young workers from physical, psychosocial, or moral danger at work.

**9.1 The auditee ensures that young people do not work at night and are protected against conditions of work which are prejudicial to their health, safety, morals and development**

This means that the producer (auditee) takes the necessary measures to ensure that young workers do not put their health, safety, morals and development at risk.

**Risk assessment:** The producer has a good understanding of the activities that are potentially harmful for young workers. A risk assessment is necessary even if the producer does not employ any young workers.

The risk assessment must result in pointing out the processes and areas of work where young workers cannot be involved.

**Night work** is usually defined by national law, in which case the producer uses such a legal definition as a reference to avoid young workers working at night.

Without a national law definition, the producer follows the amfori BSCI definition. amfori BSCI defines ‘night work’ as all work which is performed during a period of seven or more consecutive hours, which include the period from midnight to 5 am, as defined by the ILO.

**9.2 CRUCIAL QUESTION: Young workers’ working hours do not prejudice:**

- Their attendance at school
- Their participation in vocational orientation approved by the competent authority
- Their capacity to benefit from training or instruction programmes

This means that the producer (auditee) takes the necessary measures to ensure that the combination of daily work hours, school time, and transport time is limited to 10 hours a day when workers attend local compulsory education, or any other education or training programme approved by the competent authority.

The producer makes sure that its own company trainings are scheduled in such a way that young workers can still attend school or their education/training programme.
9.3 **CRUCIAL QUESTION:** The auditee establishes the necessary mechanisms to prevent, identify and mitigate harm to young workers

This means that the producer (auditee) takes the necessary measures to ensure that the Occupational Health and Safety risk assessment and related action plan meet the following criteria:

- Specific attention to young workers
- Workers and their representatives are consulted to define preventive and mitigation measures
- The mitigation measures are properly recorded

9.4 The auditee seeks to ensure that young workers have access to effective grievance mechanisms

This means that the producer (auditee) takes the necessary measures to ensure that young workers can use the grievance mechanism and receive timely feedback.

To that aim, the producer seeks to ensure that young workers:

- receive special training on how to submit a grievance
- are properly informed on the support they can receive to submit a grievance
- are trained regardless of the type of employment (seasonal, subcontracted, or directly employed)

**Training documentation:** The producer keeps records of trainings given to young workers about the existence and use of the grievance mechanism. This training documentation shall include:

- Dates and schedules (which should not conflict with schooling or vocational training programmes)
- Content
- Trainer name and qualification
- Attendance list with signatures

9.5 The auditee seeks to ensure that young workers are properly trained on Occupational Health and Safety and have access to related training programmes

This means that the producer (auditee) takes the necessary measures to ensure that young workers receive occupational health and safety training on the specific risks they face in carrying out their tasks.

**Training documentation:** The producer keeps records of trainings given to young workers about the existence and use of the grievance mechanism. This training documentation shall include:

- Dates and schedules (which should not conflict with schooling or vocational training programmes)
- Content
- Trainer name and qualification
- Attendance list with signatures

9.6 The auditee has a good overview of all young workers engaged in its production site

This means that the producer (auditee) takes the necessary measures to ensure that it has accurate and up-to-date information on the young workers employed (directly and indirectly) at the producer business.

The producer understands that young workers are one of the most vulnerable groups of workers.

The producer makes extra efforts to monitor young workers’ working conditions.
**Work cycle:** The producer has a good overview of the work cycle of young workers, which refers to:

- The recruitment process
- Remuneration
- Hours of work
- Disciplinary measures
- Promotion
- Trainings
- Termination of employment

**Record keeping:** The producer collects and keeps specific records on young workers. For this end, amfori BSCI provides Template 7: Young Workers Data that includes the minimum information needed for the records. It is especially useful if the producer does not have its own format.

**Handling personal data:** Personal data records should only be destroyed in agreement with the national regulations for handling confidential information. See also performance area 13 Ethical Behaviour below.

**Documents related to this performance area**

- Documentation of all trainings given to young workers
- Risk assessment and related action plan with specific actions to protect young workers and young female workers
- Young workers overview records
- Young workers’ work cycle overview

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.

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Performance Area 10: No precarious employment

No precarious employment means that:

- Employment terms do not cause insecurity for the worker
- Employment contracts provide social security
- Temporary or seasonal contracts, apprenticeship schemes, and subcontracting are not used to avoid the law

10.1 The auditee’s employment relationships do not cause insecurity for the workers

This means that the producer (auditee) takes the necessary measures to ensure that terms of employment provide legal protection to workers

Cause of insecurity: Situations that cause insecurity to the worker can affect both permanent and temporary workers. They include:

- Lack of social security
- Use of seasonal contracts for permanent positions
- Hiring and firing practices used to prevent workers from consolidating their rights within the company

Temporary workers: The definition of permanent and temporary jobs (seasonal being one type of temporary job) is usually given by law. If there is no legal definition, the producer defines temporary jobs as jobs with pre-determined end dates or as jobs which end as soon as a project is completed.

Probationary period: National legislation often allows the first few months of a new employment relationship to be a probationary period. This period allows both the employer and the employee to try out the employment relationship. It normally includes the notice periods to terminate the employment relationship.

Good practices: When the producer considers the role that workers may have as parents or caregivers and adapts the working conditions accordingly, the auditor will acknowledge this as good practice.

The producer should be proactive in reporting any other contractual practice that is not a legal requirement but a practice that the producer implements on a voluntary basis to improve working conditions.

The producer works against work instability by having:

- Fair recruitment processes, remuneration, hours of work, disciplinary measures, promotions, trainings, and termination
- Temporary job arrangements when truly intended to cover work limited to a determined period
- Valid probationary periods and employment conditions

10.2 The auditee engages workers based on recognised and documented employment relationships

This means that the producer (auditee) takes the necessary measures to ensure that terms of employment are clear and according to the law. The work relationship between the producer and its workers is:

- Recognised: The work relationship has been established in compliance with national legislation, custom or standard practice, and international labour standards, whichever provides greater protection to workers.
- **Documented:** The work relationship is supported by documented proof that workers are made aware of their rights and obligations (e.g. work contracts and posters that indicate working rules). Particular attention must be paid when workers have difficulties reading or writing. In these cases, the producer must make additional efforts to ensure that workers understand their working conditions.

**Indirect recruitment:** The producer should carefully look at workers’ terms of employment when it engages workers by using recruitment agencies or labour brokers. Recruitment agencies must meet the characteristics defined by law to be considered as ‘recognised agencies’. Otherwise, they represent too high of a risk for producer business reputation.

In this context:

The producer has a good overview of how the recruitment agency engages workers, taking into consideration the following criteria:

- **Transparency:** No coercion or threat of violence, accurate information on employment conditions, and contract in language that is understood by the worker.
- **Security:** Freedom of movement, no confiscation of personal documents or vital possessions, no semi-legal recruitment or denial of social benefits, and no excessive work hours or poor working conditions.
- **Employer pays:** Workers don’t pay for a job and costs related to recruitment are covered by the employer.

The producer regularly receives employment documents from the agency.

The producer understands how, when, and how much the agency pays the workers, including possible deductions.

**10.3 The auditee provides workers with understandable information before entering into employment**

This means that the producer (auditee) takes the necessary measures to ensure that workers are aware of the rights and obligations the work demands from them.

Information provided to workers must be:

- **Understandable:** This may require translation into the workers’ languages, or audio and/or visual guidance for disabled workers as well as for workers who have difficulty reading and writing.
- **Timely:** It needs to be provided before the employment relationship begins.
- **Relevant:** It concerns workers’ rights, obligations, responsibilities, and employment conditions. It includes information on:
  - Working hours and overtime premium payment
  - Trainings and other benefits
  - Remuneration and terms of payment
  - Access to the grievance mechanism

The same understandable information must be given to workers hired indirectly (e.g. through recruitment agencies, labour subcontractors, or brokers).
10.4 CRUCIAL QUESTION: The auditee does not use employment arrangements in a way that deliberately conflicts with the genuine purpose of the law

This means that the producer (auditee) takes the necessary measures to ensure that terms of employment correspond to the real purpose. They are not created to avoid the law.

If misused, some legal employment arrangements can harm workers. The producer must avoid:

- Apprenticeship schemes where there is no intention to develop skills or provide regular employment
- Seasonal or contingency work that is used to undermine workers’ protection

Some employment arrangement may have an intention to cover illegal practices or reduce workers’ rights. The producer will be extremely vigilant to avoid being directly or indirectly involved in:

- **Labour-only contracting:** The contractor or subcontractor merely recruits, supplies, or places workers to perform a job, work, or service for the employer. However, in reality the arrangement covers bonded labour practices.
- **Workers’ subcontracting:** Subcontracting should be done for efficiency or quality reasons, not to undermine workers’ rights. (e.g. to avoid reaching the minimum number of workers that allows for the presence of workers’ representatives or the right to unionise).

In both cases, the producer must be able to explain the business logic behind the choice of these employment arrangements and demonstrate that workers’ rights are guaranteed.

**Documents related to this performance area**

- Employment contracts and/or posters where workers’ rights and obligations are displayed
- Recruitment and hiring procedures and records
- Overview of subcontracted suppliers
- Overview of apprenticeships granted
- Overview of seasonal workers

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.

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Performance Area 11: No bonded labour

Bonded labour includes any form of servitude, or any forced, bonded, indentured, trafficked, and non-voluntary labour.

Bonded or forced labour is unacceptable regardless of the circumstances.

The risk of bonded labour is not only determined by the working conditions at factory or farm level, it can take place in the recruitment process. Workers might be exploited by unethical agents before they even enter a factory or step foot on a farm.

In agriculture, cultivation organised on a communal basis because of law or custom is not regarded as compulsory cultivation. This is in line with the ILO Convention 29 (art. 19.2) and the producer can so explain it to the auditor.

11.1 CRUCIAL QUESTION: The auditee does not engage in any form of servitude, forced, bonded, indentured, trafficked or non-voluntary labour

This means that the producer (auditee) takes the necessary measures to ensure that workers are hired:

- Based on their free will
- Having a good understanding of the rights and obligations
- Without facing any potential or actual risk of being subject to forced labour

Workers can:

- Terminate their employment freely, provided that reasonable notice is given to the employer
- Leave the premises after working hours, without being stopped or held by security guards (armed or unarmed)
- Leave the production site and housing in their free time without having to ask for permission
- Choose other housing than the lodgement offered by the employer if the possibility is given

The producer must make sure that:

- Work permits are valid, and the type of work permit does not show that workers have been victims of human trafficking
- Workers receive their visa, housing, training, payment, and education without entering in any form of servitude
- Workers are not asked to leave important possessions or personal documents (e.g. passport) as a deposit
- Workers are not prevented illegally and against their will from receiving their earned wages or benefits

Prison labour: This refers to a form of occupation for convicts

Prison labour is not a human rights violation if it meets certain conditions:
- Prisoners offer their labour voluntarily, without being pressured or threatened with punishment
- Prisoners perform their work under conditions as close to a free labour relationship as possible, to the extent that prisoners’ conditions allow (e.g. wage level, social security, OHS)

Prison labour in China: amfori BSCI recommends that amfori BSCI participants do not engage with business partners that use prison labour in China because:
11.2 The auditee acts rigorously and diligently when engaging and recruiting migrant workers both directly and indirectly

This means that the producer (auditee) takes the necessary measures to engage migrant workers in a way that does not represent a risk of bonded labour. This is particularly important when workers are hired indirectly (e.g. through recruitment agencies, labour subcontractors, or brokers).

The producer makes sure to avoid this situation when:

- Both the country of origin and host country do not provide reliable protection to migrant workers
- Workers have to pay a (high) recruitment fee to an agency to obtain a work visa and the agency hides from them deductions and remuneration for the work
- Workers have restricted movement because the visa or travel documents are controlled by the agency or the producer
- Workers do not understand the host country language, which puts them in a more vulnerable position

Indirect recruitment: The producer should carefully look at workers’ terms of employment when it engages workers by using recruitment agencies or labour brokers. Recruitment agencies must meet the characteristics defined by law to be considered as ‘recognised agencies’. Otherwise, they represent too high of a risk for producer business reputation. In this context:

- Prisoners’ rights are not covered under Chinese labour law (they are covered under the prison’s rules and criminal law)
- Prisoners’ labour rights, including overtime rates, are not properly protected
- Prisoners’ remuneration is decided by the prison’s management
- Prison rules do not allow amfori BSCI audits

Sumangali in South India: Sumangali happens when businesses recruit young unmarried women from rural villages to work for several years with the following characteristics:

- **Brokers**: the recruitment of young unmarried women from rural villages is most commonly done by brokers
- **Lump-sum**: the employer retains totally or partially the young women’s regular wage under the promise that a lump-sum payment will be done at the end of the contract period
- **Control**: young women don’t have freedom of movement and it is made sure that they sleep in hostels provided by the broker or the employer

Sumangali represents an additional risk of bonded labour because these young women:

- Are taken away from their regions with only a limited chance of returning freely
- Usually belong to the lowest caste in India, having little access to education
- Have their wages reduced to below the minimum wage
- Lack guarantees to receive the lump sum (e.g. in pro-rata) and face illegal deduction of wages
- Suffer additional risks of harassment as they usually stay in confined housing

The producer must pay particular attention to avoid this situation by ensuring that young women:

- are covered by the special protection for young workers
- receive the remuneration that was both agreed upon and communicated, without illegal deductions
- have working hours that are appropriate for their apprenticeship situation
- have freedom of movement
The producer has a good overview of how the recruitment agency engages workers, taking into consideration the following criteria:

- **Transparency**: No coercion or threat of violence, accurate information on employment conditions, and contract in language that is understood by the worker.
- **Security**: Freedom of movement, no confiscation of personal documents or vital possessions, no semi-legal recruitment or denial of social benefits, and no excessive work hours or poor working conditions.
- **Employer pays**: Workers don’t pay for a job and costs related to recruitment are covered by the employer.

Recruitment agencies shall be considered by the producer as significant business partners since they represent an additional social risk for the producer.

**Most pervasive forms**: The most pervasive forms of forced labour are seen in the exploitation of migrant workers through:

- Confiscation of passports and personal possessions
- Failure to provide employment contracts or provide them only in a foreign language
- Non-payment, under-payment, irregular payment, withholding of wages, lump-sum payment, or payment only ‘in kind’ (non-cash remuneration in goods and services)
- Illegal deductions from wages
- Long working hours
- Substandard living conditions and denial of water and food
- Use or threats of violence

These kinds of behaviour are considered unacceptable and producer must avoid to be directly or indirectly involved on those.

**11.3 CRUCIAL QUESTION**: The auditee does not subject workers to inhumane or degrading treatment, corporal punishment, mental or physical coercion and/or verbal abuse.

This means that the producer (auditee) takes the necessary measures to ensure workers are treated with respect and they are not subject to any corporal or mental abuse.

To that aim, the producer:

- Creates and maintains a culture of respect through the entire business
- Rewards respectful treatment of workers, starting with managers and supervisors
- Provides regular trainings to workers and supervisors on the benefits of respectful treatment

The producer ensures that disciplinary measures do not consist of:

- Corporal punishment
- Coercion such as:
  - Debt bondage
  - Restriction of movement
  - Violence
  - Threats and intimidation

**Housing**: When the producer provides housing to workers, it must make sure that living conditions are respectful of workers’ dignity. Special attention is to be given to the most vulnerable workers such as migrants, seasonal workers, young workers, and pregnant women.

At a minimum, housing should provide separate:
• Beds for each worker
• Lockers for storing personal belongings
• Accommodations and toilets for women and men

11.4 The auditee establishes all applicable disciplinary procedures in writing and explains them verbally to workers in clear and understandable terms

This means that the producer (auditee) takes the necessary measures to ensure that the disciplinary procedures are:
• Coherent and in line with the law
• In writing and easily accessible to the workers and workers’ representatives
• Descriptive concerning the censurable behaviour and possible disciplinary actions
• Descriptive regarding the person in charge and communication channel (including appeal)
• Free from unfair deductions or financial fees, which may actually be illegal deductions

Documents related to this performance area

• Documented evidence of training given to workers, management, and human resources (e.g. list of attendees with signatures)
• Documented evidence on disciplinary procedures
• Recruitment procedures and records
• Employment contracts or agreements including those of recruitment agencies, labour subcontractors, and agents (if relevant) and those related to security, cleaning, and other service personnel
• Documented evidence on disciplinary cases and the measures taken

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.

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Performance Area 12: Protection of the environment

Business enterprises have the responsibility to follow environmental laws, minimize negative environmental impact, and make a positive contribution to long-term development.

Depending on the production processes carried out by the producer, protection of the environment can refer to one or more of the following:
- Energy consumption and greenhouse emissions
- Emissions of pollutants
- Use of hazardous chemicals
- Management of soil fertility and water
- Conservation of biodiversity

amfori BSCI producers must be able to carry out processes and procedures to protect the environment, as relevant for their business.

12.1 The auditee continuously identifies the significant impacts and environmental implications associated to its activity

This means that the producer (auditee) takes the necessary measures to have a good understanding of the environmental impacts of its business activities.

The self-assessment for environmental impacts includes:
- All processes taking place in the scope of the business enterprise
- New production processes or newly installed equipment, which are immediately integrated into the assessment
- Clear understanding of how business activity impacts the environment
- Pre-defined time periods for doing such assessments
- Competent staff responsible for collecting the data and doing the assessment

12.2 The auditee has procedures in place to ensure integration of local environmental law into the business performance

This means that the producer (auditee) takes the necessary measures to ensure environmental legal compliance by:
- Integrating environmental policies and procedures into its core business strategy
- Making these policies and procedures a visible part of the business culture

The producer develops effective ways to ensure:
- Ongoing identification of environmental legislation
- Definition of the environmental requirements that apply to its own daily activities
- Identification of sources of information on environmental legislation such as:
  - Specialised online sites
  - Publications issued by industry experts
  - Tailor-made services provided by specialised companies
12.3 The auditee has and maintains required environmental permits and licences

This means that the producer (auditee) takes the necessary measures to have up-to-date environmental permits and licences. The producer is aware of the necessary environmental permits and licences required by law for specific business activities.

If any environmental permit or licence are unavailable at the time of the audit, the producer must at least have requested them from the appropriate authority and have a documented proof of such request.

12.4 The auditee manages waste in a way that does not lead to the pollution of the environment.

This means that the producer (auditee) takes the necessary measures to manage the waste produced by its business in a way that pollution of the environment is reduced or eliminated.

There are areas where waste separation and disposal are not managed by public authorities. This may lead to dumping waste material into the environment.

Regardless of whether there are national regulations, the producer has procedures in place to:

- Identify and separate waste by type (hazardous versus non-hazardous) including packaging material
- Define any specific handling requirements (e.g. disposal through an authorised agent or to a specialised site)
- Create awareness among workers about the waste generated and the correct way to handle it
- Avoid dumping waste into natural environments
- Avoid burning waste in open fires
- Dispose of plastics and empty chemical containers without creating negative environmental impacts including potential harm to humans

12.5 The auditee manages water in a way that respects the environment, including preserving local water sources

This means that the producer (auditee) takes the necessary measures to promote water conservation and water waste reduction. This refers to water for industrial use and personal consumption.

Possible practices include:

- Proper identification of water springs, rivers, lakes, and other water ecosystems in the area
- Documented risk assessments that explain management decisions on water use (e.g. irrigation on farms)
- Raising awareness about water waste reduction
- Policies and procedures to include water conservation and water waste reduction as part of the business model

Both management and workers should be aware of the existence of water sources and how the facility is related to their use, supervision, and preservation.
Documents related to this performance area

- Environmental risk assessment
- Map identification of water springs, rivers, and lakes in the area of the auditee's activities
- Calculation of the financial and personnel resources needed to comply with the minimum social and environmental requirements
- Valid certificates and environmental licenses

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.

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Performance Area 13: Ethical behaviour

Unethical business behaviour refers to falsification, fraud, misrepresentation, corruption, extortion, embezzlement, and bribery.

Producers should present accurate and valid information to the amfori BSCI auditor, so that:

- Documentation or records are not altered and must reflect the true situation of the producer’s site(s) and the producer’s business partners
- Unaltered reports from previous audits (amfori BSCI and others) and/or government inspection records must also be provided
- Special care is taken to make sure sensitive information is collected and stored in a protected way (e.g. medical records) to respect the privacy of staff and workers

13.1 The auditee actively opposes any act of corruption, extortion or embezzlement, or any form of bribery in its activities as a business enterprise

This means that the producer (auditee) takes the necessary measures to ensure ethical business behaviour is fully embedded in all areas of its activity. To that aim, the producer:

- Has a policy (e.g. amfori BSCI Code of Conduct) in place that publicly condemns corruption, extortion, and bribery as unacceptable unethical behaviours
- Has procedures in place to prevent, detect and remediate any act of corruption
- Identifies where the major risks of corruption could occur
- Investigates and discourages any misbehaviour among the workers, particularly those with decision-making power
- Rewards ethical behaviour and integrity in its workers and managers
- Includes ethics and integrity as part of the training offered to workers and managers
- Monitors and reduces risks of corruption in the relations with key stakeholders (e.g. with auditors)

13.2 The auditee keeps accurate information regarding its own activities, structure and performance

Disclosed information: The producer shares information about its activities, according to applicable regulations and industry benchmark practices.

The producer makes sure information about its business is:

- **Accurate**: The information presented by the producer to the amfori BSCI participant and/or auditor is exact.
- **Structured**: The information on different facilities and the way that the producer organises its production sites is clear, organised, and available.

**Activity and performance:**

- The producer’s claims about its activity are correct (e.g. production volumes, number of workers, working hours, and direct and indirect hiring of workers)
- Reports from previous audits (amfori BSCI audits or others) or government inspections are available, including follow-ups on any findings that were previously reported
13.3 CRUCIAL QUESTION: The auditee takes the necessary measures to prevent:

- Falsification of information related to its activities, structure and performance
- Any act of misrepresentation of its supply chain

This means that the producer (auditee) takes the necessary measures to ensure transparency and honesty with regard to the business structure and its supply chain.

**Falsification, fraud and misrepresentation:** These are purposeful actions intended to cause harm or loss to another party for one’s own direct or indirect gain.

Fraud and misrepresentation in the supply chain impact supply chain integrity and can result in substandard or defective products.

The producer has a serious commitment to build trust-worthy business relationship and therefore avoids any of these actions. It must then make sure that if any staff member behaves unethically, proper investigation and disciplinary action will follow.

13.4 The auditee collects, uses and processes personal information with reasonable care and in accordance with privacy and information security laws and regulatory requirements

This means that the producer (auditee) takes the necessary measures to collect and process the personal data of individuals with respect for the individuals’ fundamental rights (particularly the right to privacy).

The level of care applies to directly hired workers, business partners, customers, and consumers in the producer’s sphere of influence.

Special attention is paid to the way data is collected to make sure that the worker is protected (e.g. medical records).

**Documents related to this performance area**

- Anti-corruption policy
- Corruption risk assessment
- Procedures for investigating and discouraging unethical behaviour
- Communications and trainings to promote and reward integrity

Producers sourcing directly from farms need to cascade these criteria to the farms and support them in their implementation process. Producers are advised to qualify at least one person to ensure that the amfori BSCI values and principles are transferred to at least the most relevant farms for its business.

Notes:
## CHAPTER 4: UNDERSTANDING THE AMFORI BSCI AUDIT REPORT

**An opportunity to learn:** The amfori BSCI audit report is the written summary of all information collected during the audit.

It contains data evidence as well as the evaluation of all performance areas.

The producer should understand the connections between all performance areas and see the audit as an opportunity to learn. The audit report will provide crucial information to design a path towards sustainable improvements.

**Audit report:** All information gathered in the amfori BSCI audit is reported in the amfori BSCI audit report.

This includes:

- Data evidence
- Interview evidence
- Documented evidence
- Performance evaluation of the main auditee
- Performance evaluation of the sampled farms (if relevant)
- Findings report
- Confidential comments (not visible to producer)

**Closing meeting and findings report:** The closing meeting represents the end of the amfori BSCI audit. The auditor uses this opportunity to:

- Present the findings from the internal audit, if applicable
- Describe to the producer the good practices and areas of improvements identified during the audit
- Clarify to the producer any potential doubt or concern about the amfori BSCI audit and next steps

The producer uses this opportunity to:

- Ask as many questions as needed to have more clarity on the meaning of the audit and next steps
- Engage with the workers’ representative and management (present in the closing meeting to be able to start the planning for next steps)

Once clarifications have been made, the printout of the findings report is to be signed by:

- The auditor
- The producer’s legal representative
- The workers’ representative (when applicable)

**Signing the findings report:** The producer’s signature does not imply that the producer is in agreement with the content. It acknowledges that the audit has been conducted in the correct manner. The producer can request that the auditor integrate the remarks it made in the closing meeting into the findings report.
The producer and the auditor keep one copy each.

**Online report:** The audit report is fully available to the producer in the amfori BSCI platform 10 days after the audit has been conducted. To access this information, the producer needs to log in by using its **password**. In case of a forgotten password, the producer contacts the amfori BSCI Administrator through the amfori BSCI platform.

**PDF report:** The producer can require its client (or the auditor) to provide a **summary report** in PDF

**IMPORTANT:** The rating of the audit is calculated automatically and states the improvements that the producer needs to make in each different performance area. It does not guarantee the producer's social performance and does not release the producer from making continuous improvements.

**Improving social performance:** amfori BSCI supports producers to improve their social performance through remediation and follow-up.

- **How can you take action?**
  Check these documents:
  - amfori BSCI System Manual Part II, Chapter 15: The Remediation Plan
  - amfori BSCI System Manual Part II, Chapter 16: Follow-up and Continuous Improvement

- **What tools are available?**
  Use this template:
  - amfori BSCI Template 9: Remediation Plan

Notes:
PART V Annexes
Annex 1: How to start with the amfori BSCI Platform

This annex of the amfori BSCI System Manual provides amfori BSCI platform users with details on the rights and obligations they have when using this tool.

Additionally, it describes the steps for accessing the amfori BSCI platform and the main functions related to each user or group of users. Additional information can be found at the amfori Academy.

amfori BSCI Platform Terms of Use

The amfori BSCI platform is administered by the amfori Secretariat. The first time any user logs in to the amfori BSCI platform they must accept:

- The amfori BSCI platform terms and conditions of use
- The amfori BSCI Code of Conduct and relevant Terms of Implementation

Access granted: Business enterprises only have access to the amfori BSCI platform if they are:

- amfori BSCI members that participate in the amfori BSCI system (called amfori BSCI participants)
- amfori BSCI participants’ business partners that have been invited to participate in the amfori BSCI system (e.g. receive an amfori BSCI audit or participate in capacity building activities)
- Auditing companies that have a valid framework contract signed with amfori BSCI to conduct an amfori BSCI 2.0 audit

Type of information: The amfori BSCI platform collects current and historical information generated by amfori BSCI participants and authorised auditing companies about:

- Their own business enterprises (e.g. the information auditing companies maintain in the amfori BSCI platform about their auditors)
- Significant business partners, particularly producers who are eligible to be audited or to be invited to capacity-building activities posted in the amfori Academy

User profile methodology: There are four types of profiles that identify users of the amfori BSCI platform. The table below shows the terminology used in the amfori BSCI platform and its correspondence to the amfori BSCI system:

<table>
<thead>
<tr>
<th>Platform Terminology</th>
<th>amfori BSCI System Terminology</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>amfori BSCI participant</td>
<td>amfori BSCI participant</td>
<td>A retailing company that is an amfori BSCI member and has endorsed the amfori BSCI Code of Conduct</td>
</tr>
<tr>
<td>Supplier</td>
<td>Business partner not to be monitored</td>
<td>A trader that buys goods from a business to sell them to at least one amfori BSCI participant</td>
</tr>
<tr>
<td>Producer</td>
<td>Business partner to be monitored</td>
<td>A business that manufactures a good (food or non-food) or produces raw material in the amfori BSCI participant’s supply chain and has been selected to receive an amfori BSCI 2.0 audit</td>
</tr>
<tr>
<td>----------</td>
<td>----------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Auditor</td>
<td>Auditing company</td>
<td>A business that has a valid auditing framework contract with amfori BSCI</td>
</tr>
</tbody>
</table>

### HOW TO GET THE USERNAME

Every profile in the amfori BSCI platform is associated with an unique email address. This email address is the user name used to access the amfori BSCI platform.

**For amfori BSCI participants:** Once amfori BSCI membership has been confirmed, the amfori Secretariat provides the amfori BSCI participant with a username and password for:

- The [amfori BSCI platform](#)
- The [amfori website](#) (amfori BSCI participants’ area)
- The [amfori Academy](#)
- The amfori BSCI Sustainability Intelligence Dashboard
- The amfori BSCI Commitment Formula Dashboard
- The amfori Country Due Diligence Dashboard

After they have received the credentials for the amfori BSCI platform, amfori BSCI participants can start using their amfori BSCI participant profile. For example, they can provide different employees access, build up their list of producers, access producers’ audit histories, and receive zero tolerance alerts.

**For producers:** amfori BSCI participants’ business partners (producers) who have been selected to receive an amfori BSCI 2.0 audit can get their producer profile created in one of two ways:

- **By an amfori BSCI participant:** amfori BSCI participants can create producer profiles for those business partners that have been selected to receive an amfori BSCI 2.0 audit, provided they do not exist in the amfori BSCI platform already. The platform sends an automated email to the producer’s main contact person with the amfori BSCI platform username and password.
- **By an auditing company:** An auditing company creates a producer profile on behalf of an amfori BSCI participant. The automated email to be sent to the producer is subject to the approval of the relevant amfori BSCI participant.

**For suppliers:** Suppliers profiles can only be created by the linked amfori BSCI participant. The amfori BSCI platform sends an automated email to the supplier’s main contact with the username and password.

**For auditing companies:** Upon signing the amfori BSCI framework contract, the amfori Secretariat provides the auditing company’s scheme manager with the username and password for the amfori BSCI platform via email. This main contact person will be responsible for creating profiles for all competent auditors and other relevant staff members so they can access the amfori BSCI platform and auditor qualification programme.
### QUICK OVERVIEW OF FUNCTIONS

The tables below show the most common ways of using the amfori BSCI platform for each of the different profiles.

#### amfori BSCI Participants

amfori BSCI participants have the greatest access to functions. These are summarized below:

<table>
<thead>
<tr>
<th>Map and manage supply chains</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Search and link</strong> to producers already listed in the amfori BSCI platform using the producers’ names or DBID numbers</td>
</tr>
<tr>
<td><strong>Create</strong> producers’ profiles (if they don’t already exist in the amfori BSCI platform)</td>
</tr>
<tr>
<td><strong>Create and link</strong> suppliers to the relevant producer profiles</td>
</tr>
<tr>
<td><strong>Store and access</strong> relevant information in producer profiles</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Monitor social performance in supply chains</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Take and release</strong> the RSP status</td>
</tr>
<tr>
<td><strong>Request and approve</strong> an amfori BSCI 2.0 audit</td>
</tr>
<tr>
<td><strong>Review audit results</strong> and follow up on Remediation Plans</td>
</tr>
<tr>
<td><strong>Receive alerts</strong> generated by auditors or by the amfori Secretariat</td>
</tr>
<tr>
<td><strong>Check audit expiry</strong> dates and request a new full audit with sufficient advance notice</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Collaborate and communicate with other users</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Select voluntary disclosure</strong> to be visible to other amfori BSCI participants</td>
</tr>
<tr>
<td><strong>Communicate anonymously</strong> with other amfori BSCI participants</td>
</tr>
<tr>
<td><strong>Be informed</strong> of emergencies and join forces with other amfori BSCI participants</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Access amfori BSCI relevant resources</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consult and download the amfori BSCI Code of Conduct, System Manual, templates, and annexes in multiple languages</td>
</tr>
</tbody>
</table>
### SUPPLIERS

#### Monitor social performance in their supply chains

Only if a relevant amfori BSCI participant has linked a supplier with a producer

**Request and approve** an amfori BSCI 2.0 audit, only on behalf of and upon approval from the relevant amfori BSCI participant (RSP holder)

**Review audit results** and follow up on Remediation Plans

**Check audit expiry** dates and request a new full audit with sufficient advance notice

**Suppliers do not have a searching function**

#### Access amfori BSCI relevant resources

Consult and download the amfori BSCI Code of Conduct, System Manual, templates, and annexes in multiple languages

### PRODUCERS

#### Audits and factory information

**Additional information:** Producers can edit or upload documents concerning:

- Young workers
- Decent working hours
- Fair remuneration
- Stakeholder mapping
- Supply chain mapping
- Grievance mechanism

**Progress of producer:** To see its audit history, a producer can:

- Review entire online audit information, including findings
- Download a PDF extract audit report to share with clients or stakeholders
### My RSP holder

- View the RSP holder identity and email address
- See that it does not have a RSP holder

### My profile

- View its profile
- Edit its profile

### Access amfori BSCI relevant resources

- Consult and download the amfori BSCI Code of Conduct, System Manual, templates, and annexes in multiple languages

### Capacity building

- Shortcut access to the amfori Academy

### Remediation Plan

- Shortcut access to the Remediation Plan, which allows timely sharing of remediation efforts with relevant amfori BSCI participants (e.g. RSP holder and other linked participants)

### AUDITORS

### Audit scheduler

- Search producers by several filters (e.g. audit status, audit methodology, or DBID)
- Receive audit requests, including additional instructions (e.g. instructions to include off-site interviews)
Audit functions

<table>
<thead>
<tr>
<th></th>
<th>Export and import off-line audit reports (not to be shared with external users)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Trigger a zero tolerance alert</td>
</tr>
<tr>
<td></td>
<td>Assess producers’ profile information to prepare audits</td>
</tr>
<tr>
<td></td>
<td>Edit producers’ profiles with updated information (including audit reports)</td>
</tr>
</tbody>
</table>

Capacity building

| | Access a shortcut to the amfori Academy |

Access amfori BSCI relevant resources

| | Consult and download the amfori BSCI Code of Conduct, System Manual, templates, and annexes in multiple languages |

EXPLANATORY TUTORIAL ON HOW TO USE THE AMFORI BSCI PLATFORM

The amfori Secretariat regularly makes video tutorials for different audiences available in the amfori BSCI resources section of the amfori BSCI platform.

Tutorial topics include:

- Basic knowledge of the amfori BSCI platform (e.g. general introduction to the platform)
- Extended knowledge of the amfori BSCI platform (e.g. managing employee roles in the platform)
- New features of the amfori BSCI platform (e.g. semi-announced audit process)

CONFIDENTIALITY AND DATA PROTECTION

All information gathered in the amfori BSCI platform is protected by confidentiality agreements. It is not accessible outside of the amfori BSCI platform unless a transfer of information is necessary on behalf of amfori BSCI-related activities. The amfori Secretariat has access to all information contained in the amfori BSCI platform.

amfori complies with all obligations applicable to data processors under European data protection legislation.
Annex 2: How to classify sectors and related auditor competence clusters

This annex of the amfori BSCI System Manual provides an overview of the amfori BSCI classification of sectors, industry types, and product groups.

PURPOSE:

The table below serves to:

- **Classify** amfori BSCI audits in sectors, industries, and product groups
- **Summarize** business analytics and assess the impact of amfori BSCI audits
- **Define** amfori BSCI auditors’ competence in clusters to grant their competence and skills match the sector they audit

The process of classification is mandatory for auditing companies and their auditors:

- **Auditors** must indicate in the amfori BSCI audit report the correct sector, industry type, product group, and product type(s)
- **Auditing companies** must select auditors with the competence that matches the sector on which the amfori BSCI audits take place

amfori BSCI participants may raise their concern to the amfori Secretariat (see [grievance mechanism](#)) if auditing companies do not follow these rules.

<table>
<thead>
<tr>
<th>Sector</th>
<th>Industry Type*</th>
<th>Auditors Competence Cluster</th>
<th>Product Group</th>
<th>Product Types (examples)</th>
</tr>
</thead>
<tbody>
<tr>
<td>NON-FOOD</td>
<td>Accessories</td>
<td>Cluster 2</td>
<td>Arts, crafts, and needlework</td>
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<td></td>
<td></td>
<td></td>
<td>Bathroom and kitchen utensils</td>
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<td></td>
<td></td>
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<td>Clocks and watches</td>
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<td></td>
<td>Glassware (eyewear)</td>
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<td></td>
<td>Jewellery</td>
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<td></td>
<td>Personal accessories</td>
<td>Umbrellas, sunglasses</td>
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<td></td>
<td></td>
<td></td>
<td>Other accessories (please specify)</td>
<td></td>
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<tr>
<td>Sector</td>
<td>Cluster</td>
<td>Related Auditor Competence Clusters</td>
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<tr>
<td>Agriculture</td>
<td>Cluster 4</td>
<td>Flowers and ornamental plants</td>
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<td></td>
<td></td>
<td>Agrochemicals and pesticides</td>
<td></td>
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<tr>
<td>Chemical Industry</td>
<td>Cluster 1</td>
<td>Cleaning and hygiene products</td>
<td></td>
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<td></td>
<td></td>
<td>Detergents</td>
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<td></td>
<td>Lubricants</td>
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<td></td>
<td></td>
<td>Other chemical products (please specify)</td>
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<td></td>
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<tr>
<td>Construction</td>
<td>Cluster 2</td>
<td>Building products</td>
<td></td>
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<td></td>
<td></td>
<td>Stones</td>
<td></td>
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<td></td>
<td></td>
<td>Households</td>
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<td></td>
<td></td>
<td>Office furniture</td>
<td></td>
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<td></td>
<td></td>
<td>Kitchen merchandise</td>
<td></td>
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<td></td>
<td></td>
<td>Lawns and garden supplies</td>
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<td></td>
<td></td>
<td>Storage, haulage, and containers</td>
<td></td>
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<td></td>
<td></td>
<td>Plumbing, heating, ventilation, and air conditioning</td>
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<td></td>
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<td>Safety, security, and surveillance</td>
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<td></td>
<td></td>
<td>Bathroom appliances</td>
<td></td>
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<td></td>
<td></td>
<td>Furniture</td>
<td></td>
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<td></td>
<td></td>
<td>Other construction items (please specify)</td>
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<tr>
<td>Cosmetic Industry</td>
<td>Cluster 1</td>
<td>Baby care</td>
<td></td>
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<td></td>
<td></td>
<td>Fragrances</td>
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<tr>
<td></td>
<td></td>
<td>Personal beauty, hygiene, and body care products (including alternative beauty products)</td>
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<td></td>
<td></td>
<td>Face cream, oral care, hair care</td>
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<tr>
<td></td>
<td></td>
<td>Other cosmetic products (please specify)</td>
<td></td>
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<tr>
<td>Extractive Industry</td>
<td>Cluster 1</td>
<td>Metal production</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Oil, fuels, and gas production</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sector</td>
<td>Cluster</td>
<td>Products</td>
<td>Competence Clusters</td>
<td></td>
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<tr>
<td>--------------------------------------------</td>
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<td>--------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>Forestry, Wood, Pulp and Paper</td>
<td>Cluster 2</td>
<td>Forestry derivatives</td>
<td>Charcoal, rubber, wild nuts</td>
<td></td>
</tr>
<tr>
<td>Health Industry</td>
<td>Cluster 1</td>
<td>Alternative health products</td>
<td>Antibiotics</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>First aid and wound care</td>
<td></td>
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<td></td>
<td></td>
<td>Optics, Hearing, and prostheses</td>
<td></td>
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<td></td>
<td></td>
<td>Pharmacy products</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Other health products (please specify)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Live Animals and Related Products</td>
<td>Cluster 2</td>
<td>Accessories</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Pets, animals, and pet food</td>
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<tr>
<td></td>
<td></td>
<td>Other live animal products (please specify)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mechanical and Electrical Engineering</td>
<td>Cluster 2</td>
<td>Electrical supplies</td>
<td>Cables</td>
<td></td>
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<td></td>
<td></td>
<td>Home appliances</td>
<td></td>
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<td></td>
<td></td>
<td>Safety protection – DIY (do it yourself)</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Tools equipment - power</td>
<td></td>
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<td></td>
<td></td>
<td>Transport and automotive</td>
<td></td>
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<td></td>
<td></td>
<td>Other engineering (please specify)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Media and Graphical Industry</td>
<td>Cluster 2</td>
<td>Audio, visual, and photography</td>
<td>Cameras</td>
<td></td>
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<td></td>
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<td>Textual and printed materials</td>
<td></td>
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<tr>
<td>Plastic Industry</td>
<td>Cluster 1</td>
<td>Plastic and articles thereof</td>
<td>Plastic bottles</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>PVC (polyvinyl chloride)</td>
<td></td>
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<td></td>
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<td>Other plastic-like products (please specify)</td>
<td></td>
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<tr>
<td></td>
<td>Cluster 2 or 3</td>
<td>Sports equipment</td>
<td></td>
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<tr>
<td>Sports Equipment and Sportswear</td>
<td>Sportswear</td>
<td>Other sports equipment (please specify)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Textiles, Clothing, Leather</td>
<td>Apparel</td>
<td>Footwear (including sport shoes)</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Handbags, belts, and shoes</td>
<td></td>
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<td></td>
<td></td>
<td>Home textiles</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Other soft goods (please specify)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Toys and Games</td>
<td>Cluster 3</td>
<td>Games</td>
<td></td>
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<td></td>
<td></td>
<td>Toys</td>
<td></td>
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<td></td>
<td></td>
<td>Others (please specify)</td>
<td></td>
<td></td>
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<tr>
<td>Other (please specify)</td>
<td></td>
<td>...</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<p>| FOOD |
| Agriculture | Cluster 4 | Fresh fruits and vegetables | Bananas |
| | | Cereals (including soy), leguminosae, and their products | Beans |
| | | Herbs and spices (including tobacco leaves) | Tea |
| | | Roots and tubers (including potatoes) | |
| | | Other agricultural products (please specify) | |
| Dairy Industry | Cluster 4 | Dairy products (including butter) | Yoghurt |
| Fishery, Aquaculture, and Inland Waterways | Cluster 4 | Fish, crustaceans, and molluscs (fresh and frozen) | Pangasius |
| | | Other fishery (please specify) | |
| Food, Drink, and Tobacco | Cluster 4 | Alcoholic beverages and spirits | Wine |
| | | Cocoa and cocoa preparations | Chocolate |
| | | Coffee and coffee preparations | |</p>
<table>
<thead>
<tr>
<th>Meat Industry</th>
<th>Cluster 4</th>
<th>Livestock</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Meat products (fresh and frozen)</td>
</tr>
</tbody>
</table>

* Sources:*
- GPC (Global Product Classification) Standards (as of 01 January 2012)
Annex 3: How to Set Up a Social Management System (SMS)

This annex of the amfori BSCI System Manual guides amfori BSCI participants and their business partners on how to set up a functioning social management system (SMS) to support their efforts to translate the amfori BSCI Code of Conduct into practice. Furthermore, it provides guidelines to auditors, which complement the amfori BSCI System Manual Part III, The amfori BSCI auditing interpretation guidelines.

DEFINITION

A SMS is the set of policies, processes, and procedures that allow a business to manage its social performance on a continuous basis in order to track improvements.

An effective SMS will help a business to:

- Demonstrate its business maturity as a responsible enterprise
- Consolidate reputation vis-à-vis clients, customers and investors
- Early detect, monitor, and remedy any adverse impact of its business activities

Each business will adapt the social management system to its size, sector or business culture. However, the basic principles of the SMS remain the same.

BASIC PRINCIPLES

Engagement: The development and implementation of an effective SMS cannot be made in isolation, but require a regular engagement of several functions within a business enterprise.

The crucial functions to engage with are:

- Human resources
- Occupational health and safety
- Quality and compliance

If the business is a micro or small enterprise, chances are that these functions are executed by the same individual. Nevertheless, coordination between these functions must exist to ensure the SMS works.

Cyclical: A SMS is not static, but needs to be continuously adjusted based on the verification of its effectiveness. This approach can be summed up as:
• **Plan:** Identify the practices in the business enterprise that may need improvements to be socially responsible (e.g. identify lack of policies, processes, and procedures).

• **Do:** Identify and implement necessary changes. This may require appointing responsible individuals or teams to implement the necessary changes.

• **Check:** Monitor the success of the implementation in relationship to possible improvements.

• **Adjust:** Move towards agreement and take the necessary corrections to continue the improvement process.

**Systemic:** An SMS is meant to interconnect areas within a business, thus preventing individuals working and acting in isolation. This interconnection will stimulate cost efficiencies and overall synergy within the business.

Setting up an effective SMS is not an aim in itself, but a tool to support business enterprises in their endeavour to boost their social responsibility.

**SOCIAL POLICY AND PROCEDURES**

An effective SMS has to be supported by a credible social policy and internal and external functioning procedures.

**Setting a Social Policy**

A social policy acts as a compass within the business enterprise. It sets the vision, the position, and in some cases even the strategy that a business has about its responsibility towards human and labour rights.

A social policy does not need to be a long and technical document, but rather a policy that is easy to understand by both internal and external stakeholders.

*amfori BSCI recommends producers:*

- Use the *amfori BSCI Code of Conduct and Terms of Implementation* as a reference
- Assess if there is no contradiction between the social policy and the law and if any specific law or regulation needs to be stated explicitly to ensure consistency and transparency
- Have one policy for the entire business, instead of separate policies per topic, in order to avoid confusion and contradiction between areas and individuals within the business

**Drafting Procedures**

If the social policy acts as the compass within the business enterprise, procedures are the different avenues needed to move the policy from paper to reality. Procedures ensure that the social policy is implemented in a systematic way within the daily operations of the business.

Procedures provide clarity to managers and workers on:

- **The appropriate decision-making level:** Who decides what?
- **Operational level:** Who implements what?
- **Timeframe:** How often? How long?
Procedures don’t need to be complex or technical documents. Rather, they should aim to be as clear and accessible as possible for the targeted audience.

In cases where the workforce does not have a good command of the local language(s), the procedures need to be translated. Using infographics and/or pictures are some examples of how to make procedures more accessible, increasing their user friendliness.

A business enterprise, particularly those that may be monitored (a producer), should be able to explain to the auditor(s):

- How does the business enterprise define and review their social improvement goals?
- How are social risks and impacts assessed? Who defines what is risky for the business? Who is responsible for taking risks?
- How are business practices updated in order to meet relevant legal requirements?
- How does the business enterprise ensure workers’ awareness about and competence within the company’s social policy and objectives?
- How does the business enterprise define responsibilities within the workforce?
- How does the business enterprise deal with internal corruption? How is it defined? How is it mitigated?

Here are some examples of social policy procedures that are looked for during the amfori BSCI audit:

- Anti-corruption procedure
- Responsible human resources management (e.g. responsible recruitment, fair remuneration, adequate disciplinary measures, respectful dismissal)
- Grievance mechanism (e.g. procedure and granting access)
- Responsible supply chain management (e.g. selection of business partners in a way that respect to the amfori BSCI Code of Conduct has been taken into consideration)
- Remedy procedure (e.g. how root cause analysis is performed, how different responsibilities, and feasible budget are allocated)
- Occupational health and safety risk assessment procedure
- Access and eligibility for workers’ training

GOOD RECORD KEEPING SYSTEM

An effective SMS has to be supported by a good record keeping system.

The table below shows the characteristics of a good record keeping system. ISO-certified businesses are already familiar with these requirements.

<table>
<thead>
<tr>
<th>Record Keeping Should Be…</th>
<th>Explanation</th>
<th>Examples</th>
</tr>
</thead>
</table>
| Compliant                 | The record keeping system is in line with the **legal and administrative requirements** for the jurisdictions in which they operate, including specific documentation, operational, and reporting requirements. | • Does the business keep the records as long as required by law?  
• Does the business respect privacy and information security regulations? |
The record keeping system is directed by **policies** with assigned **responsibilities**, along with formal methodologies and **procedures** for their management.

- Does the business have procedures in place about how records need to be kept?
- Who is the responsible for each set of records? (e.g. accident records; compliance records; payrolls)

The record keeping systems are employed consistently in the **normal course of business** and record keeping follows the defined policies and procedures. The records are legitimate and not a face-saving exercise.

- Does the business adjust the system to the way in which business is conducted?
- Is decision-making based on the relevant records that are kept for that purpose?

The record keeping system processes the information in a **consistent** and **accurate** way, to ensure that the records they hold are **credible**.

- Regarding evidence on business partners, does the business have specific measures to ensure that the information is and remains credible?
- For example, concerning age verification: does the business have additional measures to check the validity of identity cards?

The relevant person can find relevant information in the record keeping systems in a timely manner.

- Would the business, if that business is a producer involved in amfori BSCI, be able to provide information on demand if requested to do so during an ‘unannounced audit’? Or during a buyer’s visit?

A good record keeping system must file and make accessible all procedures drafted to implement the social policy and relevant records concerning:

- Employees’ contracts, remuneration, working hours, training (e.g. for migrant workers, seasonal workers)
- Agreements with recruitment agencies
- Occupational health and safety risk assessments
- Accident records
- Machine maintenance
- Licenses, certificates
- Internal monitoring and Remediation Plans
- Human rights impact assessments (including of the supply chain)
- Grievance mechanism tracker, including the way the issue was solved

### INTERNAL MONITORING AND PERIODICAL ADJUSTMENT

Internal monitoring is the most cost-effective method that business enterprises can implement to:

- **Conduct checks**: For example, monitor the success of the implementation and possible improvements.
- **Make adjustments**: For example, agree upon and take the necessary corrections to continue the improvement process.
When internally monitoring the social management system, the responsible person(s) will assess the system from at least three angles:

- **Intent**: Does the social management system fit its purpose? Are all the elements of the social management system in place?
- **Implementation**: Were the targets achieved? Have the procedures been followed? If not, why? Do the responsible people have sufficient knowledge, competence, and engagement? If not, why not?
- **Effectiveness**: Has the business's social performance improved since the implementation of the social management system? If not, why not? Does the company observe the law? If not, why not? Are there practices or procedures that need to be improved?

The business enterprise should, at the very minimum, assess:

- Overall success of every item of the policy
- Remediation plans and the effectiveness of their implementation
- The suitability of procedures
- Effectiveness and practicality of forms and records keeping
- Effectiveness of the grievance mechanism
- Possible adjustments based on risk assessments
- Priorities defined for the next three, six, and twelve months
- Resources approved by senior management

The person(s) responsible for internal monitoring is advised to assess historical records in order to support and quantify improvements made over time, for example:

- Wage level increases
- Frequency of disciplinary measures
- Frequency of absenteeism
- Frequency of complaints

Based on the outcomes and lessons learned through the internal monitoring process, the business enterprise should expect to adapt the social management system.

The frequency of the internal monitoring and relevant adjustments will depend on the maturity of the business practices and the severity of the shortcomings. For example, a cycle of every three months is appropriate at the beginning of setting up a SMS. Later, monitoring once a year is sufficient after the business is well established.

The evaluation of the internal monitoring and discussion of possible adjustments should engage workers. The minutes of these meetings, which must include the key topics discussed and the decisions made, shall be kept in writing in the central record keeping system.
Annex 4: How to Set Up a Grievance Mechanism

This annex of the amfori BSCI System Manual provides guidance to amfori BSCI participants and their business partners on how to set up an effective grievance mechanism.

Additionally, it provides guidelines for auditors, as a complement to Part III of the System Manual, The amfori BSCI auditing implementation guidelines.

PRINCIPLES THAT A GRIEVANCE MECHANISM SHOULD INCLUDE

The principles that a grievance mechanism should incorporate are described in the table below. Understanding and respecting these principles will help business enterprises to:

- Develop and maintain an effective grievance mechanism
- Handle grievances in a mature and effective manner

<table>
<thead>
<tr>
<th>Principle</th>
<th>Elements to Include</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Legitimacy</strong></td>
<td>All the parties involved should recognise the grievance mechanism as legitimate. Particularly, workers should feel that they are able to raise their grievances without fear of victimisation or negative consequences. Key elements that make a grievance mechanism legitimate include:</td>
</tr>
<tr>
<td></td>
<td>• Consultation: Before a grievance mechanism is set up (or a procedure is revised), there should be consultation on the draft mechanism between management, workers, and workers’ representatives.</td>
</tr>
<tr>
<td></td>
<td>• Management briefings: Once it is implemented, all managers, supervisors, and workers need to be fully briefed so everybody is made aware of the procedure, roles, and responsibilities.</td>
</tr>
<tr>
<td></td>
<td>• Training: Training should be given to managers, supervisors, and workers and their representatives, particularly those that will have a more active role in investigation, facilitation, and decision-making.</td>
</tr>
<tr>
<td></td>
<td>• Consistent procedure: Sticking to the agreed upon procedure ensures the legitimacy of the process and the outcomes. Exceptions should be avoided.</td>
</tr>
</tbody>
</table>
**Accessibility**

Internal and external stakeholders should know that the mechanism exists and how to use it. Key elements that make a grievance mechanism accessible include:

- **Visibility:** Copies of the mechanism’s procedure should be displayed on all notice boards that are seen by workers, as well as in workshops, changing rooms, and other areas where workers gather. To reach external stakeholders, including the information on a business enterprise’s website is a good practice.

- **Availability (hard copy):** When it is set up, workers should be given a ‘hard copy’ of the mechanism procedure as well as the necessary forms.

- **New hire orientation:** When new workers are hired, ensure an information session is conducted to explain how the mechanism works. This information is particularly important when hiring young workers, seasonal workers, and/or migrant workers.

- **Information sessions:** The content of these information sessions should at least include the following: what a grievance is, how to raise one, where to get the necessary forms, where to hand in forms, and where to go for information on the mechanism.

- **Translations:** Translation into different languages or the use of visuals may be needed to guarantee accessibility.

**Transparency**

Internal and external stakeholders should be able to see that the mechanism is working. Key elements that make a grievance mechanism transparent include:

- **Confidentiality:** Transparency does not mean disclosure of names and practical details about the grievance. Keeping personal and other crucial details confidential is a must to protect the grievant and other stakeholders.

- **Publication:** The following information can be published (without revealing sensitive details): the date of the complaint, the description of the complaint (in general terms), the investigation and conciliation measures taken, the final resolution, and the date of the resolution.
### Dialogue

The mechanism should aim at getting people to talk to each other so that they can agree on the nature of the problem and solutions that are acceptable to all parties concerned. Key elements that make a grievance mechanism dialogue-driven include:

- **Understanding cultural differences:** Every culture has a different understanding of the key elements of a grievance. For example, there are different ways of understanding what an offence is, what dialogue means, and what satisfactory remedy means. These culture differences can only be assessed and handled with respectful engagement and listening.

- **Training on conciliation:** At least the person in charge of receiving the grievances should be trained in conflict management in the workplace, conciliation, and mediation.

- **External support:** Seek external support from consultants or stakeholders who specialise in conflict resolution as well as the topic of concern.

### BASIC CONTENT

A grievance can be defined as any concern, unhappiness, or discontent that a worker might have in the workplace.

Grievances can be related to:

- **Infrastructure:** For example, the working room does not have sufficient lighting or ventilation, or the space assigned to the worker is not sufficient to safely conduct the work.

- **Personal relations:** For example, a supervisor has used physical or verbal harassment, or there is a conflict between co-workers.

- **Contractual rights:** For example, payment is systematically delayed, there are illegal deductions, or overtime is not paid at the premium rate or is paid in a lower amount than initially agreed.

- **Human and labour rights:** For example, a worker has suffered discrimination based on gender, religion, or place of origin; a worker has been punished because of attending a trade union meeting; or the water available during working time is not drinkable.

- **Customary rights:** For example, requested time to pray or to participate in community activities has not been allowed.

Workers’ grievances may also be related to issues other than what is described above in the five categories. In such cases, workers may still lodge the grievance internally while seeking outside assistance. A workers’ representative can be a good source of information.

### BASIC GRIEVANCE MECHANISM PROCEDURE

The effectiveness of the grievance mechanism is part of the amfori BSCI audit scope. At a minimum, the grievance mechanism procedure should ensure that workers have:

- **Access to supervisor:** The possibility to hold an open and constructive meeting about a grievance with their immediate supervisor or manager can prevent escalation of the problem.

- **The right to appeal:** An escalation channel to a more senior manager to challenge a decision made by their supervisor or manager can add impartiality.
• **Access to support:** Workers should have the right to be accompanied by a fellow worker of her/his own choice, or by a union representative (for unionised facilities), when attending a meeting to discuss a grievance. Access to support can make workers more comfortable with the process.

The questions below can help to assess the soundness of the grievance mechanism procedure:

**Who can lodge a grievance?** A good grievance mechanism procedure must ensure that **all workers** regardless of their roles or seniority can lodge a grievance. Additional channels for external grievances should be created.

**How is a grievance lodged?** A good grievance mechanism procedure must describe the preferred mechanism for filing a grievance and specify if a specific grievance form is needed (see example below).

Usually, the first stage is to make a verbal complaint to someone (e.g. verbal complaint to the direct supervisor). The escalation of the complaint to a higher level of management (or the person in charge of the grievance mechanism) occurs most often through a grievance form (see below). Although both verbal and written systems may work, for the sake of transparency, business enterprises are encouraged to have workers use a written grievance form.

The grievance mechanism procedure should keep track of the nature of the grievance, the nature of the investigation, and remediation steps.

Workers may seek the support of a fellow worker, or the workers’ representative, to raise the concern on their behalf. This is another legitimate way of raising a grievance that can ensure it is not rejected or ignored by the manager or person in charge of the grievance mechanism.

**Who collects the grievance forms?** In general, it is recommended that the worker should lodge the grievance with her/his immediate supervisor or manager.

If the grievance is raised about her/his own supervisor or manager, the grievance will need to be addressed to the person in charge of the grievance mechanism.

It is also recommended that business enterprises appoint somebody well trained to deal with grievances and that workers are aware of who that person is. If not, workers’ grievances should be processed through the business enterprise’s existing management structure.

Appointing a person to deal with grievances enforces:

- **Transparency and predictability:** Everyone in the business enterprise knows from the beginning who is supposed to learn about a grievance first.
- **Efficiency:** The grievance does not get lost throughout the different departments in the business enterprise, and it can be addressed immediately.

**STEPS FOR HANDLING GRIEVANCES FROM WORKERS**

**Step 1: Acknowledge Grievance**

The supervisor or person in charge of the grievance mechanism should acknowledge receipt of the grievance form in writing with a simple statement.

**Simple statement:** A simple statement is all that is necessary at this point. Include the date of receipt and commit to the timing for follow up. For example:

"Grievance number 3/2018 was received on 13/03/2018. The worker will be contacted within 10 days to proceed to the next steps." The statement should be signed.
**Timeframe:** The grievance mechanism procedure should aim at solving grievances as quickly and effectively as possible. However, the timeframes should be realistic and not create false expectations, as resolution may vary depending on the complexity of the grievances.

**Step 2: Analysis**

The supervisor or the person in charge of the grievance mechanism should:

- Analyse the issue
- Try to identify the root cause(s) of the problem
- Identify the potential solutions
- Assess the cost and feasibility of potential solutions
- Make the necessary arrangements to resolve the problem (or remediate)

This analytical approach:

- Identifies the most feasible solutions
- Identifies the most appropriate solution for the specific type of grievance

For example, a grievance against the conditions of the workplace infrastructure will require a different approach and timeline for finding the solution than a grievance related to personal relations with a supervisor or co-worker.

Producers can use the table below to help to analyse a grievance:

<table>
<thead>
<tr>
<th>Grievance Category</th>
<th>Questions to answer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Do I know the potential root cause?</td>
</tr>
<tr>
<td>Infrastructure related</td>
<td></td>
</tr>
<tr>
<td>Personal matter</td>
<td></td>
</tr>
<tr>
<td>Contract related</td>
<td></td>
</tr>
<tr>
<td>Human and labour rights</td>
<td></td>
</tr>
<tr>
<td>Customary rights</td>
<td></td>
</tr>
</tbody>
</table>

**Step 3: Mediation**

Once the analysis of the grievance is completed, the supervisor or person in charge of resolving the grievance should call the worker for a meeting. The invitation for a meeting can be extended orally or in writing. The advantage of a written invitation is the documented proof. However, depending on the context of the complaint or the business enterprise’s procedures, a written form may not be an option.
Regardless of whether the invitation to the worker is written or oral, it should communicate:

- The day of the meeting
- The place
- Who else will be present (if applicable)

The worker should also be informed of her/his right to come to the meeting with a fellow worker of her/his free choice or the workers’ representative. He/she may also choose to invite somebody from outside the business enterprise, such as a trusted community stakeholder.

During the meeting, the person in charge will provide the background (see steps 1 and 2) and present the reasoning behind the analysis. The worker should be given the chance to contribute at every step with explanations, and he/she should provide feedback on whether the analytical process has been consistent and accurate.

Eventually, the person in charge will present the potential solution and he/she will seek the worker’s reaction and approval. Minutes should be taken at this meeting.

**Step 4: Closing and Publication**

Ideally, during the mediation meeting, an agreement is reached on the corrective or remediation measures to be taken, as well as the timeframe for the implementation of these measures. After the meeting, the solution for the grievance should be posted on the notice boards to inform workers, with full respect of the involved parties’ privacy.

Publication of the solution, respect for the procedure’s timeframe, and implementation of the corrective measures in due course are crucial for maintaining the credibility of the grievance mechanism among the workers.

**Step 5: Appeal**

Disagreement on the analysis and proposed corrective actions, as well as any delay in the implementation of agreed upon corrective measures, are grounds for appeal. In addition, the worker may raise an additional complaint if the worker believes he/she has been victimised or harassed in the way that his/her grievance has been addressed.

The management should investigate the worker’s complaint immediately. Misuse of the grievance mechanism to victimise or harass workers should be disciplined (including dismissal of the supervisor or manager), as this behaviour compromises the integrity of the mechanism. The worker may seek other channels of appeal outside the business enterprise. What is possible depends on the national laws and the different arbitration processes and platforms available in the region to address workers’ complaints.

Finally, the relevant labour laws may define legal dispute mechanisms.

**USE OF A GRIEVANCE FORM**

Grievance forms should not be complicated documents, but they should:

- Allow the workers to describe the actual grievance
- Allow the business enterprise to track the investigation, conciliation, and remediation steps, when applicable
- Be available to all workers at the production site

Copies of the forms should be left in places where workers can access them easily and privately (e.g. changing rooms, the workshops, and other places where workers spend a lot of time). An identification number may be assigned to the grievance (e.g. number / year). This practice will facilitate tracking both
the investigation process and the communication process without actually revealing the identity of the worker or the nature of the complaint.

The grievance form may also contain a list of possible grievance examples to help workers describe the issue. Below is a sample grievance form:

<table>
<thead>
<tr>
<th>Grievance number: n/yyyy</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submitted by:</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td>CATEGORIES</td>
</tr>
<tr>
<td>☐ Infrastructure</td>
</tr>
<tr>
<td>☐ Personal Relations</td>
</tr>
<tr>
<td>☐ Contractual Rights</td>
</tr>
<tr>
<td>☐ Human Rights</td>
</tr>
<tr>
<td>☐ Labour Rights</td>
</tr>
<tr>
<td>☐ Customary Rights</td>
</tr>
<tr>
<td>For administrative use only:</td>
</tr>
<tr>
<td>Received by:</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

COMPLAINTS FROM LOCAL COMMUNITY

Business enterprises may have a procedure to receive grievances from the local community. The steps described above for grievances from workers, as well as the grievance form, may be valid (or require small changes) to address grievances from local communities. Business enterprises should ensure that local community members are aware of their rights and the related channels to lodge grievances.
Annex 5: How to Follow the Zero Tolerance Protocol

This annex of the amfori BSCI System Manual guides amfori BSCI participants and auditors on how to proceed in case zero tolerance issues are identified in an amfori BSCI audit.

The Zero Tolerance Protocol supersedes the regular audit process. It must be followed by the auditor, the auditing company’s scheme managers, the amfori Secretariat, and amfori BSCI participants.

Possible Zero Tolerance Situations

Human rights violations and business behaviour that may endanger the independence of the audit are to be distinguished from regular social performance findings and may qualify as possible zero tolerance cases:

**Child Labour**
- Workers who are younger than 15 years old (or the legal minimum age defined by the country)
- Workers younger than 18 who are subjected to forced labour

**Bonded Labour**
- Not allowing workers to leave the workplace or forcing them to work overtime against their will
- Using violence or the threat of violence to intimidate workers to force them to work

**Inhumane Treatment**
- Inhumane or degrading treatment, corporal punishment (including sexual violence), mental or physical coercion, and/or verbal abuse

**Occupational Health and Safety**
- Occupational health and safety violations that pose an imminent and critical threat to workers’ health, safety, and/or lives

**Unethical Behaviour**
- Attempted bribery of auditors
- Intentional misrepresentation in the supply chain (e.g. hiding production sites, lacking a business licence, and purposefully under-declaring the size of the workforce)

**AUDITORS’ PROFESSIONAL JUDGEMENT**

It is the auditor who, using his/her professional judgement, will need to:

- Ponder the level of severity of the finding
- Decide to trigger a process towards immediate remediation (Zero Tolerance Protocol) or report the finding under the specific social performance area

Here are some elements auditors can use to develop their judgement:
Assessment of the severity: The situation must be:

- **Flagrant**: It is obvious and serious regardless if it is one-time or a recurrent violation.
- **Factual and proven** at the time of the audit: The breach is tangible, not hypothetical, and as proven as possible with documentary evidence.

Interviews may be the only source of information in the case of discrimination, incidents of violence, sexual harassment, or illegal disciplinary measures.

If this is the case, the auditor should be extremely vigilant in identifying the best way to:

- Capture information from interviews (e.g. auditors’ team may include a female auditor to make communicating with female sexual harassment victims easier)
- Report the findings with full respect for the victims’ identities and honour. Victims’ identities must only be disclosed to the amfori Secretariat.

Precautionary principle: There may be situations where auditors are confronted with flagrant breaches or behaviours that weren’t able to be proven at the time of the audit. There may also be cases of serious suspicion of child labour, bonded labour, and inhumane treatment that the auditor cannot prove.

In these cases, practical wisdom and the precautionary principle will help auditors decide whether to trigger the alert for the sake of protecting possible (but unproven) victims, despite the letter of the protocol.

If the auditor decides to use the precautionary principle, the auditor will:

- Undertake his/her best efforts to investigate the issue
- Follow the Zero Tolerance Protocol even in the absence of compelling evidence
- Clearly mention in the alert that he/she is using the precautionary principle

Responsible alert: Taking all these elements into consideration, the auditor may make the decision to trigger a zero tolerance alert, which must be as descriptive as possible of:

- The identified human rights violation and/or unacceptable business behaviour that compromised the independence of the audit
- The reasoning process followed by the auditor to judge the severity of the situation and the need for immediate remediation

Practical wisdom: A wise auditor will be able to know how to:

- Do the right thing to achieve the intention of the amfori BSCI audit
- Improvise, balancing conflicting intentions, rules, and the particularities of each context
- Read a social context, so he/she moves beyond the black-and-white of rules and sees the grey in a situation
- Take on the perspective of another and thus understand how the other person may feel
- Make emotion and intuition allies of reason, without distorting his/her judgement

Practical wisdom will also help auditors to be brave and seek the best option available to protect:

- Possible victims
- Their own integrity
- amfori BSCI system credibility
Protocol for the Auditor

**Step 1: Due Diligence**

**Collect evidence:** The auditor must collect as many facts and as much evidence as possible to illustrate the identified zero tolerance issue (e.g. pictures taken and workers’ testimonies).

**Protect victims:** If relevant, auditors should make efforts to inform the victims of their options to seek assistance and to provide referral information to them. Victims should never be exposed to further danger or vulnerability because of auditors’ actions or omissions.

**Reassess audit time:** The auditor shall use his/her practical wisdom to reassess the best way to maximize the audit time available to:

- Collect as much evidence as possible
- Ensure the victim(s) are protected and in a known and traceable location

This reassessment may demonstrate that the auditor prioritises gathering evidence and protection of victims over finalisation of the regular audit report.

**Step 2: 24 Hours Notification**

Within 24 hours of the detection of the zero tolerance issue, the auditor must trigger the alert through the amfori BSCI platform to give notification of his/her professional judgement and collected evidence to:

- The amfori Secretariat
- All linked amfori BSCI participants

In some cases, the auditor may have already communicated the issue to the amfori BSCI scheme manager at the auditing company to:

- Seek advice
- Request that the scheme manager trigger a zero tolerance alert through the amfori BSCI platform on his/her behalf

In such cases, the auditor must provide the scheme manager with all relevant information so the zero tolerance notification is in line with the requirements of this document.

**IMPORTANT:** The zero tolerance alert can only be triggered through the amfori BSCI platform, which is programmed to generate incidental disclosure and related consequences within the amfori BSCI system. Not using this channel is a breach of the auditing companies’ obligation to respect amfori BSCI system requirements and may initiate actions from the amfori Secretariat to protect the integrity of the amfori BSCI system.

Information provided through the zero tolerance alert must be treated as confidential by all parties involved (e.g. amfori Secretariat, amfori BSCI participants, and auditing companies) to protect potential victims.

**Step 3: Reporting**

Auditors will need to make themselves available to the amfori Secretariat for any further clarification needed in preparation of the zero tolerance conference call. This includes:
Additional information on the victim’s identity and details on the issue
Additional clarification on the professional judgement or use of the precautionary principle
**The audit report:** Due to the urgency of the issue, this report must be uploaded in the amfori BSCI platform within 5 working days from the alert. It is labelled as zero tolerance, so the audit rating remains unrevealed.

**Protocol for the amfori Secretariat**

**Step 1: 48 hours Due Diligence**

Within the 48 hours following the zero tolerance alert the Strategic Programmes Department will carry out the necessary steps to prepare an ad-hoc conference call with concerned amfori BSCI participants linked to the audit.

These actions include cross verification with the following amfori departments:

**Auditing Department**

- The auditor’s collected facts and evidence to validate the reliability
- The auditor’s training and level of competence
- Any previous allegations/complaints regarding either the auditor’s or the producer’s behaviour
- Any additional information or supporting documents

**Communications Department**

- Media monitoring to assess if the case may be directly or indirectly related to ongoing news

**Stakeholder Engagement Department**

- The amfori BSCI local stakeholders’ network that could support addressing the specific issue(s)
- The amfori BSCI regional network’s ability to support further investigation and/or remediation

**Step 2: 72 Hours Conference Call Coordination**

Within the 72 hours following the alert the Strategic Programmes Department should facilitate:

- A conference call with all linked amfori BSCI participants
- Agreement among the amfori BSCI participants on the qualification of the case as zero tolerance and a strategic decision on:
  - The use of the zero tolerance label
  - The timing and need for scheduling a zero tolerance investigation
  - The timing and need for scheduling an amfori BSCI audit (e.g. full audit or follow-up audit with limited extent)
- Definition of investigation and remediation steps
- A summary of the decision made by the ad-hoc remediation group which may include:
  - Link to relevant producer trainings offered in the amfori Academy
  - Link to the Remediation Plan template so participants can provide it to the producer and request it be uploaded on the amfori BSCI platform
  - Information on additional engagement with local stakeholders and the amfori BSCI regional network (when relevant)
- A summary of feedback to be given to the auditing company that triggered the zero tolerance alert
**Step 3: Follow-up and Communication**

The Strategic Programmes Department may organise an additional follow-up conference with the amfori BSCI participants linked to the relevant producer when it's necessary to follow up on the success of the immediate remediation (e.g. during the 10 days of incidental disclosure).

Ten days after the zero-tolerance alert, the Strategic Programmes Department will communicate to the concerned auditing company, and when needed to the specific auditor, on the learnings from the ad-hoc remediation (e.g. the zero tolerance label has been removed).

Furthermore, three (3) months after the alert was triggered, the Strategic Programmes Department should organise a follow-up conference with the amfori BSCI participants that were linked to the producer at the time of the zero tolerance alert to:

- Verify that the agreed upon Remediation Plan has been implemented in a satisfactory way
- Maintain or remove the zero tolerance label based on confirmation from the linked amfori BSCI participants
- Request support from the local authorities (when relevant/if possible)
- Assess the level of communication between amfori BSCI participants and the producer
- Gather lessons learned and satisfaction ratings from the actions taken by amfori BSCI participants to support the producer in the remediation process

**PROTOCOL FOR ALL amfori BSCI PARTICIPANTS LINKED TO THE CASE**

The Zero Tolerance Protocol relies on the close collaboration between concerned amfori BSCI participants, which, due to the nature and severity of the issue, requires incidental disclosure and a collective and pre-competitive remediation approach.

In this context, amfori BSCI participants linked to the concerned producer at the time the alert is triggered must:

- Participate in the 72 hours conference call, which creates the ad-hoc remediation group facilitated by the amfori Secretariat (one of the Commitment Formula KPIs)
- Never share zero tolerance alert information with the concerned producer, unless otherwise agreed upon by the ad-hoc remediation group after the 72 hours conference call
- Disclose the identity of their business enterprise among the other implicated amfori BSCI participants as part of the incidental disclosure mechanism
- Cooperate within the ad-hoc remediation group to, among other things, communicate collectively to the producer
- Not use the conference call for any commercial reason that may be against competition law
- Commit to verification in due course that the Remediation Plan has been successfully implemented (may be by means of a zero tolerance investigation or an amfori BSCI audit)
- Participate in a three (3) months follow-up call to give feedback on the implementation of the Remediation Plan

The ad-hoc remediation group created at the time of the 72 hours conference call will make decisions based on consensus or absolute majority (50% +1) about the following elements:

- Nature of the zero tolerance issue
- Maintenance or removal of the zero tolerance label within three (3) months of the alert
- Need for scheduling a zero tolerance investigation or an amfori BSCI audit when relevant, so the producer may get back on its audit cycle
Liability Disclaimer

amfori and its directors, officers, employees, or agents shall not be liable vis-à-vis any party (e.g. the members, the producers, or the auditors) for any damages of any kind (e.g. losses, debts, liabilities, costs, claims, actions, demands, expenses, or charges) caused by amfori or its directors, officers, employees, or agents in direct or indirect relation to any services or activities by amfori or the content of this document, with the sole exception of fraud.
Annex 6: Relevant Documents for the amfori BSCI Audits

This annex provides a list of the documents needed for keeping an effective social management system (SMS). As part of the amfori BSCI audit, auditors will review and verify these and other relevant documents. Therefore, it should not be considered as a fixed list, but as guidance. In particular small producers may find many of these documents not applicable to them.

Producers should gather documented evidence on the information referred below (even if contained in different documents).

<table>
<thead>
<tr>
<th>Certificates and Contracts</th>
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<thead>
<tr>
<th>Training</th>
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<td>12</td>
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<td>64</td>
</tr>
</tbody>
</table>

**Inspection Reports, Maintenance Records, Operating, and Safety Instructions**

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>65</td>
<td>Dangerous machines, including, but not limited to, lifts, electrical equipment, and high-pressure equipment</td>
</tr>
<tr>
<td>66</td>
<td>Firefighting equipment (e.g. inspection tags on fire extinguishers)</td>
</tr>
<tr>
<td>67</td>
<td>Potable water at production facilities and dormitories</td>
</tr>
<tr>
<td>68</td>
<td>Health and safety for the facilities and dormitories, including but not limited to temperature, noise level, and lighting</td>
</tr>
<tr>
<td>69</td>
<td>Calculation of the necessary financial and personnel resources to comply with the minimum social and environmental requirements</td>
</tr>
<tr>
<td>70</td>
<td>Anti-corruption policies</td>
</tr>
<tr>
<td>71</td>
<td>Corruption risk assessment</td>
</tr>
<tr>
<td>72</td>
<td>Procedure for investigation and discouragement of unethical behaviour</td>
</tr>
</tbody>
</table>
Annex 7: How to Use the amfori BSCI Buyers Checklist

This annex of the amfori BSCI System Manual helps buyers identify any obvious social risks while visiting a producer.

INTRODUCTION

Buyers’ visits to producers are a good opportunity to identify and report obvious social risks that can be identified by a casual observer without the need for professional social expertise.

amfori BSCI participants may combine this approach with the amfori BSCI audits (e.g. use buyers visit between the amfori BSCI audit cycle or before entering into a business relationship).

To get the most out of these visits, amfori BSCI participants should consider providing the buyers with:

- Country background such as an extract from the Country Risk Classification
- Most prominent social issues identified in the region
- Buyers checklist to gather information after the visit (the buyer should not use the checklist in front of the producer)

The buyer’s checklist is not a substitute for a social audit, but helps a buyer without specific social compliance expertise to identify risks related to a producer’s social performance.

HOW TO USE THE INFORMATION

Buyers are not expected to do any evaluation or make a professional judgement of the producer’s social performance. However, they should share the information with their relevant colleagues (e.g. CSR manager) in a timely manner, so he/she can consider this information when defining the next steps within the amfori BSCI system implementation strategy.

For more information see the amfori BSCI System Manual, Part I and Part II.

<table>
<thead>
<tr>
<th>Question</th>
<th>YES</th>
<th>NO</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Are workers aware of the amfori BSCI Code of Conduct?</td>
<td></td>
<td></td>
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<tr>
<td>2. Is the person in charge of implementing amfori BSCI in a senior role?</td>
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<tr>
<td>3. Is there any kind of complaint mechanism or suggestion box visible?</td>
<td></td>
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<tr>
<td>4. Do people address colleagues and subordinates with respect?</td>
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<td></td>
</tr>
<tr>
<td>Question</td>
<td>Answer</td>
<td></td>
<td></td>
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<tr>
<td>-------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
<td></td>
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<tr>
<td>5. Is any information visible about how shift, lunch breaks, or working hours are organised?</td>
<td></td>
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<tr>
<td>6. Are the workplace, eating facilities, and food storage area clean and organised?</td>
<td></td>
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<tr>
<td>7. Are the toilets clean and equipped with soap and the necessary accessories to respect workers' hygiene and morals?</td>
<td>e.g. separated by gender, locks in good condition</td>
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<tr>
<td>8. Is drinking water made available and accessible to workers in the workplace (and in housing provided to workers if applicable)?</td>
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<tr>
<td>9. Are workers using Personal Protective Equipment (PPE) and is it clean and in good condition?</td>
<td>e.g. PPE used in noisy areas and wet areas</td>
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<tr>
<td>10. Are there first-aid kits with enough materials available?</td>
<td></td>
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<tr>
<td>11. Are signs and warnings posted in the right place and easily understood regardless of the level of literacy?</td>
<td>e.g. are restricted or dangerous areas properly marked</td>
<td></td>
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</tr>
<tr>
<td>12. Are escape routes/aisles and exits properly marked, unblocked, and easily accessible?</td>
<td>e.g. at least two exits for each floor/workshop and the doors open from the inside</td>
<td></td>
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<tr>
<td>13. Are there fire extinguishers available and are they in good condition?</td>
<td></td>
<td></td>
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<tr>
<td>14. Is a fire alarm system installed?</td>
<td></td>
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<tr>
<td>15. Is the evacuation plan posted in a visible place and easily understood regardless of the level of literacy?</td>
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<tr>
<td>16. Are electrical wiring and/or electrical installations in good condition and can imminent hazards be seen?</td>
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<tr>
<td>17. Are chemicals stored and disposed of in a way that avoids leakage?</td>
<td>e.g. Both the workplace and surroundings should be visibly free of waste.</td>
<td></td>
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<td>18. Do workers look old enough to be allowed to work?</td>
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<tr>
<td>19. Is there a place that allows visitors to wait without having to enter the work area?</td>
<td>e.g. children waiting for their parents in the working area, which is not safe for them</td>
<td></td>
<td></td>
</tr>
<tr>
<td>20. Is the building in a good condition without any visible imminent hazards?</td>
<td>e.g. roof, walls, humidity signs, window glasses, and locks in good condition</td>
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<td>TOTAL</td>
<td></td>
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<tr>
<td>Other comments or recommendations</td>
<td>Any other circumstance you would like to report? For example, workers show what could be perceived as too much respect towards their supervisors, or security guards hold weapons in the workplace.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Annex 8: How to Quickly Assess Other Monitoring Systems

This annex of the amfori BSCI System Manual guides amfori BSCI participants and their business partners on how to quickly assess other monitoring systems against the amfori BSCI system, as part of their due diligence process.

INTRODUCTION

amfori BSCI participants should encourage all business partners in their supply chains to adopt their social values and principles. When appropriate, amfori BSCI participants can guide their business partners to be monitored against the amfori BSCI Code of Conduct. However, these business partners may already adhere to a different code of conduct or have already been audited against a different social or environmental standard.

In the case of business partners adhering to other monitoring systems, the question is raised as to whether another audit (e.g. amfori BSCI audit) is necessary. That question is relevant because business enterprises are wise to maximise their resources and use them towards balanced, coherent, due diligence processes throughout their supply chains.

Therefore, whenever amfori BSCI participants have business partners using other monitoring systems, they are encouraged to conduct a quick assessment to determine if those systems could be:

- **Comparable**: Does the system or standard includes similar principles and quality guarantees as the amfori BSCI system?
- **Compatible**: Does the system or standard cover additional aspects, while also not contradicting or invalidating the amfori BSCI system?

This quick assessment is not a substitute for professional third-party benchmarking and it cannot be mistaken for the mutual recognition agreements that amfori may pursue with other organisations with similar goals. However, it is an operational tool that supports CSR managers’ and buyers’ decisions when selecting new business partners or when defining the monitoring strategy for the business year.

amfori BSCI participants may make this quick assessment and save it in its private section of the amfori BSCI platform.

UNDERTAKING THE QUICK ASSESSMENT

The quick assessment of other monitoring systems focuses on two main aspects:

- **Content**: The minimum, non-negotiable principles that any relevant social and environmental standards should cover.
- **System**: The minimum, non-negotiable quality and reliability features that any relevant social and environmental standards should guarantee.
The table below is a template that can help amfori BSCI participants compare the content of a specific monitoring system against the amfori BSCI minimum requirements. This does not judge the actual performance of a producer following the monitoring system in question. For example, the producer may respect the legal standards for resting time, but the standard might not include this essential element.

<table>
<thead>
<tr>
<th>NAME OF SYSTEM:</th>
<th>Name of the Producer</th>
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<tbody>
<tr>
<td>Date of the comparison:</td>
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<tr>
<td>Conducted by:</td>
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<tr>
<td>Valid for the producer until:</td>
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<td></td>
<td>Covered?</td>
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<tr>
<td>ILO Core Conventions</td>
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<tr>
<td>Forced Labour Convention, 1930 (No. 29)</td>
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<tr>
<td>Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87)</td>
<td></td>
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<tr>
<td>Right to Organise and Collective Bargaining Convention, 1949 (No. 98)</td>
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<tr>
<td>Abolition of Forced Labour Convention, 1957 (No. 105)</td>
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<tr>
<td>Minimum Age Convention, 1973 (No. 138)</td>
<td></td>
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<tr>
<td>Worst Forms of Child Labour Convention, 1999 (No. 182)</td>
<td></td>
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<tr>
<td>Equal Remuneration Convention, 1951 (No. 100)</td>
<td></td>
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<tr>
<td>Discrimination (Employment and Occupation) Convention, 1958 (No. 111)</td>
<td></td>
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<tr>
<td>Working Hours</td>
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<tr>
<td>Regular Working Hours: Maximum 48 hours per week and 8 hours per day, with the exceptions as specified by the ILO</td>
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<tr>
<td>Limit on Overtime: The national law and the characteristics of exceptional, voluntary, and premium paid</td>
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<tr>
<td>Resting Time: Resting breaks in every day and right to at least one day off in every seven days unless valid Collective Bargaining Agreement specifies otherwise</td>
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<tr>
<td>Minimum Wage</td>
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<tr>
<td>At least minimum wage according to the national law or industry minimum standard is enforced</td>
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<tr>
<td>OHS</td>
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<tr>
<td>Conducting Risk Assessment</td>
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<td>Workers Training</td>
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<td>Personal Protective Equipment (PPE)</td>
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<td>Chemicals</td>
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<td>Accident and Emergency Procedures</td>
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<tr>
<td>Electricity</td>
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<td>Fire Protection</td>
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<td>Escape Routes and Emergency Exits</td>
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<tr>
<td>Machine and Vehicle Safety</td>
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<td>First-aid</td>
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<tr>
<td>Workplace, Social Facilities, Housing</td>
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<tr>
<td><strong>System Minimum Requirements</strong></td>
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<tr>
<td><strong>Integrity</strong></td>
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<tr>
<td>Minimum Effort: The social audit takes minimum one man-day (8 hours x one auditor)</td>
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<tr>
<td>Duration: The duration of the audit must be visible in the audit report</td>
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<tr>
<td>Validity: The certificate or social report shall not be older than 12 months</td>
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<tr>
<td>Verification: The social audit shall include verification of documents, worker interviews and the site visit</td>
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<tr>
<td>Corrective Actions: The social audit report shall describe the findings and define deadlines for required corrective actions</td>
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</tr>
<tr>
<td>Certificates: Audit reports must have further explanations of findings (e.g. it is insufficient to only have YES/NO approach, graphics, or traffic light answers without further details)</td>
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</tr>
<tr>
<td>Standardized report: The social audit used a standardized report with information that is up to date with the latest version in use</td>
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<tr>
<td><strong>Competence</strong></td>
<td></td>
</tr>
<tr>
<td>Second-party: At minimum, it is a second party audit, as self-assessments cannot be considered as sufficient</td>
<td></td>
</tr>
<tr>
<td>Auditor Qualifications: The system must define the minimum competence requirements of the auditor</td>
<td></td>
</tr>
</tbody>
</table>
Updates: The system must have in place mechanisms to ensure that auditors and/or auditing companies are regularly informed on any system’s update.

Governance

Revision Process: The system must have a structured revision process with defined steps and a responsible person appointed as a minimum structure

Transparency: The system must be transparent on its governance (e.g. organisational charts available on the website)

Annual Updates: The system must make available annual updates on its activities and/or impacts

Once the quick assessment has been conducted, the amfori BSCI participant will need to either make a timely decision (e.g. exceptionally and for this particular producer, I will recognise its work is in line with this standard) or a strategic decision (e.g. in principle, I will not conduct amfori BSCI audits for those producers that can show me a valid audit report related to this standard).

In either case, the producer should sign the amfori BSCI Code of Conduct to support the cascading the amfori BSCI values and principles through the supply chains. See Annex 10: How to Cascade amfori BSCI through the Supply Chain.

UNILATERAL ACCEPTANCE OF ANOTHER MONITORING SYSTEM

The decision to unilaterally accept another social standard system to avoid audit duplication (whether it is ad-hoc or strategic) shall be made by the RSP holder and should be revisited every 12 months.

Because the RSP holder is driving the amfori BSCI audit cycle for its producers, the other amfori BSCI participants linked to those producers rely on the RSP holder's decision. Thus, it is crucial that the RSP holder maintains records that validate its decision. These are some examples:

- Valid certificate and audit report
- Valid Remediation Plan or equivalent document
- Up-to-date quick assessment or equivalent document

These documents can be uploaded to the private section of the amfori BSCI platform for the concerned producer.

Regardless of the decision, it is recommended that the RSP holder creates a producer profile (unless it already exists in the amfori BSCI platform) and ensures that the producer signs the amfori BSCI Code of Conduct with relevant Terms of Implementation. This way the producer will have access to the:

- **On-line Remediation Plan**: This will allow the producer to report its progress to all linked amfori BSCI participants.
- **amfori Academy**: This will allow the producer to select and complete any relevant courses to raise its knowledge and competence.
CHALLENGING THE DECISION OF THE RSP HOLDER

The decision of the RSP holder to accept the audit against another monitoring system as equivalent to the amfori BSCI audit can be challenged by any other linked participant who may have serious concerns on the equivalence or quality of that social standard. These serious concerns may be based on:

- **Professional experience**: For example, the linked participant has happened to visit the producer and identified serious social performance deficiencies.
- **Stakeholders position**: For example, relevant NGOs in the country or region where the linked participant operates have publicly expressed serious concerns on the credibility of the concerned standard.
- **Grievance allegations**: For example, through the linked participant’s grievance mechanism or amfori BSCI grievance mechanism, there have been allegations against the concerned standard or the concerned producer.

These above cases also apply to producers in the amfori BSCI platform with a valid SA8000 certificate.

Before challenging the RSP decision, the concerned linked participant will need to:

- **Contact the RSP holder through the amfori BSCI platform**. The RSP holder may provide additional information to the concerned linked participant or revise its approach and consequently request an amfori BSCI audit.
- **Communicate its concerns to the amfori Secretariat**: In case of disagreement, the linked participant can share its concerns using the amfori grievance mechanism. Following the amfori grievance mechanism procedure, the amfori Secretariat will assess the admissibility of the case and take any necessary steps. Those steps may include classifying the case as an emergency, in which case all linked participants will be informed and a request made for joint efforts in addressing the issue.
Annex 9: How to Promote Fair Remuneration

This annex of the amfori BSCI System Manual guides amfori BSCI participants and their business partners on how to assess and promote fair remuneration in their supply chain. Furthermore, it provides guidelines to auditors, which complement the amfori BSCI System Manual Part III.

INTRODUCTION

Before amfori BSCI participants and their business partners can properly assess fair remuneration in their supply chain, they first need to understand the different definitions used in the context of promoting fair remuneration through the supply chain.

It is commonly accepted that everyone who works has the right to just remuneration. However, there are different understandings on:

- What just remuneration means
- What just remuneration entails
- Who is responsible to grant it

The Universal Declaration of Human Rights states in its article 23.3 that (...):

“Everyone who works has the right to just and favourable remuneration ensuring for himself and his family an existence worthy of human dignity, and supplemented, if necessary, by other means of social protection.”

amfori BSCI translates this universal right to ‘everyone who works’ into the operational principle of fair remuneration, which embeds:

- Legal minimum wage enforcement
- Living wage calculation
- Additional qualitative elements that should apply to any wage payment

LEGAL MINIMUM WAGE

Legal minimum wage is a legal instrument at the disposal of governments to protect workers against unduly low pay and to overcome poverty.

- It has a binding nature
- It is quantifiable and due in legal tender
- Farmers are included in some legislations, but self-employed entrepreneurs are not

Methodology

Legal minimum wage is usually the result of an inclusive process that includes government representation, employers’ organisations, and workers organisations. In a nutshell, it is:

- Reached through tripartite consultations
- Possibly superseded by collective bargaining
- Enforced by law
amfori BSCI audits will verify that legal minimum wage or the industry standard approved through collective bargaining – whatever is more favourable for workers – is respected by producers.

Through the amfori BSCI audit methodology, the auditor will also assess if part-time workers, piece-rate workers, and workers hired through brokers or recruiting agencies all receive a remuneration consistent with the values and principles of the amfori BSCI Code of Conduct.

Furthermore, when auditing producer organizations such as cooperatives, auditors will assess that their members (e.g. family farms) also receive an adequate income that corresponds to what is needed to meet a decent standard of living.

As cooperatives are not for-profit companies, but social enterprises, auditors’ assessment shall take into consideration how cooperative members are compensated. For example, activities or infrastructures funded by the cooperative, based on a decision democratically taken. These collective investments need to be taken into consideration when calculating the fair income.

**LIVING WAGE**

Living wage is a concept introduced by civil society to address the gap between the prevailing wage and the wage level that could provide workers and their families with a decent standard of living. Living wage:

- Is not defined by law
- Has no binding nature
- Does not include qualitative elements but only quantitative ones
- Applies to wage earners
- Does not apply to self-employed entrepreneurs and farmers – for farmers, the concept of living income has been introduced

**Methodology**

There are many different methodologies for calculating a living wage. For the purpose of amfori BSCI audits, we highly encourage auditors to follow the Anker Methodology, and its specific improvements, when compared with other methodologies. If auditors use a different calculation methodology, they should reflect it in the audit report and explain the reason why the chosen method is more appropriate for that actual context.

Living wage calculations shall estimate the food costs, health costs, and education costs for a family, as well as the cost of housing and unexpected events (e.g. an accident of one family member). That shall be estimated with the number of full time workers, per family, in mind.

![Image of living wage calculation](image)

*Figure 1: Living wage calculation*

\[(\text{Food} + \text{housing} + \text{health} + \text{education}) \times \text{average family members} + \text{full time workers per family} = \text{Net Living wage}\]
The Anker Methodology is particularly relevant when calculating:

- **Food costs**: Auditors and producers should look at a model diet that meets WHO nutritional guidelines.
- **Housing costs**: Auditors and producers should aim at internationally accepted healthy housing and not a standard that perpetuates poverty.
- **Full time workers per family**: The number of workers per family should always be between one and two, varying by country and location. Auditors and producers should add labour force participation rates, unemployment rates, and part-time employment rate information that helps them picture the most common situation within the families they are assessing.

The net living wage will refer to the amount earned in regular working hours (e.g. 48 regular working hours or whatever the maximum regular hours per week are, according to local or national law).

**ADDITIONAL QUALITATIVE ELEMENTS**

Fair remuneration includes other components, which are excluded from the legal minimum wage and living wage calculations:

- Premium paid overtime
- Social benefits
- In-kind benefits and bonuses
- Subsidised or free transportation
- Subsidised or free-living space
- Subsidised or free canteen services
- Opportunities for education or training
- A reflection of workers’ skills and education in the level of payment

Furthermore, it should be paid:

- **Timely**: As agreed and communicated during the contract negotiation to workers prior to their engagement.
- **Regularly**: With a frequency that allows the worker to make use of her/his earnings without incurring debts.
- **Fully and in legal tender**: The work performed by the workers in regular working hours is to be paid in legal tender only.

**STIMULATE CONSTRUCTIVE DIALOGUE**

By requesting that factories and farms learn how to calculate their workforce’s decent standard of living, amfori BSCI aims at stimulating constructive dialogue between the employer and the workforce. Furthermore, it raises employer understanding on current efforts to provide workers with a fair remuneration and the gaps that need to be overcome in order to do so. For that purpose, producers are encouraged to use [Template 5 Fair Remuneration Quick Scan](#).

When producers are able to show a thorough calculation of the fair remuneration components relevant to their own workforce (including seasonal workers), this effort will be captured during the amfori BSCI audit and disclosed as good practice in the audit report.

Dialogue between workers and employers on decent standards of living and wages may help to build trust and discuss other relevant topics (e.g. OHS), which contribute to the overall improvement of working conditions.
HOW AMFORI BSCI PARTICIPANTS CAN CONTRIBUTE TO FAIR REMUNERATION

**Awareness raising:** amfori BSCI participants should create necessary channels to raise awareness among their staff (particularly buyers) on the fair remuneration discussion. They should have a good understanding on the risks their own business could face if sourcing from business partners that systematically fail to provide fair remuneration to their workforce.

**Risk assessment:** amfori BSCI participants should have a good understanding of the share of business partners that may not meet fair remuneration standards. amfori BSCI audits provide a good basis of information to identify where these business partners are and who they are (e.g. how significant they are in the supply chain and in terms of purchasing volume).

**Root cause analysis:** amfori BSCI participants should leverage their expertise to calculate the commercialisation costs and have a good understanding on how their preferred buying price impacts the wages in production facilities.

Furthermore, amfori BSCI participants should map out their purchasing practice against those business partners who do not meet the fair remuneration standard. This comparison may identify some purchasing practice that could help addressing the fair remuneration gap. In making that comparison, amfori BSCI participants may ask themselves:

- Is this business partner’s remuneration gap endemic or could it be attributed to my own purchasing practice? Is it a punctual gap or is it being identified as recurrent?
- Is there any common denominator in the purchasing practices used with these business partners and not with others?
- Are these business partners new in my portfolio of suppliers? Have they attended relevant training on improving working conditions?
- Does my business include progress on fair remuneration as part of the selection criteria for new suppliers?

These questions may help amfori BSCI participants to identify if they could be directly or indirectly contributing to the fair remuneration gap in some areas of their supply chain.

**GOOD PRACTICES ON THE PROMOTION OF FAIR REMUNERATION**

As businesses identify possible avenues to promote fair remuneration practice in their supply chains, some examples may inspire other businesses to take their practices to the next level:

- Request producers to share their cost breakdown, separate their labour cost from the total and allow that price negotiation does not impact labour costs.
- Reward producers, who have a credible plan to raise minimum wages, with commercial incentives and long-term contracts.
- Have producers rate buyers’ purchasing practices (e.g. in the textile sector) and allow producers to rate business practices related to:
  - Planning and forecasting
  - Design and development
  - Cost and cost negotiation
  - Sourcing and order placement
  - Production management, payment, and terms
  - Management of purchasing practices

Regular surveys, or tackling these topics during business visits, can provide very valuable information and insights on how to become a more responsible business enterprise.
Annex 10: How to Cascade amfori BSCI through the Supply Chain

This annex of the amfori BSCI System Manual guides amfori BSCI participants and their business partners on how to increase the number of business partners that observe the amfori BSCI Code of Conduct.

INTRODUCTION

By signing the amfori BSCI Code of Conduct and related Terms of Implementation, business enterprises commit to cascade those values and principles:

- **Within the business structure**: For example, communicate and develop the necessary systems, procedures, and competences to live up to the amfori BSCI Code of Conduct within its business culture.
- **Within the supply chain**: For example, communicate and develop the necessary systems, procedures, and competences to promote, to both direct and indirect business partners, the values and principles of the amfori BSCI Code of Conduct.

CASCADE EFFECT WITHIN THE BUSINESS STRUCTURE

Senior management (or the owner in case of micro and small business enterprises) should initiate the cascade effect and be supported by at least the following key departments (or individuals):

- Human resources
- Operations (production, procurement, and sourcing)
- Legal
- Communication

To reach this level of buy-in requires conviction, but also investment. It will not happen without effort. These are some of the actions top management may consider pursuing:

- Approve business policies, procedures, and systems that embed the amfori BSCI Code of Conduct in business operations e.g. recruiting, OHS, access to grievance mechanism
- Ensure regular training to the different people within the structure
- Define annual targets to assess the implementation progress

CASCADE EFFECT WITHIN THE SUPPLY CHAIN

Business enterprises may start cascading the values and the principles of the amfori BSCI Code of Conduct through their supply chains even before having it cascaded within their own business structure.

However, it is advisable that a minimum level of buy-in exists within the business structure to succeed in the cascade effect throughout the supply chain. For more information see Annex 13: How to Promote Capacity Building.
Business enterprises may have limited resources to communicate and develop the necessary systems, procedures, and competences to promote the amfori BSCI Code of Conduct among their direct and indirect business partners. For that reason, mapping will help them to prioritise where to start.

MAPPING THE SOURCING MODELS

There are three major sourcing models:

- **Direct sourcing**: Direct sourcing is between a producer that produces a final product and the business (an amfori BSCI participant) when there are no intermediaries.
- **Indirect sourcing**: Indirect sourcing is between a producer that produces a final product and the business (an amfori BSCI participant) when there are one or more intermediaries.
- **Hybrid sourcing**: Hybrid sourcing is between a producer that produces a final product and the business (an amfori BSCI participant) when there are no intermediaries, whereas for other products there are one or more intermediaries.

MAPPING THE SIGNIFICANT BUSINESS PARTNERS

Within these three sourcing models, some business partners will be considered significant for a business (e.g. over 40% of the volume sold in a specific market relies on that business partner or in that constellation of business partners).

Those significant business partners must know and agree upon the amfori BSCI Code of Conduct and amfori BSCI Terms of Implementation.

Eventually, some of these significant business partners will need to complete an amfori BSCI audit. Others will be monitored by other means (e.g. business visits). If a producer is required to complete an amfori BSCI audit, it should map and well document its own sourcing models and significant business partners because the auditor will want to understand how the producer:

- Selects its own business partners, taking into consideration their capacity and willingness to respect the amfori BSCI Code of Conduct
- Communicates and requests the signature of the amfori BSCI Code of Conduct to its significant business partners

If the producer wants to report the status of this mapping of the supply chain to all its linked participants, the amfori BSCI platform offers a specific section in the producer profile to that aim.

The producer can record a list of significant business partners, indicating the type of business partner, the level of importance, if it has signed the amfori BSCI Code of Conduct, and whether or not it has been monitored (e.g. internal assessment).

Alternatively, the producer can gather this information using Template 2: Supply Chain Mapping or any other system he/she may find appropriate.

MOST COMMON BUSINESS PARTNERS INCLUDED IN THE CASCADE EFFECT

The inclusion of certain business partners in the cascade effect is a strategic business decision.

**In case of a business to consumer (B2C) partner**, the perceived social risks from the market will be a key factor in determining to which business partners, and in which countries, the amfori BSCI Code of Conduct will be cascaded and its observance eventually monitored.

**In case of business to business (B2B) partners**, such as producers and their intermediaries, not only they will need to map their supply chain from their own perspective, but also to take into consideration the perspective and social risk perceived by their clients (e.g. amfori BSCI participants)
For producers that receive an amfori BSCI audit, these are the most common significant business partners that are mapped out:

- **Sub-contractors**: Many clients (e.g. amfori BSCI participants) will only allow the producer to use sub-contractors if their use was previously approved. This will ensure that the producer has an overview of the subcontractors' social performance, as if they were part of its own business.
- **Recruitment agencies (or brokers)**: Many clients (e.g. amfori BSCI participants) will identify negative social impacts in the way workers are engaged. A producer will have the greatest influence on how the recruitment agency or broker (if applicable) engages workers in a responsible manner. For more information see Annex 17: How to promote responsible recruitment practice.
- **Farms and smallholders**: Many clients (e.g. amfori BSCI participants) identify the agricultural work environment as a specific priority in their business and human rights due diligence. For this reason, the producer will aim at having good overview and influence on the social performance of farms and smallholders that deliver fresh produce to it. This overview can be achieved through regular internal assessments. Eventually an amfori BSCI audit may include a sample of these farms as part of the audit scope.

**THE CASCADE EFFECT IN THE FOOD SUPPLY CHAIN**

Since many food producers will be sooner or later linked to the agricultural work environment in their supply chain, the amfori BSCI system includes a specific audit methodology that allows:

- amfori BSCI participant to have an in-depth understanding of the working conditions in the agricultural sector
- Food producers to create synergies and economies of scale by adding a sample of farms into the scope of their own amfori BSCI audit

Both the amfori BSCI participant and the significant business partner (food producer) will have an interest in having a good overview of the social performance of farms and smallholders that deliver fresh produce to it. Particularly, when this fresh produce is delivered directly to the food producer (i.e. no intermediary), it becomes paramount to aim for the greatest level of transparency on working conditions, recruitment procedures, and any other procedures at the farms.

Food producers sourcing directly from farms should aim to have a good understanding of their supply chains and a social management system in place to monitor the social performance of at least two thirds of these farms. See Annex 18: How to monitor producers organisations in the food sector.

After the mapping of the most significant farms, including smallholders, the food producer will need to:

- **Set priorities**: It may not be possible to assess all farms that are significant business partners, but the food producer should get a good understanding of those that represent the highest risk for its business.
- **A functioning social management system**: A systematic approach to manage and monitor the farms will save resources and build confidence on the level of risk management. See Annex 3: How to Set Up a Social Management System (SMS).
- **Support person**: Appointing a person who can accompany the farms through the amfori BSCI Code of Conduct implementation process may be the most cost-effective approach to ensuring continuous improvement and long-lasting engagement

To support this process, the amfori BSCI system recommends that amfori BSCI participants allow for a six-month preparation period before auditing a farm for the first time.
Alternatively, amfori BSCI participants may start by auditing only the food producer as main producer, while allowing internal monitoring, or even other farm specific standards, to monitor the farms separately.

The ultimate goal should be to always have a good understanding of the supply chains and promote continuous improvement, while avoiding duplication of efforts and wasted resources.

As commercial relations with farms may fluctuate, food producers should keep their farms’ monitoring system up-to-date and reflecting the current reality. Failing to do this may be counterproductive and damage the trust and reputation of clients.
ANNEX 11: How to understand the Commitment Formula

This annex of the amfori BSCI System Manual guides amfori BSCI participants to articulate their commitment towards responsible business practices for the benefit of all.

INTRODUCTION

The amfori BSCI system provides guidance to amfori BSCI participants to adopt and eventually abide by the amfori BSCI commitment formula, which will help them to structure their goals and targets towards responsible business practices.

The amfori BSCI commitment formula applies to all amfori BSCI participants and it consists of:

- **Five minimum engagement requirements**: These requirements outline the minimum activity all amfori BSCI participants must fulfill.
- **Three aspirational goals**: These goals provide amfori BSCI participants guidance on how to achieve continuous progress toward being a responsible business.

The amfori BSCI participants’ performance is assessed quarterly, including both their minimum engagement and aspirational goals. These assessments will be based on data mainly gathered through:

- The amfori BSCI platform
- The amfori Academy
- The zero tolerance tracker

MINIMUM ENGAGEMENT REQUIREMENTS

<table>
<thead>
<tr>
<th>Metric</th>
<th>Measurement</th>
<th>Minimum Engagement Per Quarter</th>
</tr>
</thead>
<tbody>
<tr>
<td>Login on the Platform</td>
<td>Number of logins to the platform</td>
<td>1</td>
</tr>
<tr>
<td>Orphan Producers</td>
<td>Avoidance of 100% orphan producers</td>
<td>Yes</td>
</tr>
<tr>
<td>Invalid Audits</td>
<td>Invalid audits in the system</td>
<td>&lt;50%</td>
</tr>
<tr>
<td>Producer List</td>
<td>Producer list in the system</td>
<td>Producer list is created in system within 6 months from joining</td>
</tr>
<tr>
<td>Automatic RSP Release</td>
<td>Number of automatic RSP releases</td>
<td>&lt;10 per quarter</td>
</tr>
</tbody>
</table>
amfori BSCI participants with insufficient engagement levels will be notified by the amfori Secretariat. They will be informed and engaged in the necessary remediation process.

Over an annual period, if an amfori BSCI participant shows no improvement in the minimum engagement requirements, the membership exclusion process will be implemented.

**ASPIRATIONAL GOALS**

Aspirational goals are essential and can be monitored by amfori BSCI participants on a daily basis by accessing the amfori BSCI commitment formula dashboard. Through this dashboard, any amfori BSCI participant can determine: this dashboard, any amfori BSCI participant can determine:

- Their overall rating as a non-weighted sum of all three goals
- The result of each goal, which is an average of its respective targets and key performance indicators (KPIs)

The performance of their company (and branches if relevant) will be reflected as a percentile.

Furthermore, the amfori BSCI participant can assess:

- **The status of its minimum engagement requirement**: Alerts will show if one or more requirements are below the minimum threshold.
- **Their performance in comparison to the entire membership of amfori BSCI**: This comparison occurs without disclosing the confidential data of the business enterprise.
- **Their overall standing by extracting quarterly reports in PDF**: This information can serve as a communication tool for meetings with internal and external stakeholders.

**MULTIPLE USE OF THE AMFORI BSCI COMMITMENT FORMULA DASHBOARD**

The amfori BSCI participant may find the amfori BSCI commitment formula dashboard has many advantages:

- **Transparency**: The information captured through the amfori BSCI commitment formula dashboard is based on activity, as well as overall application of the amfori BSCI system. This can be used by internal and external stakeholders to respond to questions as well as to define future strategies.
- **Risk assessment**: Daily visibility of the activity and application of the amfori BSCI system can help amfori BSCI participants to be aware of any anomaly or discrepancy on their part, allowing for early detection and risk assessment.
- **Stimulate continuous improvement**: Assessing the evolution and progress in the use of the amfori BSCI system can help the amfori BSCI participant to identify the success of measures taken (e.g. auditing rating improvement after capacity building).

For a full overview of how to best use the amfori BSCI commitment formula dashboard see the amfori Academy.

**Liability clause**: amfori and its directors, officers, employees or agents shall not be liable vis-à-vis any party (e.g. the members, the producers, the auditors) for any damages of any kind (e.g. whether losses, debts, liabilities, costs, claims, actions, demands, expenses, or charges) caused by amfori or its directors, officers, employees or agents in direct or indirect relation to any services or activities by amfori or the content of this document, with the sole exception of fraud, as recommended by amfori legal advisors.
Commitment Formula

**GOAL ONE: EMPOWERMENT**

- **TARGET 1:** amfori BSCI participants in training
  - KPI 1: # of courses completed
  - KPI 2: # of logins on amfori BSCI platform

- **TARGET 2:** Producers in training
  - KPI 3: # of courses completed

- **TARGET 3:** Women’s empowerment
  - KPI 4: # of courses attended by female management (producers)

**GOAL TWO: CONTINUOUS IMPROVEMENT AND CASCADING EFFECT**

- **TARGET 4:** Business partners endorsement of amfori BSCI Code of Conduct
  - KPI 5: # of producers that have signed amfori BSCI Code of Conduct

- **TARGET 5:** Supply chain mapping beyond tier 1
  - KPI 6: # of producers beyond tier 1 in the system
  - KPI 7: # of producers beyond tier 1 that have signed amfori BSCI Code of Conduct

- **TARGET 6:** System integrity
  - KPI 8: # of producers that have valid audits

- **TARGET 7:** Business partners to demonstrate progress
  - KPI 9: # of producers that have improved rating in at least 1 performance area
  - KPI 10: # of producers with overall improved rating from previous audit
  - KPI 11: # of producers with improved rating in at least 1 performance area after course completion

**GOAL THREE: REMEDIATION**

- **TARGET 8:** Producers with remediation plan
  - KPI 12: # of producers that have submitted a Remediation Plan in the system
  - KPI 13: # of producers that have improved rating in at least 1 performance area after remediation plan

- **TARGET 9:** Zero tolerance follow-up
  - KPI 14: # of producers where zero tolerance issues have been identified
  - KPI 15: # of producers that are active 3 months after zero tolerance alert
  - KPI 16: # of zero tolerance calls attended
  - KPI 17: # of producers improved after zero tolerance alert

- **TARGET 10:** Unacceptable rating follow-up
  - KPI 18: # of producers with improved overall rating after ‘unacceptable’ rating (E)
Annex 12: How to Assess a Small Producer

This annex guides amfori BSCI participants on how and when to request a Small Producer Assessment (SPA), both as a full or a follow-up SPA. Furthermore, it provides guidelines to auditors and complements the amfori BSCI System Manual Part III.

SMALL PRODUCER DEFINITION

In the context of amfori BSCI audits, a producer may claim to be a small producer and therefore eligible for a SPA, if it meets all criteria below:

- **Independent business unit**: The small producer must not be a branch or part of a group
- **35 workers**: Over the last 12 months prior to audit request, the small producer has employed directly or indirectly a maximum of 35 workers, including permanent and seasonal workers (seasonal workers should not be employed for a longer period than 90 days per year)
- **Annual turnover**: Equal or below 2 million EUR
- **Manufacturer**: It is a food or non-food manufacturer or processor, but not a farm

THE SMALL PRODUCER ASSESSMENT (SPA)

The Small Producer Assessment (SPA) has been developed by the amfori Secretariat to support:

- amfori BSCI participants’ due diligence when sourcing from small businesses.
- Micro and small enterprises in understanding their responsibilities at the scale within which they operate and to show their commitment as responsible businesses without having to participate in the complexity of an audit.

The following elements are relevant to the SPA:

- It follows the BSCI audit scheduling, audit validity, and rating
- It is semi-announced by default
- It covers the 13 performance areas extracted from the amfori BSCI Code of Conduct
- It is subject to amfori BSCI audit integrity
- It follows amfori BSCI Zero Tolerance Protocol, when relevant
- It can be linked to a Remediation Plan

The following elements are specific for the SPA:

- It relies on the small producer [self-declaration](#), which needs to be assessed by both the RSP holder and eventually the auditor.
- Its use may be challenged either by amfori BSCI participants through the amfori BSCI platform or by other stakeholders through the [amfori external grievance mechanism](#), if they have proofs that the producer should not have been audited with a SPA.
- Desk review follow-ups are allowed if findings only refer to specific questions for which documentary evidence is sufficient to solve the finding.
As SPA are amfori BSCI 2.0 audits that are to be applied only when the potential producer meets all small producer’s criteria, the amfori BSCI system foresees scenarios where the producer may change its scale of operation within the same audit cycle.

There are three possible scenarios:

- **The audit cycle was initiated within a SPA environment** (e.g. a full SPA was conducted), but the producer is no longer small by the time a follow-up audit is due:
  - The audit request will need to specify the new applicable environment
  - The follow-up audit report will be populated with the information captured in the full SPA
  - The auditor will verify those performance areas where findings were captured during the full SPA and answer the rest of the performance areas as ‘Not rated’

- **The audit cycle was initiated within any other environment**, but the producer meets all small producer criteria by the time the follow up audit is due:
  - The producer needs to send a small producer self-declaration to the RSP holder
  - The audit request will need to specify the new applicable environment
  - The SPA follow-up audit report will be populated with the information captured in the full audit
  - The auditor will verify those performance areas where findings were captured during the full audit and answer the rest of the performance areas as ‘Not rated’

- **The follow up was conducted within a SPA environment** and the producer is no longer small by the time a follow up audit or a full audit is due:
  - The audit request will need to specify the new applicable environment
  - The auditor will verify those performance areas where findings were captured during the follow up SPA and answer the rest of the performance areas as ‘Not rated’ or
  - The auditor will verify all performance areas if he or she is conducting a full audit

**THE SMALL PRODUCER SELF-DECLARATION**

The small producer self-declaration properly signed by the company owner is a pre-condition to schedule a SPA audit (both full or follow-up) through the amfori BSCI platform.

Concerned producers shall fill out and sign the Self Declaration Form and provide it to their clients (e.g. amfori BSCI participants) so that they can follow up with the audit request.

The self-declaration shall not be older than two months from the time the full audit or follow-up audit is going to be requested. Should the producer no longer meet all criteria of a small producer, the RSP holder shall select the relevant audit environment that suits the new situation.

The RSP holder shall share the self-declaration with the auditing company.

**AUDITOR GUIDELINES WHEN CONDUCTING A SPA**

When conducting a SPA, auditors shall:

- Use their practical wisdom and adjust their judgement to the reality and peculiarities of these small producers so the result is an accurate representation of the small business social performance.
- Pay particular attention to identify evasion or misrepresentation of companies pretending to be smaller than they are.

Auditors shall use the BSCI 2.0 auditor guidelines as reference (see amfori BSCI System Manual Part III)). However, the auditor is responsible to adapt and interpret the BSCI 2.0 guidelines based on the size and characteristics of the small producer that they are auditing. Small producers are often informally organised, based on personal and/or family interrelations.
Here are some examples on how this may be taken into consideration during the SPA:

- **Management systems:** Management systems are assessed by taking into consideration that:
  - Social management in small producers is naturally less sophisticated in terms of policies and procedures. However, this shall not be perceived as a finding if it is effective in practice.
  - The owner may be multitasking while simultaneously in charge of the implementation of the amfori BSCI Code of Conduct. However, this shall not be automatically perceived as lack of commitment or qualifications.

- **Internal structures:** Internal structures of small producers are rarely organised in departments with dedicated responsibilities and specific qualifications:
  - Responsibilities and reporting lines can be defined verbally. Management might concentrate several functions.
  - Service providers are rarely contracted on site (e.g. no doctor on-site or qualified person to provide first aid).

- **Policies and procedures:** Policies and procedures are often defined and communicated verbally to workers and/or family members:
  - For example, with regard to OHS procedures and policy against child labour, the auditor shall not aim at finding written policies and procedures, but rather assess the level of communication and understanding that workers and family members have on the way the small business operates in a responsible manner.

- **Human resource management:** Human resources are often managed informally and based on family or community relations:
  - Key responsibilities within the small producer may be taken by family members. Some legislation might regard hiring of first degree family members as evasion, which auditors must be aware of.
  - Selecting, recruiting, and terminating working relationships may be verbally defined.
  - The auditor shall assess the level of workers’ protection and understanding of their rights through interviews, mainly (e.g. regarding payments, working hours, and disciplinary measures).

- **Workers representation:** Workers representation may not be formal:
  - The size of the business may limit workers’ representation and participation in collective bargaining.
  - The auditor shall assess the level of workers’ involvement, consultation, and respect through interviews, mainly.

- **Documentation:** Documented proofs and record keeping may not be formal:
  - Informal record keeping, as well as relying on third parties to manage documentation, may be frequent among small businesses in certain countries.
  - Social and environmental risk assessments, production planning or accident records may not be formally recorded. The auditor shall assess the level of understanding and effectiveness through interviews, mainly.

- **Monitoring of business partners:** Business partners monitoring may be managed informally and based on community relations:
  - The understanding of who and why certain business partners may contribute to the social and environmental risk may not always be clear for a small business.
  - The auditor shall assess the level of knowledge small business partners may have about their business partners, why and how they have decided to work with them, and
to which extent the small business has a good overview on what can be done from its side to minimise risks.

- **Grievance mechanism:** Grievance and suggestions may not be recorded:
  - The auditor should not expect a formal channel to receive and investigate grievances, but rather a business culture driven by openness and constructive comments when no bullying to workers and/or family members is detected.

- **Fair remuneration:** Living costs calculations may not be documented:
  - The size of the organisation and possible family interrelations may impact the way remuneration is provided to workers and family members.
  - The auditor shall have a good understanding of legal minimum wage that applies to contracted workers and be able to assess whether all workers and family members would get such a remuneration.
  - The auditor shall estimate costs of living in the region and assess it against the legal minimum wage.

### AUDITOR GUIDELINES FOR FILLING IN THE SPA

The following guidelines will help an auditor fill in the SPA:

- **Audit duration:** SPA duration has been fixed in one day for on-site audit, including reporting time for full and follow-up audits and in 0.5 days, including reporting for a desk review follow-up audit.

- **Interviews:** The number of workers to be interviewed may vary between five to ten workers. If the producer being audited has five or less workers, all workers must be interviewed.

- **Attached documents:** A copy of the self-declaration properly signed must be uploaded as part of the SPA before submitting it to the amfori BSCI platform.

- **Executive summary:** The auditor shall reflect the following information under the ‘Executive Summary’ section in the SPA report:
  - Detailed description of the producer structure
  - Validation method used to assess that the producer meets the SPA criteria, including self-declaration validation.

- **Zero tolerance alert:** In case of factual and proven misrepresentation (e.g. the producer is bigger than it declared prior to the audit), the auditor shall follow the BSCI Zero Tolerance Protocol (see Annex 5) and implement a zero tolerance alert within 24 hours after the misrepresentation was identified.

- **Contingencies:** If at the time of the audit, the auditor realises that the producer being audited does not meet one of the four small producer criteria, the auditor has three options:
  - **In the case of misrepresentation,** the auditor will implement a zero tolerance alert (e.g. the producer is not an independent unit but part of a bigger holding).
  - **If there is no misrepresentation but a reasonable variation,** the auditor will continue the SPA and describe under the Executive Summary the reasonable variation that still allows the SPA to be suitable for capturing the producer’s social performance (e.g. over the last 12 months the producer employed mostly 35 workers but in some occasions exceeded in more than 20%; the annual turnover has exceeded the 2 mill euro in the current year but the producer has a history of being small).
  - **If there is no misrepresentation, but the variation makes SPA inadequate to capture the producer’s social performance,** the auditor will need to abort the audit and report it back to the RSP holder in due time. Auditing companies are expected to
make this scenario completely exceptional, by a thorough due diligence and good preparation of the audit.

- **Desk review:** The SPA follow-up may generate a desk review under the following conditions:
  - The overall rating of the audit is ‘C’
  - It cannot be the second consecutive follow-up as desk-review
  - Findings have been identified only in the below listed elements of the audit questionnaire and related documentary evidence:
    - Q 1.3: Overview of significant business partners
    - Q 5.3: Social benefits legally granted
    - Q 7.3: OHS risk assessment
    - Q 7.4: Overview of workers being trained on OHS
    - Q 7.7: Visible potential hazards through signs and warnings
    - Q 7.10: Electrical installations and equipment periodically checked
    - Q 9.4: Young workers being trained on OHS
    - Q 12.1: Valid environmental permits
SMALL PRODUCERS’ SELF-DECLARATION

To get this template in Word, please access amfori BSCI resources in the amfori BSCI platform.

amfori BSCI Small Producer Self-declaration

To whom it may concern,

I, [name and surname] as the representative of [Legal name of producer] (hereafter called the company) registered on [dd/mm/yyyy], [business licence, or TAV number], hereby declare that the company has signed the amfori BSCI Code of Conduct and related Terms of Implementation. Furthermore, I declare the company meets amfori BSCI criteria to be audited following the amfori BSCI Small Producer Assessment (SPA), because:

- It is an independent business unit (no branch or part of a group)
- It has an annual turnover equal or below 2 million EUR (at current exchange rate)
- Over the last 12 months, it has employed total [number] workers, including [number] permanent and [number] seasonal workers (seasonal workers are those not employed more than 90 days per year)
- It is a food or non-food manufacturer or processor, but not a farm.

I understand that any false statements or concealment of a material fact will trigger a zero tolerance alert according to the amfori BSCI protocol.

I acknowledge that the company shall inform the amfori BSCI participant(s) and/or the relevant auditor of any change to the structure or turnover that may exclude the company from being eligible for amfori BSCI SPA.

I accept the disclosure of this document in the amfori BSCI platform producer profile. I agree that the documents will be visible to all the users who have access to the producer profile in the BSCI platform.

Date ______________________________ Signature ___________________________
Name ______________________________________________________________
Position _____________________________________________________________
Company ____________________________________________________________
Annex 13: How to Promote Capacity Building

This annex of the amfori BSCI System Manual guides amfori BSCI participants and their business partners on how to build capacities, competence, and knowledge in their supply chains.

INTRODUCTION

To react to dynamic market expectations, business enterprises continuously need to build skills, capacities, and expertise. This applies to:

- Business enterprises that have endorsed the amfori BSCI Code of Conduct and want to successfully integrate it into the business culture
- Auditing companies and other service providers that want to excel in the market

Business enterprises rely on competent and dedicated management and staff that can:

- Acquire knowledge, practices, and judgement to be autonomous and accountable for their social responsibility
- Work collaboratively with others so to contribute to positive impacts for people and the environment
- Incorporate the amfori BSCI Code of Conduct in their daily work

Continuous adaptation and learning is vital for a virtuous cycle to be set in motion within a business.

GAP ANALYSIS

The continuous learning process is started by conducting a gap analysis to identify:

- Abilities and knowledge that are missing within the business structure
- Tools or infrastructure needed to transfer the missing abilities and knowledge

amfori BSCI participants and their business partners (particularly producers) may use the courses available in the amfori Academy as a guide. These courses will help define the contents already available for their employees and those that are missing (or need to be customised to their specific needs).

The table below may serve as inspiration on the most common topics to be addressed by different departments or roles within a business enterprise:
### CAPACITY-BUILDING PLAN

Once the gap analysis has been conducted, a business enterprise should establish a capacity-building plan to:

- **Identify** the type of abilities and knowledge missing in the business enterprise structure
- **Define** a plan to address the gap
- **Use** the best tools to transfer knowledge within the business enterprise structure
- **Prioritise** the areas where the lack of abilities and knowledge may put the business at risk
- **Allocate** a realistic budget to address the gap
- **Set the Key Performance Indicators (KPI)** that will help in measuring progress

The amfori Academy offers a vast variety of courses in different languages to all relevant audiences related to the amfori BSCI system. Courses can be completed face-to-face or in an e-learning format.
The effectiveness of the capacity-building plan within the business enterprise should be regularly monitored and adjusted accordingly to ensure that the plan meets the expectations. The success of the capacity-building plan relies on the business ability to have:

- Conducted the gap analysis
- Selected the right course for the right audience
- Pursued a modular approach (e.g. increase the level of complexity)

Besides building capacities within their own management structures, the amfori BSCI participants, as well as their business partners, will need to assess the missing capacities in their respective supply chains. Having assessed the missing capacities, next steps can be taken to provide support toward filling those gaps. In this context, it is advisable that the amfori BSCI participant’s capacity-building plan includes its significant business partners as targeted. For further support see Template 14: Capacity-building plan in the amfori Academy.

Capacity building should be considered an investment that the business undertakes to embed its social responsibility in the business culture. Eventually, investing in capacity building for staff and business partners supports talent retention and long-lasting business relationships, which are proven to reduce social risks.

**CAPACITY BUILDING FOR AMFORI BSCI PARTICIPANTS**

**Mandatory Introductory Course**

amfori BSCI participants have up to six months from the time they have joined amfori to complete the mandatory introductory course.

It is advisable that every time an amfori BSCI participant engages new staff or teams to take care of the amfori BSCI system implementation, this new staff also completes the introductory course.

After the mandatory introductory course, amfori BSCI participants should have acquired sufficient knowledge on:

- The amfori BSCI values and principles
- The due diligence approach as part of their social responsibility
- How to map their supply chains and define significant business partners to be monitored
- How to analyse the information provided in the amfori BSCI audit report
- How to follow up on business partners’ continuous improvement (particularly Remediation Plans)
- How to communicate to business partners and external stakeholders the engagement with amfori BSCI

**Tutorials on the amfori BSCI Platform**

Learning how to best use the [amfori BSCI platform](#) is essential and enables amfori BSCI participants to succeed in the implementation of the amfori BSCI system.

The best way to learn about this IT tool is by using it regularly. Once amfori BSCI participants have got the necessary log-in, they can find all relevant tutorials to navigate the amfori BSCI platform and use it correctly. For more information see Annex 1: How to start with the amfori BSCI platform.

**New Topics**

The amfori BSCI participants can use the different governance channels to suggest new topics and/or new audiences to be included in the amfori BSCI capacity-building activities.
All courses completed through the amfori Academy by the amfori BSCI participant will be reflected in the amfori BSCI commitment formula (see Annex 11: How to understand the commitment formula).

CAPACITY BUILDING FOR PRODUCERS

Once the significant business partners are included in the capacity-building plan, amfori BSCI participants will take the necessary steps to ensure that the significant business partners:

- Have a profile in the amfori BSCI platform
- Are invited to complete the relevant course(s) available in the amfori Academy

Once the significant business partners have the log-in for the amfori Academy, they can enrol in any of the courses available that they may find relevant. They will get a certificate for every course completed in the amfori Academy.

Furthermore, all courses completed through the amfori Academy by the significant business partners will be reflected in the amfori BSCI commitment formula of all linked participants (see Annex 11: How to understand the commitment formula).

There are no mandatory introductory courses to be complemented by the business partners. However, as part of the capacity-building plan, amfori BSCI participants can define minimum learning objectives to be pursued in their supply chains. The table below may be used for inspiration:

<table>
<thead>
<tr>
<th>Target Audience</th>
<th>Learning Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Producer</strong></td>
<td></td>
</tr>
<tr>
<td>Management Level</td>
<td>Understanding the labour rights and obligations that apply to the workforce, in the given sector and region</td>
</tr>
<tr>
<td></td>
<td>Understanding the benefits of an effective Social Management System and how to implement it</td>
</tr>
<tr>
<td></td>
<td>Understanding the benefits of an effective Remediation Plan and how to develop it</td>
</tr>
<tr>
<td></td>
<td>Understanding the benefits of effective risk and impacts assessments and how to conduct them</td>
</tr>
<tr>
<td></td>
<td>Understanding the benefits of effective grievance mechanism and how to implement it</td>
</tr>
<tr>
<td></td>
<td>Understanding the role of internal assessments and supply chain mapping and monitoring</td>
</tr>
<tr>
<td><strong>Workers Training</strong></td>
<td>Understanding their rights and duties in the workplace</td>
</tr>
<tr>
<td></td>
<td>Understanding how a grievance mechanism works (its potential and limitations)</td>
</tr>
<tr>
<td></td>
<td>Understanding the importance of regular health and safety risk assessments and how to contribute to the maintenance of a healthy work environment</td>
</tr>
<tr>
<td></td>
<td>Understanding how fair remuneration is calculated and what other qualitative elements shall be considered</td>
</tr>
</tbody>
</table>
CAPACITY BUILDING FOR AMFORI BSCI AUDITORS

Auditors are key actors in the amfori BSCI system. The unique amfori BSCI audit methodology, developed to move away from the checklist approach, relies on the auditors’ ability and practical wisdom to make the right professional judgement.

This ability has a direct impact on:

- The quality of the information gathered through the amfori BSCI audit
- The trustworthiness of the zero tolerance alerts

Therefore, amfori BSCI capacity building for auditors focuses not only on the content and interpretation guidelines, but also on skills and relevant competence related to:

- **Systemic thinking**: This technique allows auditors to gain deeper insights into challenging situations and complex domains. Auditors may need this ability to evaluate a business’s social performance in relation to its larger context.

- **Interpretation of the norms**: Although social auditors do not necessarily have a legal background, it is essential that they understand the applicable laws and in the right way. When the literal reading of the norm may cause problems with interpretation, the auditor shall:
  - Seek to understand the purpose of the law and avoid illogical conclusions
  - Be well-aware of the hierarchy of the different norms and authorities that issue those norms to prevent any contradiction
  - Use amfori BSCI’s mission and values to frame the interpretation of the auditee’s social performance
Annex 14: How to Integrate Gender Equality in the Due Diligence Strategy

This annex guides amfori BSCI participants on how to avoid gender discrimination and enable a work environment where all workers, including women, can freely exercise their civil and labour rights. Furthermore, it provides guidelines to auditors, which complement the amfori BSCI System Manual Part III.

INTRODUCTION

The amfori BSCI Code of Conduct states that “…Business partners shall not discriminate, exclude or have a certain preference for persons on the basis of gender…Workers shall not be harassed or disciplined on any of the grounds listed above.”

As amfori BSCI participants and their business partners abide to the amfori BSCI Code of Conduct, they are expected to play an active role in:

- Early detection of gender-based discrimination in their supply chains
- Proactively raise awareness of gender equality and provide necessary tools to create a working environment that promotes gender equality
- Promoting solutions and continuous improvement whenever gender-based discrimination has been identified in their supply chain

These efforts from the business community do not replace, but rather complement, all societal efforts, particularly legal reforms and education, needed to thrive in more equalitarian societies.

MAPPING OUT GENDER-BASED DISCRIMINATION

Discrimination may have a root cause based on prejudice(s). However, it is usually felt only when the discriminatory person uses some form of power over the person being discriminated against.

If amfori BSCI participants have identified gender equality as a distinct dimension of their sustainability strategy, they should map out their supply chain against the parameters below. This will define their priorities and allocate necessary resources towards extra vigilance on gender-based discrimination.

- **Geographic scope**: Unbalanced power dynamics and gender-based prejudice can manifest in different forms depending on the geographic region, depriving women from access to their civil and labour rights.
- **Exceptional crisis**: Migration and refugee corridors may have an impact in the regions where businesses source their goods. Over 50% of migrants worldwide are women, therefore business enterprises sourcing or based in those regions may have to address gender-based discrimination episodes on a scale previously unknown, due to the vulnerability faced by these women.
- **Production model (e.g. home workers)**: Working from home, in many regions, represents a great opportunity for women to reconcile family responsibilities with income earning. At the same time, it can be used as a vehicle to perpetrate gender-based discrimination.
• **Specific sector:** Certain sectors, or production lines, have traditionally relied on women-based workforce. As a consequence, women can be pigeonholed into those roles and be discriminated against, or refused for other positions or roles within a company.

In line with amfori’s mission, business enterprises can articulate these efforts as their contribution to the UN Sustainable Development Goals (SDGs):

- **Quality education:** Targets 4.5 on equal access to education
- **Gender equality:** Notably targets 5.2, 5.4, and 5.5
- **Decent work and economic growth:** Targets 8.5 on decent work and equal pay for all
- **Reduce inequalities:** Targets 10.3 on equal opportunity

**SPECIFIC MONITORING MEASURES**

Once amfori BSCI participants have identified where in their supply chains there is a high likelihood of gender-based discrimination, they need to identify monitoring strategies to address the issue.

Below are some examples of specific extra diligence that amfori BSCI participants may incorporate in their monitoring strategies (whether with amfori BSCI audits or other means) to early detect, monitor, and remediate possible gender-based discrimination in the supply chain:

**Use a Gender-Balanced Monitoring Team**

In addition to the necessary skills to identify subtle or endemic gender-based discrimination, the choice of a gender-balanced team (including for amfori BSCI audits) may be more effective when it comes to conducting interviews (e.g. female workers may prefer talking to another woman about their working conditions and standards of living).

**Pay Attention to Specific Areas Where Women may be Vulnerable**

No matter who conducts the monitoring, a third-party auditor or internal staff, certain areas have a higher likelihood of gender-based discrimination. Here are some examples of areas where special attention is required during monitoring:

- **Occupational health and safety:** The producer should take into consideration a women’s physiological needs, as well as specific gender-based health and safety risks (e.g. exposure to certain chemicals).
- **Recruitment practices**: Many recruiting practices can be a vehicle for gender-based discrimination. These practices can go from a completely draconian clause in labour contracts (e.g. compulsory virginity or pregnancy tests) to subtler discriminatory practices (e.g. lack of access to social security). Particular attention is required for indirect recruitment, as gender-based discrimination may be done by brokers or recruiting agencies.

- **Infrastructure**: The way a business provides housing, toilets, showers, or even appropriate diet in the canteen, may prevent women from receiving adequate protection and from being able to exercise their rights. Particular attention is to be given to workers' engagement and grievance mechanism access as a channel for women to articulate their demands and contribute to continuous improvement of the workplace.

**Interconnect Performance Areas to Women’s Working Conditions**

In the case of amfori BSCI audits, auditors will use the holistic approach to interconnect all performance areas that may directly or indirectly have an impact on women's working conditions and access to their rights. Notably, when assessing possible gender-based discrimination, amfori BSCI auditors will not only look at Performance Area 4: No Discrimination. They will assess other interlinked performance areas such as (but not limited to):

- Performance Area 3: The Rights of Freedom of Association and Collective Bargaining
- Performance Area 5: Fair Remuneration
- Performance Area 10: No Precarious Employment

**SPECIFIC REMEDY MEASURES**

Remedy is the expected reaction from business enterprises if they have identified situations in their premises or supply chains that go against labour and/or human rights.

The most common channels for capturing gender-based discrimination include:

- **amfori BSCI monitoring activities**: Auditors may identify procedures and practices that represent a gender-based discrimination and/or prevent women from exercising their rights. These findings, which relate to the evaluation against the amfori BSCI Code of Conduct, will trigger the need for a Remediation Plan. In these cases, the producer will lead the remediation process (starting by a root cause analysis) and the amfori BSCI linked participants (or at least the RSP holder) will support and monitor the improvement process.

- **Zero Tolerance Protocol**: Human rights flagrant violations and business behaviour that may endanger the independence of the audit are to be reported following this protocol. In all five zero tolerance alert grounds (see Annex 5: amfori BSCI Zero Tolerance Protocol), any possible particularity related to gender-based discrimination should be described by the auditor (e.g. Sumangali scheme qualifies as forced labour with a gender component).

- **Grievance mechanisms**: Operational grievance mechanisms or workers’ surveys can reveal gender-based discrimination in the supply chain of amfori BSCI participants. As grievance mechanisms only capture allegations from one side, this will require independent investigation and possible mediation towards remedy.
Once the issue(s) have been identified, the amfori BSCI system offers its participants two remedy approaches:

- **Individual remediation:** In this case the amfori BSCI participant (usually the RSP holder) will request that the concerned producer take the necessary remedial actions in an agreed time period. The amfori BSCI participant may assign through the amfori Academy specific capacity-building courses aimed at supporting the producer in its remediation efforts. Eventually, these efforts are verified in an amfori BSCI follow-up audit.

- **Collective remediation:** In this case the amfori BSCI linked participants join forces to support the concerned producer remediation path. This collective remediation can be facilitated by the amfori Secretariat (see Annex 5: amfori BSCI Zero Tolerance Protocol) or it can be organised among the concerned linked participants without amfori Secretariat participation.

In both cases, the use of a generic or tailor-made training may make a significant difference in the success of the remedy as a shift in the mind-set to enable working practices that stimulate gender equality.

**SPECIFIC CAPACITY BUILDING**

Here are some examples of capacity-building training to avoid gender-based discrimination in the workplace:

<table>
<thead>
<tr>
<th>Capacity-Building Training Content</th>
<th>Target Audience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Determine if gender-based discrimination is an issue in the supply chain</td>
<td>Management, human resources, supervisors</td>
</tr>
<tr>
<td>Draft and put in practice procedures to avoid gender-based discrimination</td>
<td>Human resources, supervisors</td>
</tr>
<tr>
<td>Create a human resources management role with a focus on gender equality</td>
<td>Human resources, top management</td>
</tr>
</tbody>
</table>

**SUCCESS INDICATORS AND REPORTING**

amfori BSCI participants may set specific targets and success indicators to promote gender equality in their supply chains.

By defining specific targets and related success indicators, amfori BSCI participants are in a better position to:

- Communicate their gender equality agenda among their staff and business partners
- Allocate necessary budget and human resources to reach their targets
- Communicate their commitment and progress to both internal and external stakeholders

Furthermore, amfori BSCI participants can leverage and monitor their progress using the amfori BSCI Commitment Formula (see Annex 11: How to understand the commitment formula).
Annex 15: How to Pre-Assess Potential Business Partners

This annex of the amfori BSCI System Manual guides amfori BSCI participants on how and when to conduct a pre-assessment with potential business partners.

INTRODUCTION

amfori BSCI participants may be hesitant to embark on a continuous improvement strategy with potential business partners (e.g. take the RSP to monitor its audit cycle and related capacity building) without having a minimum notion of the social risks that the business relationship may entail.

For that reason, the amfori BSCI system offers a quick risk assessment tool, known at the pre-qualification assessment (PQA). The PQA allows amfori BSCI participants to gain an initial understanding of a potential business partner’s social risks.

The information gathered through the PQA allows the amfori BSCI participant to define its next strategic steps (e.g. invite the producer to complete specific course available in the amfori Academy or request a full amfori BSCI audit).

CHARACTERISTICS

Similar to the self-assessment phase, pre-qualification of potential business partners is not mandatory within the amfori BSCI system.

It is at the discretion of the amfori BSCI participant to include this step as part of its amfori BSCI strategy.

A PQA can only be conducted for producers that either do not have an amfori BSCI audit history or where the last amfori BSCI audit expired more than 24 months ago. In these situations, the amfori BSCI participant can pre-qualify a potential business partner.

At the same time, any amfori BSCI audit will overrule the pre-qualification as the PQA is not conducted by accredited third party auditors and does not relate to the amfori BSCI audit cycle.

In this context, the pre-qualification assessment does not benefit from the:

- amfori BSCI audit integrity
- amfori BSCI Zero Tolerance Protocol
- amfori BSCI commitment formula

HOW TO USE A PRE-QUALIFICATION ASSESSMENT

The PQA questionnaire is an Excel document downloadable from the amfori BSCI platform once the amfori BSCI participant has linked to the profile of the concerned producer.
It includes four tabs:

- **Data evidence 1**: This tab mirrors the amfori BSCI audit data evidence section and allows the user to gather minimum data about the producer’s business activity.
- **Data evidence 2**: This tab aims at capturing information concerning subcontracting and other activities that may represent additional social risks (e.g. use of migrant workers).
- **Supply chain mapping**: This tab mirrors the amfori BSCI audit section on the supply chain mapping to allow the user to have a good overview on the supply chain of the potential business partner.
- **Pre-qualification assessment**: This tab includes 70 questions and relevant source of evidence (e.g. workers interview, documentary evidence, etc.), which will allow the user to estimate the probability of social risk:
  - High
  - Important
  - Moderate

The amfori BSCI participant is encouraged to develop an internal procedure on how to deal with the different PQA results so to provide a consistent answer to potential business partners, as well as instruct buyers accordingly.

For additional information on how to get the most out of the PQA approach see the amfori Academy.

To gain access to the pre-qualification template, see [Template 10: Pre-Qualification Assessment Questionnaire](#).
Annex 16: How to Draft and Read the Findings Report

This annex of the amfori BSCI System Manual guides auditors and amfori BSCI participants on how to draft and read the findings report.

The findings report is one of the elements of the amfori BSCI audit report. It allows the producer to receive a third party evaluation of its social performance and serves as a guide to advance the remediation process.

DRAFTING THE FINDINGS REPORT

After verifying all sources of evidence, the auditor will have the necessary background information to make a professional judgement (either individually or as part of a team) of a producer’s social performance.

For each performance area, the auditor will:

- Assign the question number and corresponding evidence to each finding
- Suggest a deadline for implementation of the necessary improvements or remediation
- Describe the identified good practices. For example, the producer has:
  - Developed a well-functioning management system, grievance mechanism, and anti-corruption procedure
  - Developed an excellent mechanism for workers’ engagement, particularly with regard to OHS risk-assessment
  - Calculated the living costs of its own workforce and defined a mechanism to ensure fair remuneration

In those cases where a producer’s performance (or lack of findings) leads to a ‘Very Good’ or ‘A’ rating the auditor must articulate in the findings report the good practices that corroborate such a good rating.

CLOSING MEETING

The closing meeting represents the end of the amfori BSCI audit. The auditor must invite management and workers’ representatives to be present and provide them with first-hand information on the purpose and outcome of the amfori BSCI audit.

The auditor(s) will:

- Describe the good practices and areas of improvement identified during the audit
- Clarify any potential doubt concerning the amfori BSCI audit and the next steps

Since an amfori BSCI rating is not accessible to the auditor until the audit questionnaire is submitted to the amfori BSCI platform, the auditor will only be able to provide an estimate of what in his/her view the final rating might be.

It is always advisable to use this opportunity to emphasize an amfori BSCI continuous improvement approach instead of speculating on the rating.
SIGNATURES IN THE FINDINGS REPORT

Once feedback and clarifications have been incorporated, a final findings report shall be printed out and signed by:

- Auditor
- Producer (legal representative or top management)
- Workers’ representative

The producer’s signature does not imply agreement on the content of the audit or the auditor’s conclusions. However, it is required to acknowledge that the audit has been conducted in a proper manner.

The producer and the workers’ representative may request that the auditor includes his/her own remarks in the findings report.

One copy of the findings report remains with the producer and the auditor keeps one copy.

READING THE FINDINGS REPORT

Once the amfori BSCI audit has been finalised, the next phase for the producer is strategic planning for remediation.

Reading and analysing the findings report will provide the necessary framework to:

- Discuss improvements necessary with the various departments
- Engage with workers and their representatives to get suggestions for improvement
- Estimate whether investment is needed and how to allocate budget in the most effective way

Producers’ responses to the findings report can be incorporated into a Remediation Plan (see Template 9).

Similarly, by reading the findings report, amfori BSCI participants can easily identify producers’ areas of improvement and good practices. However, it is advisable that amfori BSCI participants read the findings report in combination with other elements of the amfori BSCI audit report (e.g. data evidence) to get a better understanding of the producer’s situation and identify the best ways to support the producer in its continuous improvement (e.g. inviting it to complete a specific course in the amfori Academy).
Annex 17: How to Promote Responsible Recruitment

This annex of the amfori BSCI System Manual provides guidance to amfori BSCI participants and their business partners for increasing the promotion and monitoring of responsible recruitment practices, particularly in regions or industries where there may be a high level of migration.

PRINCIPLES OF RESPONSIBLE RECRUITMENT

Business enterprises recruit in a responsible manner when they take the necessary measures to ensure that both direct and indirect recruitment are based on these principles:

Transparency:

- Job seekers receive accurate information on employment conditions (e.g. payment, duties, and responsibilities) before they leave their location of origin
- Workers receive the contract terms in a language they understand
- Recruitment does not include any form of coercion to force workers into employment

Security:

- Workers are not subject to any form of coercion in the work relationship
- Workers can keep their passports and personal possessions without risk of retention or loss
- Workers are free to resign respecting the legal notice period

Employer Pays:

- Workers are not charged for costs related to recruitment
- Workers don’t get deductions from their wages to compensate recruitment costs

RESPONSIBLE RECRUITMENT IN PRACTICE

Business enterprises should set up the necessary procedures and infrastructure to implement responsible recruitment practices in their own business and encourage business partners to do the same, as it is a critical element of their human rights due diligence.

Actions to Ensure Responsible Recruitment

Mapping: The business should conduct an initial assessment of its current recruitment practices in relation to the principles above and identify potential gaps. Such a mapping should include:

- Interviews with the human resources manager and recruitment agencies (if applicable)
- A survey of workers and workers’ representatives
- An assessment of grievances received by the business over the years

Action plan: With the findings of this initial assessment, business enterprises should plan and prioritise the actions to be taken to embed responsible recruitment practices in its operations. The action plan should include:
- Defining the people or departments within the business enterprise that will be responsible to implement the plan
- A realistic budget to ensure the identified gaps can be addressed successfully
- Implementation procedures that describe the business’ responsible recruitment practice

**Continuous improvement**: Implementing responsible recruitment practices in business operations requires continuous adjustment and feedback from different stakeholders. To that aim, continuous improvement should include:

- Regular monitoring of the progress made
- Continuous training and capacity building of workers and management
- Engagement of workers and workers’ representatives
Annex 18 – How to Monitor Producer Organisations in the Food Sector

This annex of the amfori BSCI System Manual provides guidance to amfori BSCI participants and their business partners on how to monitor producer organisations in the food sector.

In addition, it complements Part III of the System Manual, amfori BSCI Auditing Interpretation Guidelines.

INTRODUCTION

Producers (e.g. farmers and freelancers) can voluntarily unite forces through producer organisations to pursue commercial and social goals. amfori BSCI participants may find the following producer organisations in their supply chains, especially in the food sector.

Cooperatives: A cooperative is a legal entity composed of an association of individuals (or cooperatives) united voluntarily to meet their common economic, social, and cultural needs and aspirations through a jointly owned and democratically controlled enterprise.

Cooperatives abide to the following principles:

- Voluntary and open membership
- Democratic member control
- Members’ economic participation
- Autonomy and independence
- Education, training, and information
- Cooperation among cooperatives
- Concern for community

Cooperatives are often promoted through national legislation, in line with ILO Recommendation Number 193 on the promotion of cooperatives (2002).

Producer associations: Producer associations are legal entities voluntarily formed by individuals (or associations) to promote their common interests and achieve economies of scale.

Like cooperatives, producer associations conduct specific economic or commercial functions such as sales, marketing, processing, supply of inputs, technical and extension services, access to finance, and access to information, amongst others. However, they don’t need to abide by the principles of cooperatives.

The legal framework that defines the scope of action of producer associations varies per country.
CLASSIFYING PRODUCER ORGANISATIONS

As part of the amfori BSCI due diligence implementation strategy, amfori BSCI participants may put producer organisations into the following groups, based on their structure:

- **1st-level producer organisation**: All its members are individuals.
- **2nd-level producer organisation**: All its members are legal entities (e.g. cooperatives or associations).
- **Hybrid producer organisation**: Its members are a mix of individuals and legal entities.

The figure below depicts these structures visually.

![Producer Organisations Diagram](image)

**Figure 1: Producer Organisations**

PRODUCER ORGANISATIONS AND WORKING RELATIONSHIPS

The structure of the producer organisations defines the working relations and conditions, which may have an impact on the amfori BSCI participants’ due diligence strategy.

Within producer organizations, these are the most common working relationships:

- **Workers employed by the producer organisation**: The producer organisation may directly or indirectly hire workers to support its activities (e.g. administration, commercialization, processing, and production).
- **Members**: Individual members of the producer organisation may contribute with their expertise to the organisation's goals. These contributions are not ruled by labour law and therefore may be compensated in other ways without requiring labour remuneration.
- **Member-workers**: Individual members of the producer organisation may be hired by the producer organisation. This type of relationship is ruled by labour law and therefore these member-workers should be remunerated accordingly (e.g. wages and social security).
- **Workers employed by members of the producer organisation**: Members of the organisation (individuals or legal entities) may directly or indirectly hire workers to support their activities (e.g. workers on farms).

If the producer organisation has signed the [amfori BSCI Code of Conduct](#) and relevant [Terms of Implementation](#), it will need to take the necessary measures to ensure that working conditions are organised in line with the values and the principles of the amfori BSCI Code of Conduct. For more information, see the [amfori BSCI System Manual Part IV](#), Guidelines for Producers.
DEFINITION OF THE AMFORI BSCI AUDIT METHODOLOGY

Once an amfori BSCI participant has mapped out both the structure and the working relationships of the producer organisations in their supply chains, they may determine the amfori BSCI audit methodology that best fits their needs.

These are most common approaches within the amfori BSCI system:

1st Level Producer Organisations

amfori BSCI participants can:

- Include the organisation in the amfori BSCI platform with one DBID (i.e. one producer profile)
- Audit the 1st level producer organisation only (one-site) or include a sample of farms (multi-tier)

2nd Level Producer Organisations

amfori BSCI participants can follow two different approaches:

Option 1:

- Include the organisation in the amfori BSCI platform with one DBID (i.e. one producer profile)
- Audit as one site (i.e. only the 2nd level producer organisation)
- Keep the 1st level producer organisations as part of the supply chain mapping (without being audited)
Option 2:

- Include a separate DBID number for each 1<sup>st</sup> level producer organisation (i.e. one producer profile per 1<sup>st</sup> level producer organisation)
- Audit separately the 2<sup>nd</sup> level producer organisation from as many 1<sup>st</sup> level producer organisations as desired
- The RSP holder may include sampled farms in the audit scope since 1<sup>st</sup> level producer organisations have separate DBID numbers
Hybrid Producer Organisations

Option 1:

- Include the hybrid producer organisation in the amfori BSCI platform with one DBID (i.e. one producer profile)
- Audit as multi-tier (e.g. 2⁰ level producer organisation + sample of farms)
- Keep the 1⁰ level producer organisations as part of the supply chain mapping (without being audited)

Figure 5: Option 1 multi-tier audit

Option 2:

- Include the hybrid producer organisation in the amfori BSCI platform with one DBID (i.e. one producer profile)
- Audit as multi-tier (e.g. 2⁰ level producer organisation + sample of farms)
- Create separate DBID numbers for as many 1⁰ level producer organisations as desired to be audited separately

Figure 6: Option 2 Separate multi-tier audits
PART VI

Templates
Template 1: Business Partner Information

This template of the amfori BSCI System Manual is a tool amfori BSCI participants and their business partners can use to collect information on their supply chains. This information will help them to define the most appropriate monitoring strategy. 
Additional information is available in Part IV amfori BSCI Guidelines for Producers, Chapter 1: Data Collection and Management.

### BUSINESS CONTACT DETAILS

<table>
<thead>
<tr>
<th>Business name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal status:</td>
<td></td>
</tr>
<tr>
<td>Founding date:</td>
<td></td>
</tr>
<tr>
<td>Address:</td>
<td>Street number</td>
</tr>
<tr>
<td>Website address (if applicable):</td>
<td></td>
</tr>
<tr>
<td>Does it have production units?</td>
<td>Yes</td>
</tr>
<tr>
<td>Local currency:</td>
<td></td>
</tr>
<tr>
<td>Exchange rate to Euro:</td>
<td></td>
</tr>
<tr>
<td>Exchange rate date:</td>
<td>Day</td>
</tr>
</tbody>
</table>

### CONTACT PERSON DATA

<table>
<thead>
<tr>
<th>Contact person:</th>
<th>Job title</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>First name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Last name</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phone (including country code &amp; area code)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Primary language:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Official language for written communication</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Secondary language:
*Other relevant language for communication (if applicable)*

**PRODUCTION DATA**

Production volume

Production cost calculation

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

Lost time injury calculation cost *(part of the accident records)*

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

**PRODUCTION CALENDAR**

*In the table below, indicate the level of production activity for each month: L (low), M (medium), or H (high).*

<table>
<thead>
<tr>
<th>Month</th>
<th>Production activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>January</td>
<td></td>
</tr>
<tr>
<td>February</td>
<td></td>
</tr>
<tr>
<td>March</td>
<td></td>
</tr>
<tr>
<td>April</td>
<td></td>
</tr>
<tr>
<td>May</td>
<td></td>
</tr>
<tr>
<td>June</td>
<td></td>
</tr>
<tr>
<td>July</td>
<td></td>
</tr>
<tr>
<td>August</td>
<td></td>
</tr>
<tr>
<td>September</td>
<td></td>
</tr>
<tr>
<td>October</td>
<td></td>
</tr>
<tr>
<td>November</td>
<td></td>
</tr>
<tr>
<td>December</td>
<td></td>
</tr>
</tbody>
</table>

**CERTIFICATION OVERVIEW**

**Social and Environmental Certificates**

Name of the scheme:

Certificate or audit validity date

<table>
<thead>
<tr>
<th>Day</th>
<th>Month</th>
<th>Year</th>
</tr>
</thead>
</table>

Link to online version:

Name of the scheme:

<table>
<thead>
<tr>
<th>Day</th>
<th>Month</th>
<th>Year</th>
</tr>
</thead>
</table>
WORKING ENVIRONMENT

Workers’ organisation or trade union:

Workers’ organisation contact person, or workers’ representative:

Title (Mr./Mrs./Ms.)
First name
Last name
Position
Year of election

Relevant trade union (if any):
<table>
<thead>
<tr>
<th><strong>Valid collective bargaining agreement (if any):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Legal regular working hours:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Hours per week</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Legal regulation for overtime (if any):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Specific overtime premium rate for standard day off (if any):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Legal regulation of shifts (if any):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Standard day off in the country:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Select applicable days</strong></td>
</tr>
<tr>
<td>Monday</td>
</tr>
<tr>
<td>Tuesday</td>
</tr>
<tr>
<td>Wednesday</td>
</tr>
<tr>
<td>Thursday</td>
</tr>
<tr>
<td>Friday</td>
</tr>
<tr>
<td>Saturday</td>
</tr>
<tr>
<td>Sunday</td>
</tr>
</tbody>
</table>

### REMUNERATION PRACTICE IN THE COMPANY

<table>
<thead>
<tr>
<th><strong>Legal minimum wage:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Select the applicable unit</strong></td>
</tr>
<tr>
<td><strong>(in local currency)</strong></td>
</tr>
<tr>
<td>per hour</td>
</tr>
<tr>
<td>per day</td>
</tr>
<tr>
<td>per week</td>
</tr>
<tr>
<td>per month</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Calculated living wage:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Select the applicable unit</strong></td>
</tr>
<tr>
<td><strong>(in local currency)</strong></td>
</tr>
<tr>
<td>per hour</td>
</tr>
<tr>
<td>per day</td>
</tr>
<tr>
<td>per week</td>
</tr>
<tr>
<td>per month</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Specific industry-based remuneration (if any):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Description of legally granted social benefits:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Total minimum remuneration for a full-time worker (wages + social benefits):</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th><strong>Lowest wage paid by business for regular working time:</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>(in local currency)</strong></td>
</tr>
<tr>
<td>per hour</td>
</tr>
<tr>
<td>per day</td>
</tr>
<tr>
<td>per week</td>
</tr>
<tr>
<td>per month</td>
</tr>
</tbody>
</table>
## SITUATIONAL DESCRIPTIONS

Description of any specific situation that led to overtime in the past six months (if no situation, answer NONE):

Description of any accident that occurred in the past six months (if no accident, answer NONE):

Description of a strike, walkout, and/or protest during the past 12 months (if no strike, walkout, or protest, answer NONE):

Description of a highly risky production technique used that could harm workers’ health (e.g. sandblasting), or a less harmful replacement technique used (if neither, answer NONE):

Description of any voluntary practice or procedure meant to decrease the business’ adverse impact on the environment (if no such practice or procedure, answer NONE):
**Template 2: Supply Chain Mapping**

This template of the amfori BSCI System Manual helps producers collect information about their own business partners.

Producers may use one sheet for each business partner. Additional information is available in the Part IV, amfori BSCI Guidelines for Producers Chapter 1: Data Collection and Management and in Annex 10: How to Cascade amfori BSCI Through the Supply Chains.

This information is verified during the amfori BSCI audit or assessed in a pre-qualification assessment (if applicable).

<table>
<thead>
<tr>
<th>Business partner name:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Identification code assigned by the producer (if any):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact person:</th>
</tr>
</thead>
<tbody>
<tr>
<td>First name</td>
</tr>
<tr>
<td>Last name</td>
</tr>
<tr>
<td>Email</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Full address:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Street number</td>
</tr>
<tr>
<td>ZIP code</td>
</tr>
<tr>
<td>City</td>
</tr>
<tr>
<td>Region</td>
</tr>
<tr>
<td>Province</td>
</tr>
<tr>
<td>Country</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Type of business partner:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(e.g. subcontractor, farm)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Business partner since:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Year</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Number of total workers:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Distance from producer’s head office (Km):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kilometres</td>
</tr>
</tbody>
</table>
Significance of this business partner for the producer (select one):

- Low
- Medium
- High

For farms only - size in hectares:

- Hectares

Production seasons

<table>
<thead>
<tr>
<th>Main season</th>
<th>From month</th>
<th>To month</th>
</tr>
</thead>
<tbody>
<tr>
<td>Secondary season</td>
<td>From month</td>
<td>To month</td>
</tr>
</tbody>
</table>

Is this business partner part of the internal social management system?

- Yes
- No

Is it internally audited?

- Yes
- No

Does it have a social certificate?

- Yes
- No

Validity date of social certificate (if any):

<table>
<thead>
<tr>
<th>Day</th>
<th>Month</th>
<th>Year</th>
</tr>
</thead>
</table>

Has it signed the amfori BSCI Code of Conduct and relevant Terms of Implementation (mandatory for farms)?

- Yes
- No

Additional comments about the business partner (if any):
Template 3: Assessment for Smallholders and Family Farms

This template of the amfori BSCI System Manual helps producers to collect information and monitor social performance of business partners that are:

- **Smallholders:**
  - Farms that hire five or less workers (on a permanent or seasonal basis)
  - All performance areas apply to them
- **Family farms:**
  - Farms that use only family workforce
  - Only performance areas and questions marked with (*) apply

For farms with more than five hired workers, producers should use amfori BSCI Template 1: Business Partner Information.

<table>
<thead>
<tr>
<th>Name of the farm:</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Legal status:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Name of internal assessor: (if applicable)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Job title of internal assessor:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Product(s):</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total number of workers:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Checklist Questions per Performance Area</th>
<th>Not Started</th>
<th>In Progress</th>
<th>Already in Practice</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Performance Area 1:</strong> Social Management System and Cascade Effect</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This performance area does not apply to smallholders and family farms.
### Performance Area 2: Workers Involvement and Protection

The producer involves workers in workplace issues and exchanges information with them on the issues.

The producer takes specific steps to make workers aware of their rights and responsibilities.

### Performance Area 3: The Rights of Freedom of Association and Collective Bargaining

The producer respects the right of workers to form unions in a free and democratic way.

### Performance Area 4: No Discrimination

The producer takes the necessary measures to avoid or eradicate discrimination in the workplace.

The producer takes the necessary preventative and/or remedial measures to avoid workers being harassed or disciplined on grounds of discrimination as defined in the amfori BSCI Code of Conduct.

### Performance Area 5: Fair Remuneration

The producer pays its workers at least the legal minimum wage or a higher wage approved through collective bargaining.

The producer pays wages on time, regularly, and fully in legal tender.
Producer deductions to workers’ remuneration are only taken according to conditions prescribed by law.

**Performance Area 6: Decent Working Hours**

The producer does not require workers to work more than 48 regular working hours per week, unless exceptional cases are prescribed by law.

The producer does not require workers to work overtime but may do so in exceptional cases, always paying a premium rate.

* The producer grants workers the right to resting breaks in every working day.

* The producer grants workers the right to at least one day off in every seven days, unless a different agreement has been reached through collective bargaining.

**Performance Area 7: Occupational Health and Safety**

The producer cooperates with workers when developing and implementing systems to ensure a healthy and safe work environment.

* The producer enforces the use of personal protective equipment with other safety systems and procedures.

* The producer respects the workers’ right to remove themselves from imminent danger without seeking permission.

The producer provides workers with potable water at all times.
<table>
<thead>
<tr>
<th>* Performance Area 8: No Child Labour</th>
</tr>
</thead>
<tbody>
<tr>
<td>The producer does not engage illegal child labour directly or indirectly.</td>
</tr>
</tbody>
</table>

* Performance Area 9: Special Protection for Young Workers

| The producer ensures that young workers do not work at night and that they are protected against working conditions that are harmful to their health, safety, morals, and development. |
| The producer ensures that young workers’ working hours do not lower or affect their attendance at school or any other training or instruction programmes. |
| The producer seeks to ensure that young workers are properly trained on occupational health and safety. |
| The producer has a good overview of all young workers engaged in its production site(s). The overview may include the producer’s family members who support with ‘light work’. |

**Performance Area 10: No Precarious Employment**

| The producer does not provide employment relationships that cause insecurity for the workers. |
| The producer employs workers based on recognised employment relationships and keeps records of the contracts. |
The producer provides workers with understandable information on their rights and obligations before they start working.

**Performance Area 11: No Bonded Labour**

* The producer does not engage workers under any form of servitude or forced, bonded, indentured, trafficked, or non-voluntary labour.

The producer acts carefully and remains vigilant when recruiting and engaging migrant workers either directly or indirectly.

* The producer does not treat workers in an inhumane or degrading manner. Corporal punishment, mental or physical coercion, and/or verbal abuse are forbidden.

**Performance Area 12: Protection of the Environment**

The producer manages waste in a way that does not lead to the pollution of the environment.

The producer manages water in a way that respects the environment, particularly with respect to preserving local water sources.

**Performance Area 13: Ethical Business Behaviour**

The producer actively opposes corruption, extortion, or any form of bribery in its activities.

The producer keeps accurate information regarding its own activities and organisational structure.
Template 4: Working Hours Tracker

This template of the amfori BSCI System Manual supports producers to collect information on the working hours per worker. This allows producers to identify the trend in working hour peaks within three-month periods.

The data collection also helps to identify potential risks to workers’ health and safety due to the amount of working hours. Additional information is available in Part IV amfori BSCI Guidelines for Producers, Chapter 1: Data Collection and Management.

Date of birth: Day __________  Month __________  Year __________

Working in the facility since: Day __________  Month __________  Year __________

Department: ______________________________________________________________________

Working in shifts?  ☐ Yes  ☐ No

If yes, indicate the time schedule: ______________________________________________________________________

Describe resting breaks: ______________________________________________________________________

WORKING HOURS TABLE

**Quarter 1 (JANUARY - MARCH)**

<table>
<thead>
<tr>
<th>Working hours in each week</th>
<th>AVERAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Quarter 2 (APRIL-JUNE)**

<table>
<thead>
<tr>
<th>Working hours in each week</th>
<th>AVERAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Quarter 3 (JULY - SEPTEMBER)**

<table>
<thead>
<tr>
<th>Working hours in each week</th>
<th>AVERAGE</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Quarter 4 (OCTOBER - DECEMBER)**

**Working hours in each week**

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
<th>10</th>
<th>11</th>
<th>12</th>
<th>AVERAGE</th>
</tr>
</thead>
</table>

[Blank cells for individual weeks]
Template 5: Fair Remuneration Quick Scan

This template of the amfori BSCI System Manual helps producers to understand the living costs of its workforce within its regional context. This approach allows the living wage calculation to be specific to the context, and it creates an opportunity for constructive dialogue between management and the workers.

Additional information is available in Annex 9: How to Promote Fair Remuneration.

**REGIONAL CONTEXT INFORMATION**

<table>
<thead>
<tr>
<th>Local currency:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Average number of adult wage earners in a family:</td>
<td></td>
</tr>
<tr>
<td>Average number of children in a family:</td>
<td></td>
</tr>
<tr>
<td>Average number of adult dependents in a family:</td>
<td></td>
</tr>
<tr>
<td>Average number of adults in a family taking an education course after work:</td>
<td></td>
</tr>
<tr>
<td>Most common source of energy at home: (e.g. gas, electricity, or charcoal)</td>
<td></td>
</tr>
<tr>
<td>Most common mode of transportation:</td>
<td></td>
</tr>
<tr>
<td>Average distance between work and worker's home (in km):</td>
<td></td>
</tr>
<tr>
<td>Average distance between worker’s home and closest place for shopping (in km):</td>
<td></td>
</tr>
<tr>
<td>Average distance between worker’s home and closest school (in km):</td>
<td></td>
</tr>
<tr>
<td>Average distance between worker’s home and closest medical facility (in km):</td>
<td></td>
</tr>
<tr>
<td>Most common access to potable water at home: (e.g. public access or bottled water)</td>
<td></td>
</tr>
</tbody>
</table>
# Average Family Expenses Information

<table>
<thead>
<tr>
<th>Category</th>
<th>Cost in Local Currency</th>
<th>Number of Individuals</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Education</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transportation</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Food</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clothing</td>
<td>x</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Energy and Water Consumption</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Housing</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unexpected Events</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Savings</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total Family Basket:**

To calculate the percentage of the family’s expenses spent on food, first divide the total cost of the category “food” by the total family basket, and then multiply that number by 100:

**Percentage of expenses for food:**

---

## Calculation Formula

The living wage estimation is for an adult who is working full time (48 hours per week or the local maximum regular working hours per week).

To estimate the living wage, first divide the total family basket (calculated using the table above) by the number of wage earners in a family, and then multiply that number by 110% (discretionary income):

\[
\text{Number of Wage Earners per Family:} \quad \frac{\text{Total Family Basket} \times 110\%}{\text{Number of Wage Earners per Family}}
\]
**Template 6: Stakeholder Mapping**

This template of the amfori BSCI System Manual helps producers to identify potential allies for their continuous improvement. Producers should pay particular attention to identify the institutions or NGOs that could provide support to reintegrate children into society and to protect victims of bonded labour. Producers may use one sheet per stakeholder.

Additional information is available in Part IV, amfori BSCI Guidelines for Producers Chapter 1: Data Collection and Management.

**STAKEHOLDER CONTACT DETAILS**

<table>
<thead>
<tr>
<th>Stakeholder name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Date relationship began (year):</td>
<td></td>
</tr>
<tr>
<td>Contact person:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>First name</td>
</tr>
<tr>
<td></td>
<td>Last name</td>
</tr>
<tr>
<td></td>
<td>Email</td>
</tr>
<tr>
<td>Address:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Street number</td>
</tr>
<tr>
<td></td>
<td>ZIP code</td>
</tr>
<tr>
<td></td>
<td>City</td>
</tr>
<tr>
<td></td>
<td>Region</td>
</tr>
<tr>
<td></td>
<td>Province</td>
</tr>
<tr>
<td></td>
<td>Country</td>
</tr>
<tr>
<td>Stakeholder type:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Internal (e.g. worker)</td>
</tr>
<tr>
<td></td>
<td>External (e.g. trade union or client)</td>
</tr>
<tr>
<td>Specify stakeholder type (e.g. local NGO):</td>
<td></td>
</tr>
</tbody>
</table>
### RELATED TOPIC

<table>
<thead>
<tr>
<th>Anti-corruption</th>
<th>Occupational health and safety</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stopping child labour</td>
<td>Special protection for vulnerable workers</td>
</tr>
<tr>
<td>Freedom of association</td>
<td>Training</td>
</tr>
<tr>
<td>Grievance mechanism</td>
<td>Other</td>
</tr>
</tbody>
</table>

Relevant for child labour remediation?  [Yes] [No]

Relevant for protection of victims of bonded labour?  [Yes] [No]

Additional comments about stakeholder (if any):
Template 7: Young Workers Data

This template of the amfori BSCI System Manual helps producers to collect and keep accurate information on workers in an age group that requires special protection (e.g. between 16 and 18 years old or age thresholds defined by national law). This information should be verified by the auditor.

Additional information is available in Part IV amfori BSCI Guidelines for Producers, Chapter 1: Data Collection and Management.

First and last name: ____________________________

Date of birth: Day __ Month __ Year __

Working in the facility since: Day __ Month __ Year __

Department: ____________________________

Type of worker:  
☐ Permanent  ☐ Temporary  ☐ Seasonal

Recruited via:  
☐ Agency/Broker  ☐ Directly

Attending school or vocational training:  
☐ Yes  ☐ No

If yes, indicate the school hours or training schedule: ____________________________

Working time schedule: ____________________________

Training on access to grievance mechanisms?  
☐ Yes  ☐ No  ☐ Planned by ________________

Training on Occupational Health and Safety (OHS):  
Day: ________________  
Topics: ____________________________  
Frequency: ____________________________

Housing provided by producer?  
☐ Yes  ☐ No

Additional comments about the worker (if any): ____________________________
**Template 8: Grievance Mechanism Tracker**

This template of the amfori BSCI System Manual helps producers to gather and keep accurate information about any grievance submitted and its investigation. Grievances that have been submitted should be verified by an auditor.

Additional information is available in [Part IV amfori BSCI Guidelines for Producers, Chapter 1: Data Collection and Management](#) and in [Annex 4: How to Set Up a Grievance Mechanism](#).

Producers should complete a separate sheet for each grievance submitted.

<table>
<thead>
<tr>
<th>Grievance identification number:</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Date submitted:</td>
<td>Day</td>
<td>Month</td>
<td>Year</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**GRIEVANCE STEPS**

<table>
<thead>
<tr>
<th>Hearing of the Parties</th>
<th>Yes</th>
<th>No</th>
<th>Comments:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Further Investigation Needed</th>
<th>Yes</th>
<th>No</th>
<th>Comments:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Conclusion Reached and Accepted</th>
<th>Yes</th>
<th>No</th>
<th>Comments:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Has a Workers’ Representative Been Involved?</th>
<th>Yes</th>
<th>No</th>
<th>Comments:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Has the Grievance Escalated to a Higher Level?</th>
<th>Yes</th>
<th>No</th>
<th>Comments:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Has the Grievance Led to a Legal Case?</td>
<td></td>
<td></td>
<td>Comments:</td>
</tr>
<tr>
<td>---------------------------------------</td>
<td>---</td>
<td>---</td>
<td>-----------</td>
</tr>
<tr>
<td>Yes</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Template 9: Remediation Plan

This template of the amfori BSCI System Manual helps producers to define a Remediation Plan and achieve improvements in any performance area.

If remedial actions are defined after an amfori BSCI audit, a Remediation Plan should be uploaded on the amfori BSCI platform within 60 days of the audit date. The producer must use the format provided in the amfori BSCI platform.

Additional information is available in Part II amfori BSCI Monitoring Approach, Chapter 15: The Remediation Plan.

Company name: 

DBID: 

Audit date to which this Remediation Plan refers (if applicable): Day Month Year

The producer duplicates the below table as many times as there are performance areas with findings identified by the auditor (i.e. if there are findings in five performance areas, the producer fills in the table below five times accordingly).

PERFORMANCE AREA: (Fill in title)

Planned Actions Deadline Date

Day Month Year

Identified Needs

- Policy/Procedure
- Documentation/Data management
- Communication/Transparency
- Training
- Structural change
- Stakeholder engagement
- Other
Planned Actions

Person(s) in Charge

Financial Resources Allocated
# Template 10: Pre-Qualification Assessment Questionnaire

This template of the amfori BSCI System Manual displays the 70 questions included in the amfori BSCI Pre-Qualification Assessment (PQA). In addition, the PQA includes producer data collected through:

- **Template 1: Business Partner Information**
- **Template 2: Supply Chain Mapping**

Each question can be answered with Yes, No, or N/A (not available). Only questions marked with (*) can be answered with N/A. Questions marked as crucial and as critical indicate a higher level of risk.

The source(s) of evidence can be one or several of the following:

- MI: management interview
- WI: worker interview
- WRI: workers’ representative interview
- DE: documentary evidence
- SO: site observation

amfori BSCI participants can request and download the PQA under producer profile on the amfori BSCI platform.

For further guidance, see Annex 15: How to Pre-assess Potential Business Partners.

<table>
<thead>
<tr>
<th>Questions</th>
<th>Crucial</th>
<th>Answer</th>
<th>Sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong> The producer has provided all documents requested for review.</td>
<td>YES</td>
<td>MI WI WR DE SO</td>
<td></td>
</tr>
<tr>
<td><strong>2</strong> The producer has an Occupational Health and Safety (OHS) Policy.</td>
<td></td>
<td>MI WI WR DE SO</td>
<td></td>
</tr>
<tr>
<td><strong>3</strong> The producer uses subcontractors and declares them to the concerned clients.*</td>
<td></td>
<td>MI WI WR DE SO</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The producer makes workers aware of their rights and responsibilities.</td>
<td>CRITICAL</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>-------------------------------------------------------------------</td>
<td>---------</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>The producer respects the workers’ right to bargain collectively.</td>
<td>CRITICAL</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>The producer does not interfere in the workers’ representative election.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td><strong>The producer takes the necessary measures to avoid or eradicate discrimination in the workplace.</strong></td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>8</td>
<td>The producer takes the necessary measures to ensure workers are not disciplined or discriminated against for using a grievance mechanism.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>9</td>
<td>The producer takes the necessary measures to ensure female workers are not discriminated against, with special attention in the case of pregnancy.*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>10</td>
<td><strong>The producer complies with the government’s minimum wage legislation or the industry standard approved through collective bargaining.</strong></td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>The producer pays workers’ wages in a timely manner, regularly, and fully in legal tender. (Any in kind payment must be beyond the minimum wage.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>12</td>
<td>The producer pays apprentices, trainers, and workers on probation in accordance with the law.*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>The producer provides workers with an understandable wage slip. (At the minimum, this includes regular and overtime hours</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>worked regular and overtime premium payments, and any possible legal deductions.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>The producer provides workers with the social benefits that are legally granted.*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>15</td>
<td>The producer pays overtime at a premium rate no lower than 1.25 of the regular rate.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>16</td>
<td>The producer pays public holidays in accordance with the premium rate defined by law.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>17</td>
<td>The producer pays workers additional benefits as granted by law (e.g. bonuses, incentives, and allowances).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>18</td>
<td>The producer ensures that deductions are only taken under the conditions and to the extent prescribed by the law.</td>
<td>CRITICAL</td>
<td></td>
</tr>
<tr>
<td>19</td>
<td>The producer grants workers the right to resting breaks in every working day.</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>The producer grants workers the right to at least one day off in every seven days. (Collective bargaining may allow a different combination of days off.)</td>
<td>YES</td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>The producer observes applicable OHS regulations for its activities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>22</td>
<td>The producer conducts fire drills on a regular basis (if not defined by the law, at least once a year) in all premises and floors and during all shifts.</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>23</strong></td>
<td>The producer regularly provides OHS trainings to ensure workers understand their personal protection, including night shift workers (making sure that young workers and migrant workers have access to trainings).</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>24</strong></td>
<td>The producer documents the purchases of necessary PPE to provide continuous protection to workers.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>25</strong></td>
<td>The producer implements engineering and administrative control measures to avoid or minimise the release of hazardous substances into the work environment, keeping the level of exposure below internationally established or recognised limits.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>26</strong></td>
<td>The producer makes potential hazards visible to the workers and visitors through signs and warnings.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>27</strong></td>
<td>The producer has and properly uses procedures and systems for reporting and recording occupational accidents and injuries.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>28</strong></td>
<td>The producer confirms that the equipment and buildings used for production are stable and safe.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
| **29** | The producer respects the workers’ right to remove themselves from imminent danger without seeking permission.  

**CRITICAL** |
<p>| <strong>30</strong> | The producer documents each fire drill with, at the least, information on the date, announcement |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>31</strong></td>
<td>The producer ensures that electrical panels, wires, and outlets are protected and inspected regularly by certified staff.</td>
<td></td>
</tr>
<tr>
<td><strong>32</strong></td>
<td>The producer has installed an adequate amount of properly working firefighting equipment.*</td>
<td>YES</td>
</tr>
<tr>
<td><strong>33</strong></td>
<td>The producer ensures that firefighting equipment is inspected in a timely manner by an external party with the appropriate knowledge.*</td>
<td>YES</td>
</tr>
<tr>
<td><strong>34</strong></td>
<td>The producer has installed a fire alarm that works and is heard and recognised from all workplaces.*</td>
<td>YES</td>
</tr>
<tr>
<td><strong>35</strong></td>
<td>The producer ensures that, if a manual fire alarm is used, there is a clear designation of responsibilities and procedures to trigger the alarm.*</td>
<td>YES</td>
</tr>
<tr>
<td><strong>36</strong></td>
<td>The producer ensures that there are functioning fire extinguishers along emergency exit paths.*</td>
<td>YES</td>
</tr>
<tr>
<td><strong>37</strong></td>
<td>The producer ensures that all fire extinguishers are functioning, clearly visible, and accessible.*</td>
<td>YES</td>
</tr>
<tr>
<td><strong>38</strong></td>
<td>The producer ensures that fire extinguishers are in compliance with the legal requirements.*</td>
<td>YES</td>
</tr>
<tr>
<td><strong>39</strong></td>
<td>The producer ensures that fire extinguishers are inspected monthly by the responsible</td>
<td>YES</td>
</tr>
<tr>
<td>Q</td>
<td>Question</td>
<td>Answer</td>
</tr>
<tr>
<td>------</td>
<td>---------------------------------------------------------------------------------------------------</td>
<td>--------</td>
</tr>
<tr>
<td>40</td>
<td>The producer ensures that smoke detectors present in the workplace and related facilities are inspected monthly by a specialised external party.  *</td>
<td>YES</td>
</tr>
<tr>
<td>41</td>
<td>The producer ensures that escape routes, aisles, and emergency exits in the production site are unobstructed, easily accessible, and clearly marked and that they lead to an unobstructed and safe assembly point.  *</td>
<td>YES</td>
</tr>
<tr>
<td>42</td>
<td>The producer ensures emergency exits are located in a way that facilitates smooth evacuation (including two sets of stairs if the facility is located above the ground floor).  *</td>
<td>YES</td>
</tr>
<tr>
<td>43</td>
<td>The producer ensures that emergency lightening is connected to a secondary power source.  *</td>
<td></td>
</tr>
<tr>
<td>44</td>
<td>The producer ensures qualified first-aid is available at all times, including in the housing provided, with trained staff to administer first aid and written procedures to deal with work accidents.</td>
<td>YES</td>
</tr>
<tr>
<td>45</td>
<td>The producer ensures that there is a room for providing first-aid to its workers.</td>
<td></td>
</tr>
<tr>
<td>46</td>
<td>The producer ensures washing and toilet areas are equipped with soap.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The producer provides workers with potable water at all times, including at the housing provided. (Access to potable water is a human right.)</td>
<td>CRITICAL</td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>48</td>
<td>The producer provides workers with access to an appropriate, clean area for storing food, eating, and/or cooking.</td>
<td>YES</td>
</tr>
<tr>
<td>49</td>
<td>The producer ensures that fire drills are regularly conducted at the housing provided and documentation on the dates and method is maintained.</td>
<td></td>
</tr>
<tr>
<td>50</td>
<td>The producer ensures that the housing units are located in a safe environment, outside the production area and the storage areas (with particular vigilance to avoid contact with hazardous or inflammable substances).</td>
<td></td>
</tr>
<tr>
<td>51</td>
<td>The producer ensures that the evacuation plot plan is posted in a visible place at several locations in the housing zone to ensure workers can evacuate dormitories in safe conditions.*</td>
<td></td>
</tr>
<tr>
<td>52</td>
<td>The producer does not engage in illegal child labour directly or indirectly.</td>
<td>CRITICAL</td>
</tr>
<tr>
<td>53</td>
<td>The producer requests and keeps original legal documentation to verify workers’ ages at the hiring time, even if hiring is done indirectly (e.g. via brokers or recruiting agencies).</td>
<td></td>
</tr>
<tr>
<td>54</td>
<td>The producer ensures that young workers are protected against work conditions that are harmful to their health, safety, morals, and</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td>---</td>
</tr>
<tr>
<td>55</td>
<td>The producer ensures that young workers’ working hours do not affect their attendance at school, their participation in vocational orientations approved by the competent authority, or their capacity to benefit from training or instruction programmes.*</td>
<td>YES</td>
</tr>
<tr>
<td>56</td>
<td>The producer keeps accurate records and relevant documentation concerning young workers (e.g. copy of identity, working time, parental permission to work, course schedules, and vacation periods).*</td>
<td></td>
</tr>
<tr>
<td>57</td>
<td>The producer provides workers with understandable information concerning their rights and obligations before they enter into employment, even if hired indirectly.</td>
<td></td>
</tr>
<tr>
<td>58</td>
<td>The producer does not use employment arrangements in a way that deliberately conflicts with the genuine purpose of the law.</td>
<td>YES</td>
</tr>
<tr>
<td>59</td>
<td>The producer does not engage in any form of servitude, or forced, bonded, indentured, trafficked or non-voluntary labour.</td>
<td>CRITICAL</td>
</tr>
<tr>
<td>60</td>
<td>The producer takes additional precautions to avoid forced labour when engaging and recruiting migrant workers both directly and indirectly.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The producer ensures that workers don’t cover any of the costs related to accessing the job.</td>
<td></td>
</tr>
<tr>
<td>---</td>
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<tr>
<td>61</td>
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<tr>
<td>62</td>
<td>The producer maintains an overview of the way recruitment agencies or brokers pay subcontracted workers.*</td>
<td></td>
</tr>
<tr>
<td>63</td>
<td>The producer does not subject workers to inhumane or degrading treatment or verbal abuse.</td>
<td>YES</td>
</tr>
<tr>
<td>64</td>
<td>The producer does not subject workers to corporal punishment or mental or physical coercion.</td>
<td>YES</td>
</tr>
<tr>
<td>65</td>
<td>The producer has established all applicable disciplinary procedures in writing and has explained them verbally to workers in clear and understandable terms.</td>
<td>YES</td>
</tr>
<tr>
<td>66</td>
<td>The producer has the required environmental permits and licences.</td>
<td></td>
</tr>
<tr>
<td>67</td>
<td>The producer manages its generated waste in a way that does not lead to the pollution of the environment.</td>
<td></td>
</tr>
<tr>
<td>68</td>
<td>The producer actively opposes any act of corruption, extortion, or embezzlement, or any form of bribery, in its activities as a business enterprise.</td>
<td></td>
</tr>
<tr>
<td>69</td>
<td>The producer keeps accurate information regarding its own activities, structure, and performance in a way that avoids the risk of falsified documents or</td>
<td>YES</td>
</tr>
<tr>
<td>70</td>
<td>The reviewed documents are found to be free of any manipulation or falsification.</td>
<td></td>
</tr>
</tbody>
</table>
Template 11: Producer Self-Assessment

This template of the amfori BSCI System Manual can be used by most producers to self-assess their social performance.

The source(s) of evidence can be one or several of the following:

- MI: management interview
- WI: worker interview
- WRI: workers’ representative interview
- DE: documentary evidence
- SO: site observation

Exceptions include:

- Small producers: They should use Template 12: Small Producer Self-Assessment.
- Small holders and family farms: They should use Template 3: Assessment for Small-holders and Family Farms.

Additional information is available in Part IV amfori BSCI Guidelines for Producers.

<table>
<thead>
<tr>
<th>Name of main producer</th>
<th>Date:</th>
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<tbody>
<tr>
<td>Filled out by:</td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Performance Area 1: Social Management System and Cascade Effect</th>
<th>Source of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 The producer has set up an effective management system to implement the amfori BSCI Code of Conduct.</td>
<td>Not started</td>
</tr>
</tbody>
</table>

Main producer:

Farm 1: Click or tap here to enter text.

Farm 2: Click or tap here to enter text.
1.2 The producer appoints a senior manager to ensure that the amfori BSCI values and principles are followed in a satisfactory manner.

<table>
<thead>
<tr>
<th>Main producer:</th>
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<tbody>
<tr>
<td>Farm 1: Click or tap here to enter text.</td>
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<td>Farm 2: Click or tap here to enter text.</td>
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<td>Farm ( n ): Click or tap here to enter text.</td>
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</table>

<table>
<thead>
<tr>
<th>1.3 The producer knows who its significant business partners are and assesses how they understand and apply the amfori BSCI Code of Conduct.</th>
</tr>
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<tbody>
<tr>
<td>Main producer:</td>
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<tr>
<td>Farm 1: Click or tap here to enter text.</td>
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<td>Farm 2: Click or tap here to enter text.</td>
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<td>Farm ( n ): Click or tap here to enter text.</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>1.4 The producer organises its workforce capacity to meet the expectations of the delivery order and/or contracts.</th>
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<tr>
<td>Main producer:</td>
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<td>Farm 1: Click or tap here to enter text.</td>
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<td>Farm 2: Click or tap here to enter text.</td>
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<td>Farm ( n ): Click or tap here to enter text.</td>
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</table>
1.5 The producer monitors how its business partners observe the amfori BSCI Code of Conduct.

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<th>Farm n: Click or tap here to enter text.</th>
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</table>

1.6 The producer develops the necessary policies and procedures to prevent and address any harm done to workers in its supply chain (physically, financially or psychologically).

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<th>Main producer:</th>
<th>Farm 1: Click or tap here to enter text.</th>
<th>Farm 2: Click or tap here to enter text.</th>
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1.7 The producer manages its business relations in a responsible manner.

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Performance Area 2: Workers Involvement and Protection

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<th>Sources of evidence</th>
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<th>In progress</th>
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<tr>
<td>2.1 The producer involves workers and their representatives in workplace issues and exchanges information with them on the issues.</td>
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<table>
<thead>
<tr>
<th>2.2 The producer defines long-term goals to protect workers according to the amfori BSCI Code of Conduct.</th>
<th>Not started</th>
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2.3 The producer takes specific steps to make workers aware of their rights and responsibilities.

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2.4 The producer builds sufficient competence to successfully embed responsible practices in the operation of the business (involving managers, workers, and workers’ representatives).

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### Performance Area 3: The Rights of Freedom of Association and Collective Bargaining

#### 3.1 The producer respects the right of workers to form unions in a free and democratic way.

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#### 3.2 The producer respects the workers’ right to bargain collectively.

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<td>Main producer:</td>
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Sources of evidence
3.3 The producer does not discriminate against workers because of their trade union membership.

| Farm 1: Click or tap here to enter text. | Not started 😞 | In progress 😞 | Already in practice 😞 | MI | WI | WRI | DE | SO |
| Farm 2: Click or tap here to enter text. |               |               |                        |    |    |     |    |    |
| Farm n: Click or tap here to enter text. |               |               |                        |    |    |     |    |    |

Main producer:

Farm 1: Click or tap here to enter text.

Farm 2: Click or tap here to enter text.

Farm n: Click or tap here to enter text.

3.4 The producer does not prevent workers’ representatives from accessing or interacting with workers in the workplace.

| Farm 1: Click or tap here to enter text. | Not started 😞 | In progress 😞 | Already in practice 😞 | MI | WI | WRI | DE | SO |
| Farm 2: Click or tap here to enter text. |               |               |                        |    |    |     |    |    |
| Farm n: Click or tap here to enter text. |               |               |                        |    |    |     |    |    |

Main producer:

Farm 1: Click or tap here to enter text.

Farm 2: Click or tap here to enter text.

Farm n: Click or tap here to enter text.

Performance Area 4: No Discrimination Sources of evidence
4.1 The producer takes the necessary measures to avoid or eradicate discrimination in the workplace.

<table>
<thead>
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<th>Not started</th>
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<th>Already in practice</th>
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<tbody>
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</tbody>
</table>

Main producer:

Farm 1: Click or tap here to enter text.

Farm 2: Click or tap here to enter text.

Farm n: Click or tap here to enter text.

4.2 The producer ensures workers are not disciplined, dismissed, or discriminated against because of their complaints against infringements of their rights.

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</table>

Main producer:

Farm 1: Click or tap here to enter text.

Farm 2: Click or tap here to enter text.

Farm n: Click or tap here to enter text.

4.3 The producer takes the necessary measures to keep workers from being harassed or disciplined based on any of the grounds of discrimination.

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</table>

Main producer:
<table>
<thead>
<tr>
<th>Performance Area 5: Fair Remuneration</th>
<th>Sources of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1 The producer complies with the government’s minimum wage legislation or the industry standard approved through collective bargaining (if applicable).</td>
<td>Not started</td>
</tr>
<tr>
<td>Main producer:</td>
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<tr>
<td>5.2 Wages are paid in a timely manner, regularly, and fully in legal tender.</td>
<td>Not started</td>
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<tr>
<td>Main producer:</td>
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5.3 The level of wages paid to workers reflects their skills and education.

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Main producer:

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5.4 The producer provides sufficient remuneration that allows workers to meet a decent living standard.

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Main producer:

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5.5 The producer provides workers with the social benefits that are legally granted.

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Main producer:

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### 5.6 The producer ensures that deductions from wages are only taken under the conditions and to the extent prescribed by the law.

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### Performance Area 6: Decent Working Hours

#### 6.1 The producer does not require more than 48 regular working hours per week, without prejudice to the exceptions recognised by the ILO.

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#### 6.2 The producer’s request of overtime is in line with the

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requirements of the BSCI Code of Conduct.

Main producer:

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Farm n: Click or tap here to enter text.

<table>
<thead>
<tr>
<th>6.3 The producer grants workers the right to resting breaks in every working day.</th>
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<th>Already in practice 🐰</th>
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<th>6.4 The producer grants workers the right to at least one day off in every seven days.</th>
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## Performance Area 7: Occupational Health and Safety

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<tr>
<th>Sources of evidence</th>
<th>7.1 The producer observes applicable occupational health and safety (OHS) regulations.</th>
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<th>Sources of evidence</th>
<th>7.2 The producer seeks workers’ protection in case of accident, including through compulsory insurance schemes.</th>
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<th>Sources of evidence</th>
<th>7.3 The producer regularly carries out risk assessments for safe, healthy, and hygienic working conditions.</th>
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**Main producer:**

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7.4 There is active cooperation between management and workers (and/or their representatives) when developing and implementing systems towards ensuring OHS.

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7.5 The producer regularly provides OHS trainings to ensure workers understand the rules of work, personal protection, and measures for preventing and reacting to accidents.

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<td><strong>7.6</strong> The producer enforces the use of personal protective equipment to provide protection to workers in conjunction with other facility controls and safety systems.</td>
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**7.7** The producer implements engineering and administrative control measures to avoid or minimise the release of hazardous substances into the work environment (keeping the level of exposure below internationally established or recognised limits). | Not started ☻ | In progress ☻ | Already in practice ☻ | MI | WI | WRI | DE | SO |
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7.8 The producer develops and implements accident and emergency procedures.

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7.9 The producer makes potential hazards visible to the workers through signs and warnings.

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7.10 The producer has and properly uses procedures for recording and reporting occupational accidents and injuries.

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7.11 The producer seeks the stability and safety of the equipment and buildings used for production.

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7.12 The producer respects the workers’ right to remove themselves from imminent danger without seeking permission.

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7.13 The producer makes sure a competent person periodically checks the

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7.14 The producer has installed an adequate amount of firefighting equipment that works properly.

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7.15 The producer ensures that escape routes, aisles, and emergency exits in the production site are easily accessible, clearly marked, and not blocked.

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7.16 The producer ensures evacuation plans meet legal requirements and are posted in relevant places so workers can see and understand them.

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7.17 The producer ensures adequate safeguards for any machine part, function, or process that may cause injury to workers.

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7.18 The producer ensures qualified first-aid is available at all times.

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7.19 The producer has emergency procedures to deal with cases of trauma or serious illness. These procedures must be in writing.

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7.20 The producer provides potable water for workers at all times.

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<td>7.21 The producer provides workers with access to an appropriate, clean area for storing food, eating, and/or cooking.</td>
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<td>7.22 The producer provides workers with clean washing facilities, changing rooms, and toilets that are respectful of local customs.</td>
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7.24 The location of the social facilities or workers’ housing ensures that users are not exposed to natural hazards or affected by the operational impacts of the worksite (e.g. noise, emissions, and dust).

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7.25 The producer verifies that temperature, humidity, space, sanitation, and illumination are adequate for the health and safety of workers.

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### Performance Area 7: No Child Labour

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<tr>
<td>8.1 The producer does not engage in illegal child labour directly or indirectly.</td>
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8.2 The producer establishes robust age-verification mechanisms as part of the recruitment process, which may not be in any way degrading or disrespectful to the worker.

Main producer:

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8.3 The producer has adequate policies and procedures in writing for
8.4 The producer has adequate and remedial policies and procedures to provide further protection in case children are found to be working.

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9.1 The producer ensures that young workers do not work at night and are protected against conditions of work that are harmful to their health, safety, morals, and development.

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9.2 Young workers’ working hours do not affect their attendance at school, their participation in vocational orientations approved by the competent authority, or their capacity to benefit from training or instruction programmes.

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9.3 The producer establishes the necessary mechanisms to prevent, identify, and mitigate harm to young workers.

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<th>9.4 The producer seeks to ensure that young workers have access to effective grievance mechanisms.</th>
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<tr>
<th>9.5 The producer seeks to ensure that young workers are properly trained on Occupational Health and Safety and have access to related training programmes.</th>
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<tr>
<th>9.6 The producer has a good overview of all young workers engaged in its production site.</th>
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## Performance Area 10: No Precarious Employment

### 10.1 The producer’s employment relationships do not cause insecurity for the workers.

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### 10.2 The producer engages workers based on recognised and documented employment relationships.

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- **Main producer:**
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## 10.3 The producer provides workers with understandable information before entering into employment.

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## 10.4 The producer does not use employment arrangements in a way that deliberately conflicts with the genuine purpose of the law.

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### Performance Area 11: No Bonded Labour

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### Sources of evidence

11.1 The producer does not engage in any form of servitude, or forced, bonded, indentured, trafficked, or non-voluntary labour.
### 11.2 The producer acts rigorously and diligently when engaging and recruiting migrant workers both directly and indirectly.

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### 11.3 The producer does not subject workers to inhumane or degrading treatment, corporal punishment, mental or physical coercion, or verbal abuse.

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## Performance Area 12: Protection of the Environment

### 12.1 The producer continuously identifies the significant impacts and environmental implications associated with its activities.

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### 12.2 The producer has procedures in place to ensure integration of local environmental law into the business performance.

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### 12.3 The producer has and maintains required environmental permits and licences.

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### 12.4 The producer manages waste in a way that does not lead to the pollution of the environment.

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### 12.5 The producer manages water in a way that respects the environment, including preserving local water sources.

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Performance Area 13: Ethical Behaviour

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<tr>
<td>13.1 The producer actively opposes any act of corruption, extortion, or embezzlement, or any form of bribery, in its activities as a business enterprise.</td>
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Main producer:

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13.2 The producer keeps accurate information regarding its own activities, structure, and performance.

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Main producer:

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13.3 The producer takes the necessary measures to prevent the falsification of information related to its activities, structure, and performance and any act of

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misrepresentation of its supply chain.

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13.4 The producer collects, uses, and processes personal information with reasonable care and in accordance with privacy and information security laws and regulatory requirements.

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Template 12: Small Producer Self-Assessment

This template of the amfori BSCI System Manual can be used by small producers. It gives them an overview of the 47 questions included in the amfori BSCI Small Producer Assessment (SPA).

The SPA also includes producer data collected in:

- Template 1: Business Partner Information
- Template 2: Supply Chain Mapping

For additional information, see Annex 12: How to Assess Small Producers and Part IV amfori BSCI Guidelines for Producers.

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### Performance Area 1: Social Management System and Cascade Effect

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1.1 Is there satisfactory evidence that the producer has understood the importance of implementing the amfori BSCI Code of Conduct in its small business?

- Not started ¤
- In progress ø
- Already in practice ²

Producer:

1.2 Is there satisfactory evidence that the producer has informed workers of its adherence to the amfori BSCI Code of Conduct?

- Not started ¤
- In progress ø
- Already in practice ²

Producer:

1.3 Is there satisfactory evidence that the producer has a good overview of the significant business partners?

- Not started ¤
- In progress ø
- Already in practice ²

Producer:
<table>
<thead>
<tr>
<th>Performance Area 2: Workers Involvement and Protection</th>
<th>Source of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.1 Is there satisfactory evidence that the producer takes specific steps to make workers aware of their rights and responsibilities?</td>
<td>MI WI WRI DE SO</td>
</tr>
<tr>
<td>Producer:</td>
<td></td>
</tr>
<tr>
<td>2.2 Is there satisfactory evidence that the producer has an effective channel to address any workers' complaints?</td>
<td>MI WI WRI DE SO</td>
</tr>
<tr>
<td>Producer:</td>
<td></td>
</tr>
<tr>
<td>3.1 Is there satisfactory evidence that the producer respects the right of workers to form or join unions in a free and democratic way?</td>
<td>MI WI WRI DE SO</td>
</tr>
<tr>
<td>Producer:</td>
<td></td>
</tr>
<tr>
<td>3.2 Is there satisfactory evidence that the producer does not discourage consultations and negotiations between workers and management?</td>
<td>MI WI WRI DE SO</td>
</tr>
<tr>
<td>Producer:</td>
<td></td>
</tr>
<tr>
<td>Performance Area 4: No Discrimination</td>
<td>Source of evidence</td>
</tr>
<tr>
<td>4.1 Is there satisfactory evidence that the producer takes the necessary measures to avoid or eradicate discrimination in the workplace?</td>
<td>MI WI WRI DE SO</td>
</tr>
</tbody>
</table>
4.2 Is there satisfactory evidence the producer takes the necessary preventative and/or remedial measures to keep workers from being harassed or disciplined based on grounds of discrimination as listed in the amfori BSCI Code of Conduct?

Performance Area 5: Fair Remuneration

5.1 Is there satisfactory evidence that wages are paid in a timely manner, regularly, and fully in legal tender?

5.2 Is there satisfactory evidence that the producer provides sufficient remuneration that allows workers to meet a decent standard of living?

5.3 Is there satisfactory evidence that the producer provides workers with the social benefits that are legally granted?

5.4 Is there satisfactory evidence that the producer ensures that deductions are only taken under the conditions and to the extent prescribed by the law?
### Performance Area 6: Decent Working Hours

<table>
<thead>
<tr>
<th>Source of evidence</th>
<th>Not started</th>
<th>In progress</th>
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<tbody>
<tr>
<td>MI</td>
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</tbody>
</table>

**6.1** Is there satisfactory evidence that the producer does not require more than 48 regular working hours per week, without prejudice to the exceptions recognised by the ILO?
- Not started
- In progress
- Already in practice

**6.2** Is there satisfactory evidence that the producer’s request of overtime is in line with the requirements of the amfori BSCI Code of Conduct?
- Not started
- In progress
- Already in practice

**6.3** Is there satisfactory evidence that the producer grants workers the right to resting breaks in every working day?
- Not started
- In progress
- Already in practice

**6.4** Is there satisfactory evidence that the producer grants workers the right to at least one day off in every seven days?
- Not started
- In progress
- Already in practice

---

### Performance Area 7: Occupational Health and Safety

<table>
<thead>
<tr>
<th>Source of evidence</th>
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</tbody>
</table>

**7.1** Is there satisfactory evidence that the producer observes the applicable occupational health and safety regulations for its activities?
- Not started
- In progress
- Already in practice
<table>
<thead>
<tr>
<th>Question</th>
<th>Not Started</th>
<th>In Progress</th>
<th>Already in Practice</th>
<th>MI</th>
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<th>SO</th>
</tr>
</thead>
<tbody>
<tr>
<td>7.2 Is there satisfactory evidence that the producer seeks to improve workers’ protection in case of accidents, including through compulsory insurance schemes?</td>
<td>☹️</td>
<td>☹️</td>
<td>☹️</td>
<td>MI</td>
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</tr>
<tr>
<td>7.3 Is there satisfactory evidence that the producer carries out risk assessments for safe, healthy, and hygienic working conditions?</td>
<td>☹️</td>
<td>☹️</td>
<td>☹️</td>
<td>MI</td>
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</tr>
<tr>
<td>7.4 Is there satisfactory evidence that the producer ensures workers understand the rules of work, personal protection, and measures for preventing and reacting to injury to themselves and fellow workers?</td>
<td>☹️</td>
<td>☹️</td>
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<tr>
<td>7.5 Is there satisfactory evidence that the producer enforces the use of PPE to provide protection to workers alongside other controls and safety systems?</td>
<td>☹️</td>
<td>☹️</td>
<td>☹️</td>
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<tr>
<td>7.6 Is there satisfactory evidence that the producer implements control measures to avoid or minimise the release of hazardous substances into the work environment, keeping the level of exposure below limits that can harm workers’ health or lives?</td>
<td>☹️</td>
<td>☹️</td>
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<td>7.7 Is there satisfactory evidence that the producer makes potential</td>
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<td>equipment and workspace used for production are safe?</td>
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<td>7.9 Is there satisfactory evidence that the producer respects the</td>
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<td>workers’ right to remove themselves from imminent danger without</td>
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<td>competent person periodically checks the electrical installations and</td>
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<td>7.11 Is there satisfactory evidence that the producer has installed an</td>
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<td>7.12 Is there satisfactory evidence that the producer ensures that</td>
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<td>escape routes, aisles, and emergency exits in the production</td>
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*Producer:*
### Site Accessibility

<table>
<thead>
<tr>
<th>Question</th>
<th>Not started</th>
<th>In progress</th>
<th>Already in practice</th>
<th>MI</th>
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</thead>
<tbody>
<tr>
<td>Is the site not blocked, easily accessible, and clearly marked?</td>
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Producer:

#### Safety

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<th>Question</th>
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</tr>
</thead>
<tbody>
<tr>
<td>7.13 Is there satisfactory evidence that the producer ensures adequate safeguards for any machine part, function, or process which may cause injury to workers?</td>
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Producer:

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<th>Already in practice</th>
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<th>DE</th>
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</tr>
</thead>
<tbody>
<tr>
<td>7.14 Is there satisfactory evidence that the producer ensures qualified first-aid is available at all times?</td>
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Producer:

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<tr>
<th>Question</th>
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<th>DE</th>
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</thead>
<tbody>
<tr>
<td>7.15 Is there satisfactory evidence that the producer provides workers with potable water at all times?</td>
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Producer:

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</tr>
</thead>
<tbody>
<tr>
<td>7.16 Is there satisfactory evidence the producer verifies that temperature, humidity, space, sanitation, and illumination are adequate for the health and safety of workers?</td>
<td></td>
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</table>

Producer:

### Performance Area 8: No Child Labour

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<th>Question</th>
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<th>In progress</th>
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</tr>
</thead>
<tbody>
<tr>
<td>8.1 Is there satisfactory evidence that the producer does not engage in illegal child labour directly or indirectly?</td>
<td></td>
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</table>

Producer:

### Source of Evidence
### Performance Area 9: Special Protection for Young Workers

#### 9.1 Is there satisfactory evidence that the producer ensures that young workers do not work at night and are protected against work conditions that are harmful to their health, safety, morals, and development?
- **Producer:**
  - Not started: ☹️
  - In progress: 😄
  - Already in practice: 😊

#### 9.2 Is there satisfactory evidence that young workers' working hours do not affect their attendance at school, their participation in vocational orientations approved by the competent authority, or their capacity to benefit from training or instruction programmes?
- **Producer:**
  - Not started: ☹️
  - In progress: 😄
  - Already in practice: 😊

#### 9.3 Is there satisfactory evidence that the producer has established the necessary mechanisms to prevent, identify, and mitigate harm to young workers?
- **Producer:**
  - Not started: ☹️
  - In progress: 😄
  - Already in practice: 😊

#### 9.4 Is there satisfactory evidence that the producer seeks to ensure that young workers are properly
- **Producer:**
  - Not started: ☹️
  - In progress: 😄
  - Already in practice: 😊
trained on OHS and have access to related training programmes?

Producer:

**Performance Area 10: No Precarious Employment**

<table>
<thead>
<tr>
<th>Source of evidence</th>
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<tbody>
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<td>Not started</td>
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</table>

10.1 Is there satisfactory evidence that the producer provides workers with understandable information before entering into employment?

Producer:

10.2 Is there satisfactory evidence that the producer does not use employment arrangements in a way that deliberately conflicts with the genuine purpose of the law?

Producer:

**Performance Area 11: No Bonded Labour**

<table>
<thead>
<tr>
<th>Source of evidence</th>
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<tr>
<td>Not started</td>
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</table>

11.1 Is there satisfactory evidence that the producer does not engage in any form of servitude, or forced, bonded, indentured, trafficked, or non-voluntary labour?

Producer:

11.2 Is there satisfactory evidence that the producer does not subject workers to inhumane or degrading treatment, corporal punishment, mental or physical coercion, or verbal abuse?

Producer:

**Performance Area 12: Protection of the Environment**

<table>
<thead>
<tr>
<th>Source of evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>MI</td>
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</tbody>
</table>
12.1 Is there satisfactory evidence of the producer’s required environmental permits and licences?

<table>
<thead>
<tr>
<th>No.</th>
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</table>

Producer:

12.2 Is there satisfactory evidence that waste is managed in a way that does not lead to the pollution of the environment?

<table>
<thead>
<tr>
<th>No.</th>
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Producer:

**Performance Area 13: Ethical Business Behaviour**

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</table>

Producer:

13.2 Is there satisfactory evidence that the producer takes the necessary measures to not be involved in falsifying information related to its activities, structure, and performance, nor in any act of misrepresentation of its supply chain?

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<thead>
<tr>
<th>No.</th>
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</table>

Producer:
Template 13: Self-Assessment on Gender Equality

This template of the amfori BSCI System Manual helps amfori BSCI participants and their business partners to identify significant gaps and opportunities for improvement in procedures and practices to prevent gender-based discrimination in the workplace and promote gender equality. amfori BSCI participants and their business partners may use the check list below to do an analysis of the capacity-building gap.

For additional information, see Annex 14: How to Integrate Gender Equality in the Due Diligence Strategy, Annex 13: How to Promote Capacity Building, and the amfori Academy.

<table>
<thead>
<tr>
<th>Name of producer:</th>
<th>Date:</th>
</tr>
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<tbody>
<tr>
<td>Filled out by:</td>
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</table>

1. Management System

<table>
<thead>
<tr>
<th>Source of evidence</th>
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</table>

1.1 Procedures are in place to ensure non-discrimination in recruitment processes.*

Producer:

1.2 An operational grievance mechanism is available that takes into consideration possible gender inequalities.*

Producer:

1.3 Training for workers, including managers, on non-discrimination is available, particularly for those
handling recruitment and the grievance mechanism.

Producer:

<table>
<thead>
<tr>
<th>1.4 Procedures and practices are in place to ensure a work environment free of violence, harassment, and sexual exploitation.*</th>
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</thead>
<tbody>
<tr>
<td>Not started</td>
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<tr>
<td>In progress</td>
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<td>Already in practice</td>
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Producer:

2. **Worker Involvement and Protection**

2.1 Operational procedures are in place to consult male and female workers in the identification of workplace risks and security issues, including travel to work and lodging.*

Producer:

<table>
<thead>
<tr>
<th>2.2 Training of male and female workers is available on specific risks linked to health and safety and on access to preventive measures.</th>
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<tbody>
<tr>
<td>Not started</td>
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</table>

Producer:

3. **Occupational Health and Safety**

3.1 Risk assessments are conducted considering relevant differentiations between male and female workers.*

Producer:
3.2 Procedures and practices are in place to ensure a healthy and safe work environment for all workers, including at the farm level if applicable.*

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<thead>
<tr>
<th>Not started</th>
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Producer:

3.3 Decent housing is provided with access to water, sanitation, and facilities (e.g. childcare) that takes gender specific needs into consideration.

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Producer:

4. Recruitment and Advancement

4.1 Procedures are in place to ensure non-discrimination in recruitment processes.*

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Producer:

4.2 Procedures are in place to ensure non-discrimination in professional development and promotion processes.

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<thead>
<tr>
<th>Not started</th>
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<th>Already in practice</th>
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Producer:

4.3 Female representation is present in supervisory and management positions.

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<th>Already in practice</th>
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Producer:

5. No Precarious Employment

5.1 Contractual arrangements provide an equal level of
employment security to all workers.

Producer:

<table>
<thead>
<tr>
<th>5.2 Protection is granted for pregnancy and childcare (e.g. removal from hazardous work and paid maternity leave).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Not started 😞</td>
</tr>
<tr>
<td>In progress 😞</td>
</tr>
<tr>
<td>Already in practice 😞</td>
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<tr>
<td>MI</td>
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</tbody>
</table>

Producer
Template 14: Capacity-Building Plan in the amfori Academy

This template of the amfori BSCI System Manual helps amfori BSCI participants and their business partners track the key training topics available in the amfori Academy. It provides a framework for creating a capacity-building plan that identifies key training courses, relevant employees to enroll, and expected deadline for completion.

Having such a capacity-building plan will support amfori BSCI participants to boost their performance on the amfori BSCI commitment formula (see Annex 11).

For further information, see Annex 13: How to Promote Capacity Building, and visit the amfori Academy.

Completed by (Name):
________________________________________________________________________

Date: ____________
Next review date: ____________

<table>
<thead>
<tr>
<th>Key Training Courses and Respective Format</th>
<th>Number and Names of Employees Assigned</th>
<th>Deadline Date for Completion</th>
<th>Number of Employees that Completed the Training</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: amfori BSCI Participants: How to Use amfori BSCI Audit Reports Effectively - Workshop</td>
<td>(#)</td>
<td>Example: October 2018</td>
<td>(#)</td>
</tr>
</tbody>
</table>

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Template 15: Commitment Formula Checklist

The amfori BSCI commitment formula translates the amfori BSCI Code of Conduct and Terms of Implementation into measurable goals and includes the existing requirements that define amfori BSCI participants’ minimum level of engagement.

The checklist below aims to facilitate your company’s implementation of the amfori BSCI commitment formula and guide you through the key measures to be carried out in order to stay on track in the implementation of amfori BSCI.

These practical steps will also help your company meet the Minimum Engagement Requirements and ensure your efforts are focused on your long-term performance improvement and ultimate success to build a more sustainable supply chain.

For further guidance see Annex 11: How to Understand the Commitment Formula.

<table>
<thead>
<tr>
<th>Actions to support you in the implementation of the BSCI system</th>
<th>✓</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Getting started</strong></td>
<td></td>
</tr>
<tr>
<td>Make yourself familiar with the amfori BSCI System Manual</td>
<td></td>
</tr>
<tr>
<td>Maintain your company profile in the amfori BSCI platform</td>
<td></td>
</tr>
<tr>
<td>Create your own producer list within the first 6 months</td>
<td></td>
</tr>
<tr>
<td>Login regularly to the amfori Academy and check out courses offered</td>
<td></td>
</tr>
<tr>
<td>Store your passwords for each amfori service (amfori website, amfori BSCI Platform, amfori Academy, amfori Sustainability Intelligence Dashboard, BEPI Platform)</td>
<td></td>
</tr>
<tr>
<td>Attend the ‘Introduction to amfori BSCI’ training offered in the amfori Academy within the first 6 months</td>
<td></td>
</tr>
<tr>
<td>Check the amfori Events and mark your calendar for the next Network Connect meetings and attend at least once a year</td>
<td></td>
</tr>
<tr>
<td>At least every month</td>
<td></td>
</tr>
<tr>
<td><strong>Check that the audit cycle of the producers in your list is valid</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Schedule a new audit before expiration to avoid automatic RSP release</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Read the upcoming audit reports</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Consider taking the RSP for those producers more strategic for your business if they are “orphan” in your producer list</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Create a producer profile for those of your producers that do not exist in the amfori BSCI platform</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Check if any data update in the amfori BSCI platform is necessary (e.g. make a producer “inactive”)</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Check that your producers have endorsed the amfori BSCI Code of Conduct and indicate it in the amfori BSCI Platform. If you do not have the RSP, contact the RSP holder and ask that it is indicated.</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Check that the audit report is uploaded in the amfori BSCI platform within 10 days after the audit</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Check in the amfori BSCI audit report (supply chain mapping section) that next tier business partners have endorsed the amfori BSCI Code of Conduct and encourage your producers to have this as business criteria for its own partners</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Check if remediation plans have been created by your business partners no later than 60 days after the audit date</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Support those producers in need of assistance to get the remediation plan implemented</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Actions you are required to take within your company**

<p>| <strong>At least every quarter</strong> |
| <strong>Login into the amfori BSCI platform and check your notifications in the system – the main contact person receives daily reminders if there are unread emails or alerts on the amfori BSCI Platform</strong> |
| <strong>Maintain your producer list</strong> |</p>
<table>
<thead>
<tr>
<th>Task</th>
<th>Description</th>
</tr>
</thead>
</table>
| Respond to audit invalidity notifications on time and request new    | notifications on time and request new audits in your producer list.  
| producer list                                                        |                                                                                                                                              |
| Check and correct the number of orphan producers in your producer    | list.  
| list                                                                |                                                                                                                                              |
| Complete any relevant course offered in the amfori Academy          |                                                                                                                                              |
| Involve your colleagues in training in the amfori Academy – their   | profiles must be created in the BSCI Platform by the main contact person to access the amfori Academy.  
| profiles must be created in the BSCI Platform by the main contact   | person to access the amfori Academy.  
| person to access the amfori Academy                                  |                                                                                                                                              |
| Invite your producers to complete relevant courses offered in the    | amfori Academy.  
| amfori Academy                                                      |                                                                                                                                              |
| Encourage your producers to enrol their female worker(s) into amfori  | BSCI trainings – include this information in the invitation email.  
| BSCI trainings – include this information in the invitation email    |                                                                                                                                              |
| Check if there are confidential comments in the audit report (online | version only) and do not hesitate to reach out the amfori secretariat if you need support.  
| version only) and do not hesitate to reach out the amfori secretariat|                                                                                                                                              |
| Based on need and if applicable                                      |                                                                                                                                              |
| Have always a second contact person with regard to amfori BSCI       | responsibilities to respond to urgent matters on time (e.g. zero tolerance cases).  
| responsibilities to respond to urgent matters on time (e.g. zero    | tolerance cases).  
| tolerance cases)                                                     |                                                                                                                                              |
| Inform the amfori Secretariat every time your main contact person or  | other contact details have changed.  
| other contact details have changed                                   |                                                                                                                                              |
| Participate in an ad hoc remediation conference call following the    | Annex 5: amfori BSCI Zero Tolerance Protocol.  
| Support your producers in zero tolerance and other severe crises     | cases to provide immediate remediation (see Annex 5: amfori BSCI Zero Tolerance Protocol).  
| cases to provide immediate remediation (see Annex 5: amfori BSCI     | Zero Tolerance Protocol).  
| Zero Tolerance Protocol).                                           |                                                                                                                                              |
| Follow up closely on the improvements made by producers working on   | the medium-term remediation plan on zero tolerance cases.  
| the medium-term remediation plan on zero tolerance cases             |                                                                                                                                              |
| Reach out to the amfori Secretariat if support is needed             |                                                                                                                                              |