

# Social Accountability Audit v2 Checklist

*Please note that the questions below pertain to both  
company and contracted labor.*

**Disclaimer: Auditees must follow all corresponding  
local/state/national regulations as they supersede the  
requirements within this checklist.**



# SOCIAL ACCOUNTABILITY AUDIT

Auditing Company: \_\_\_\_\_

Auditor: \_\_\_\_\_

Audit Start Time/Date: \_\_\_\_\_

Audit End Time/Date: \_\_\_\_\_

Organization: \_\_\_\_\_

Shipper (if applicable): \_\_\_\_\_

Contact: \_\_\_\_\_

City: \_\_\_\_\_

State: \_\_\_\_\_

Country: \_\_\_\_\_

Commodities (if applicable): \_\_\_\_\_

Audit Scope: \_\_\_\_\_

<b>SECTION 1 : CHILD LABOR</b>			
<b>Question No.</b>	<b>Question</b>	<b>Total Points</b>	<b>Auditor Comments</b>
1.1	Is there a declaration that states the employer is committed to upholding human rights and the International Labour Organisation's Fundamental Principles and Rights at Work?	1	
1.2	Does the employer refrain from, directly or indirectly, engaging in any act of corruption, extortion or embezzlement, or any form of bribery in violation of the Foreign Corrupt Practices Act, Anti-Boycotting Act, and similar applicable laws of the United States and the countries in which the employer does business?	1	
1.3	Do all employment conditions comply with local and national regulations with regard to workers age?	1	
1.4	Are all workers working at the company older than 14 years of age or in accordance with the country's current local/state/national regulations?	1	
1.5	Are there any restrictions (hours worked, night work, in hazardous conditions) for workers under 18?	1	
1.6	Are workers under the age of 18 restricted from work that is morally, mentally, or socially dangerous?	1	
1.7	Are workers under the age of 18 allowed to complete compulsory education (as per the national and local legislation)?	1	
1.8	Is there an applied procedure to verify the age of the workers?	1	
<b>SECTION 2 : FORCED LABOR</b>			
<b>Question No.</b>	<b>Question</b>	<b>Total Points</b>	<b>Comments</b>
2.1	Are all workers working voluntarily at this operation? i.e. no forced labor, human trafficking, debt-induced forced labor, indentured labor, bonded labor, threats of violence and/or threats of criminal penalty	1	
2.2	Does the operation employ workers that are prisoners, have been assigned by military, or any other branch of government?	1	
2.3	Are workers free to leave when their work shift ends?	1	
2.4	Are guards posted?	1	
2.5	If guards are posted, are they posted only for normal security reasons?	1	

SECTION 3 : WAGES / COMPENSATION			
Question No.	Question	Total Points	Comments
3.1	Do all employment conditions comply with local and national regulations with regard to wages and benefits?	1	
3.2	Are all workers provided with written information (in the hiring language) about the terms of their employment and compensation before entering employment (i.e., a written employment contract)?	1	
3.3	Are workers paid above the national and/or local minimum wage?	1	
3.4	Is there a fair and just pay scale system in place that allows for a livable pay wage?	1	
3.5	Are workers paid properly i.e. cash, valid checks and/or direct bank transfers?	1	
3.6	Is all the work time recorded in some way, e.g. a time card?	1	
3.7	Do workers agree with the work time documented (signature)?	1	
3.8	Are there deductions from worker wages ? If yes, are they fairly justified and expressly consented by both the employer and worker in writing?	1	
3.9	Are there no deductions for workers wages for disciplinary actions?	1	
3.10	Do workers regularly receive written and understandable information about employment conditions including wages and benefits?	1	
3.11	Do workers get paid for training, at or above the minimum wage?	1	
3.12	Do workers get paid for overtime? The overtime wage being equal to at least the basic wage or in accordance with current local/state/national regulations?	1	
3.13	Is there employer-sponsored transportation provided by the employer? If yes, is it safe, affordable and in compliance with legal requirements?	1	
3.14	If the employer relocates a worker from the original point of hiring, are workers returned to or can reasonably access the original hiring location at the time of the worker's termination?	1	
3.15	Are there incentive plans for workers (bonuses, awards etc.)?	1	

SECTION 4 : PENSIONS/RETIREMENT PLAN			
Question No.	Question	Total Points	Comments
4.1	Do all employment conditions comply with local and national regulations with regard to pensions/retirement plans?	1	
4.2	Does the employer offer pension/retirement plans to all qualified workers?	1	
SECTION 5 : WORKING CONDITIONS			
Question No.	Question	Total Points	Comments
5.1	Do all employment conditions comply with local and national regulations with regard to working hours?	1	
5.2	Does the work week not exceed 48 hours (or the local standard if less than 48 hours)?	1	
5.3	Are workers provided with at least one day off in every seven-day period?	1	
5.4	Is overtime in accordance with local/state/national regulations?	1	
5.5	Do workers have adequate time for a meal in each day?	1	
5.6	Do workers have time for breaks each day in accordance with local/state/national regulations?	1	
5.7	Is there an worker representative that can anonymously and confidentially convey other workers' questions regarding labor regulations, working conditions, complaints, etc to upper management?	1	
SECTION 6 : DISCRIMINATION			
Question No.	Question	Total Points	Comments
6.1	Does the employer not restrict employment by age, race, ethnic group, religion, gender, sexual orientation, political affiliation, national origin, caste, and/or disability?	1	
6.2	Does the employer not interfere with workers to exercise the rights of their observed tenets or practices, or to meet needs relating to race, caste, national origin, religion, disability, gender, sexual orientation, union membership, or political affiliation?	1	
6.3	Are workers given an equal opportunity to work overtime?	1	

6.4	Does the employer not allow behavior, including gestures, language and physical contact, that are sexually coercive, threatening, abusive or exploitative?	1	
6.5	Are all workers provided with transparent, fair, and confidential procedures that result in swift, unbiased and fair resolution of working condition difficulties which may arise as a part of the working relationship with the employer?	1	
<b>SECTION 7 : DISCIPLINARY PRACTICES</b>			
Question No.	Question	Total Points	Comments
7.1	Does the employer prohibit the use of corporal punishment, mental or physical coercion, and/or verbal abuse?	1	
7.2	Does the employer have disciplinary procedures and associated records?	1	
<b>SECTION 8 : FREEDOM OF ASSOCIATION</b>			
Question No.	Question	Total Points	Comments
8.1	Do all employment conditions comply with local and national regulations with regard to freedom of association, worker representation and unions?	1	
<b>SECTION 9 : HEALTH AND SAFETY</b>			
Question No.	Question	Total Points	Comments
9.1	Are workers entitled to worker compensation, disability, and unemployment coverage, social security, sick leave, and maternity or paternity leave as required under local/state/national regulations?	1	
9.2	In the event of workplace injuries or illnesses, does the employer provide transportation for workers to medical care, and facilitate the timely arrival of medical personnel to the premises?	1	
9.3	Are workers allowed to miss a shift or duty if ill, require medical attention, or otherwise prohibited from work on the advice of a medical professional? i.e. Covid-19	1	
9.4	Is there a designated individual who is responsible for the health and safety of all personnel?	1	
9.5	Are there any medically trained personnel on site? If yes, are there records to support medical staff training?	1	

9.6	Are all personnel receiving regular health and safety (incl. accident and emergency) training, and is the training repeated for new and reassigned personnel?	1	
9.7	Is a record of training maintained for each worker?	1	
9.8	Are there written accident and emergency procedures?	1	
9.9	Are there records of accidents and emergencies?	1	
9.10	Are accident and emergency procedures visually displayed in the appropriate language of the workforce?	1	
9.11	Is there adequate first aid equipment in close proximity to the work area?	1	
9.12	Are there fire extinguishers and/or sprinkler systems in the operation?	1	
9.13	Are fire extinguishers visible and within reasonable distance of workers?	1	
9.14	Are fire extinguishers appropriate for the types of possible fires in the various areas of the operation?	1	
9.15	Are fire extinguishers serviced and is there a record of this servicing?	1	
9.16	Are all exits clearly marked, unblocked and unlocked?	1	
9.17	Are fire escapes available for buildings more than one-story high?	1	
9.18	Are fire drills conducted?	1	
9.19	Is there acceptable clearance between work stations to allow passage in an emergency situation?	1	
9.20	Are aisles, exits and stairwells kept clear at all times?	1	
9.21	Are machines fitted with safety guards, and free from a fire or health hazard?	1	
9.22	Do workers have access to safe drinking water as defined by the WHO? <a href="https://www.who.int/water_sanitation_health/water-quality/guidelines/en/">https://www.who.int/water_sanitation_health/water-quality/guidelines/en/</a>	1	
9.23	Is the required personal protective equipment available at no cost to the worker?	1	
9.24	Is this personal protective equipment stored securely?	1	

9.25	Does the work environment appear free of pests, standing water, excessive dirt, mold/mildew and otherwise clean?	1	
9.26	Does the operation maintain clean and sanitary toilet areas and handwashing stations, and place no restriction on their use?	1	
9.27	Are sufficient toilets and handwashing stations provided for the workers, men and women?	1	
9.28	Are toilets and handwashing stations located a reasonable distance from the work site and are in accordance with local/state/national regulations?	1	
<b>SECTION 10 : WORKER HOUSING</b>			
Question No.	Question	Total Points	Comments
10.1	Is worker housing voluntary and affordable?	1	
10.2	Is worker housing clean, safe, well lit, properly ventilated, and kept at an adequate temperature range?	1	
10.3	Does the exterior of the buildings appear structurally sound and well maintained?	1	
10.4	Does worker housing have the basic (and clean) services and facilities, including washrooms, toilets and food preparation areas?	1	
10.5	Are adequate supplies of potable drinking water provided in the worker housing?	1	
10.6	Is the worker housing segregated by sex?	1	
10.7	Is worker housing designed in such a way as to prevent sexual harassment and abuse of any individual?	1	
10.8	Are workers provided their own individual sleeping space?	1	
10.9	Are workers allowed the freedom to move on/off the premises?	1	
10.10	Are directions for evacuation in the case of fire or other emergencies posted in all sleeping quarters in the native language?	1	
10.11	Does this operation have fire extinguishers in all sleeping quarters?	1	
10.12	Are exits clearly marked, unblocked and unlocked for evacuation purposes?	1	



10.13	Are fire escapes available for buildings more than one-story high?	1	
10.14	Are there no combustible materials stored in the worker housing or buildings connected to the worker housing?	1	
<b>SECTION 11 : ENVIRONMENTAL PROTECTION</b>			
Question No.	Question	Total Points	Comments
11.1	Does the employer adhere to all applicable environmental regulations?	1	
11.2	Is there a designated individual who is responsible for environmental issues?	1	
11.3	Is an environmental management system in place? The plan should outline objectives, systems in use (reduction, recycling etc.) and also note actions in case of emergencies	1	
11.4	Does the operation discharge into a sewer system?	1	
11.5	If not going to a municipal waste water treatment plant, is waste water treated prior to discharge?	1	
11.6	Are hazardous materials and/or hazardous waste appropriately stored, labeled, handled, and disposed of?	1	
11.7	Are all hazardous materials, chemicals, and substances used in accordance with local/state/national regulations?	1	
11.8	Are safety precautions and training in place regarding hazardous materials?	1	
11.9	Are workers trained specifically on the signs and symptoms of exposure to hazardous materials and/or hazardous waste?	1	
11.10	Are any measures taken to reduce or control air pollution?	1	
11.11	Is there a recycling program on site? E.g. packaging, oils, batteries, waste recycling etc.	1	