**ET107a Risk Assessment Issue 1   
Auditor Checklist and Site Self-Assessment Tool - English**

**1. Vital sign: senior management commitment**

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| **Fundamental** | **It is a fundamental requirement that senior management is committed to implementing and upholding the key principles and practices associated with ETRS.** | | | |
| Compliance criteria | | Control points | Complies with | Comments |
| **1.1** Management has signed a declaration confirming their commitment to implementing and upholding the principles and practices associated with ETRS. | | **1.1.1** Is there a signed declaration which confirms management’s commitment to implementing and upholding the principles and practices associated with ETRS?. |  |  |
| **1.2** A policy framework exists to ensure that: a) the company rules regarding ETRS are clearly defined, accessible and communicated to everybody;  b) everybody understands what is expected of them to ensure that these rules are complied with. | | **1.2.1** Is there a documented policy that covers at least the following:   * freedom of association and the right to collective bargaining * child labour * forced/bonded labour. * Discrimination? |  |  |
| **1.3** There is evidence that management has communicated the requirements of its policy  framework to the workforce. | | **1.3.1** Is there evidence that the policy has been communicated to employees? |  |  |
| **1.4** These policies are regularly reviewed to ensure that they remain current, relevant and applicable. Compliance is regularly and routinely monitored and non-compliances effectively remedied. | | **1.4.1** Is there evidence that these policies are regularly reviewed? |  |  |
| **1.4.2** Is there evidence that  compliance is routinely and regularly monitored and non-compliances effectively remedied? |  |  |
| **1.5** A member of senior management has been nominated to take responsibility for the company’s ETRS activities. | | **1.5.1** Has a member of senior  management been appointed, in writing, to be responsible for ETRS? |  |  |
| **1.6** Training is provided to all staff/workers affected by these policies so that they are aware of their rights and responsibilities with regard to ETRS. | | **1.6.1** Is there evidence that staff/workers have been made aware of these policies and informed about their rights and responsibilities in this regard? |  |  |
| **1.7** A TU/worker representative has been elected to represent the workforce and communicate with management on their behalf. | | **1.7.1** Has the worker representative been elected? |  |  |
| **1.7.2** Is there evidence of a free and fair election process? |  |  |
| **1.7.3** Is there evidence of (regular) communication between the worker representative and management? |  |  |
| **1.8** An effective feedback mechanism is provided through which workers can raise grievances and/or make suggestions without fear of reprisal. | | **1.8.1** Is there a documented procedure? |  |  |
| **1.8.2** Is there evidence that this has been communicated to workers? |  |  |
| **1.8.3** Is there evidence that demonstrates it works/that it is being used? |  |  |

**2 Vital sign: labour standards**

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| **Fundamental** | **It is a fundamental requirement that fair labour standards are observed and that workers are treated fairly and equally.** | | | |
| Compliance criteria | | Control points | Complies with | Comments |
| **2.1** Recruitment of labour, whether direct or indirect, is carried out formally, consistently and in compliance with relevant legislation or regulations. | | **2.1.1** Is there a formal, documented recruitment procedure? |  |  |
| **2.1.2** Do workers understand how the recruitment procedure works or is there evidence that workers have been informed about it? |  |  |
| **2.1.3** Is there a documented process that describes how labour providers (e.g. employment agencies, recruitment agents, brokers and other third parties) are approved? |  |  |
| **2.1.4** Are there records to demonstrate that the approval process is effectively applied? |  |  |
| **2.2** Workers are formally appointed, in writing, and are made aware of the terms and conditions of their employment before starting work. | | **2.2.1** Are workers provided with written terms and conditions/ employment contracts? |  |  |
| **2.2.2** Are workers required to sign their contracts? |  |  |
| **2.2.3** Do the written terms and conditions/employment contracts include at least the following details:   * Employer’s name and address * Employee’s name; job title; place of work and start date * Hours of ordinary work * Pay rate and frequency of pay * Holiday entitlement and other benefits * Notice period * Grievance and disciplinary procedures |  |  |
| **2.3** Workers can freely choose to accept the terms and conditions associated with the job. They are also able to freely terminate their contract of employment and there are no unreasonable restrictions of their movement. | | **2.3.1** Is a termination clause contained within the contract? |  |  |
| **2.3.2** Is there evidence that workers understand both the termination process and that they are free to leave if they so choose? |  |  |
| **2.4** Workers, without distinction, can join or form TUs of their own choosing and to bargain collectively. | | **2.4.1** Is there some form of worker  representation on site (either a formal TU or workers’ committee)? |  |  |
| **2.4.2** In the case of a workers’ committee, is there evidence of an election process, and a noticeable lack of any management involvement/influence? |  |  |
| **2.4.3** Is there evidence that workers have been (and are) made aware of their rights in this regard? |  |  |
| **2.4.4** Is there evidence that the system works? |  |  |
| **2.5** Children are not employed. | | **2.5.1** Is there an age verification procedure in place? |  |  |
| **2.5.2** Is the procedure documented? |  |  |
| **2.5.3** Is there evidence that the procedure is effective? |  |  |
| **2.6** The employment conditions of young workers conform with local laws or relevant ILO conventions. | | **2.6.1** Do the working conditions of young workers conform to local law/ILO conventions? |  |  |
| **2.6.2** During the site tour, was there any evidence that young workers were involved in tasks that were not suitable? |  |  |
| **2.6.3** Was there any evidence in payroll records or worker rotas that young workers were involved in overtime or working at night? |  |  |
| **2.7** Workers are paid a fair wage, which, as a minimum, meets the legal minimum wage (where it exists). | | **2.7.1** Is the site able to demonstrate awareness of the national minimum wage (where it exists)? |  |  |
| **2.7.2** Is there documentary evidence (e.g.payroll records) demonstrating that workers receive at least the minimum wage? |  |  |
| **2.7.3** Is there evidence that no nonstatutory deductions are made without the written consent of the worker(s) concerned? |  |  |
| **2.8** Workers are provided with written information about their pay with each payment. | | **2.8.1** Is there evidence that workers are given payslips? |  |  |
| **2.8.2** Do the payslips contain all the  necessary information? |  |  |
| **2.8.3** Is there evidence that workers have been made aware of the contents of their payslips? |  |  |
| **2.9** Workers are not required to work excessive hours. | | **2.9.1** Is there an effective system in place to record and monitor hours worked by each worker? |  |  |
| **2.9.2** Is there evidence that regulations regarding working hours are observed and workers do not regularly work more than 60 hours per week? |  |  |
| **2.9.3** Is overtime voluntary? |  |  |
| **2.9.4** Is overtime paid at premium and in line with local law? |  |  |
| **2.10** Workers are not treated unfairly or discriminated against based on their race, religion, sexual orientation, political affiliation, disability, gender, TU membership, age or natural origin. | | **2.10.1** Is there evidence the management have told workers about the policy regarding discrimination in the workplace? |  |  |
| **2.10.2** Is there evidence of a grievance mechanism through which workers can report cases of discrimination, harassment or abuse? |  |  |
| **2.10.3** Is there evidence that workers have been aware of the grievance mechanism: how it works, when to use it, what to expect, etc? |  |  |
| **2.11** Workers are not disciplined unfairly or subject to physical; verbal or psychological abuse. | | **2.11.1** Is there a documented disciplinary procedure? |  |  |
| **2.11.2** Is there evidence that workers have been made aware of the disciplinary procedure? |  |  |
| **2.11.3** Are records kept for all disciplinary cases? |  |  |

**3 Vital sign: health and safety**

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| **Fundamental** | **It is a fundamental requirement that work is performed in an environment that is safe, healthy and hygienic, that has the necessary safeguards and precautions in place and where workers are provided with training and equipment to protect them from harm.** | | | |
| Compliance criteria | | Control points | Complies with | Comments |
| **3.1** A documented health and safety risk assessment exists that identifies hazards in the workplace, the risks and risk levels associated with these hazards and the controls needed to minimise and manage these risks to within acceptable levels. | | **3.1.1** Is there a documented health, safety and welfare risk assessment? |  |  |
| **3.1.2** Is there evidence that management and workers have been informed about the risk assessment, including its contents and purpose? |  |  |
| **3.1.3** Is there physical evidence that some of the controls identified in the risk assessment have been put in place? |  |  |
| **3.2** A member of senior management has been appointed to be responsible for the management of health and safety  within the organisation. | | **3.2.1** Has a member of senior management been appointed (in writing) to be responsible for health and safety within the organisation? |  |  |
| **3.3** A trained worker representative has been elected to represent workers’ interests on matters of health and safety. | | **3.3.1** Has a worker been nominated and appointed to represent the workforce on matters relating to health and  safety? |  |  |
| **3.3.2** Is this appointment in writing? |  |  |
| **3.3.3** Is there evidence that the health and safety representative has received training specific to the role? |  |  |
| **3.3.4** Have workers been informed/made aware of who their representative is? |  |  |
| **3.4** Regular meetings take place between management and the health and safety representatives during which matters relating to the health, safety and welfare of workers and the working  environment are discussed. | | **3.4.1** Is there documentary evidence (e.g. meeting minutes or a schedule of planned meetings) of regular meetings? |  |  |
| **3.4.2** Are there records that show how items relating to health and safety in the workplace are dealt with? |  |  |
| **3.5** Workers receive regular and repeated training on matters relating to their health, safety and welfare in the workplace and this is recorded. | | **3.5.1** Is there evidence that workers have received basic health and safety induction and awareness training? |  |  |
| **3.5.2** Are workers able to demonstrate an understanding of their rights and responsibilities related to health, safety and welfare in the work place? |  |  |
| **3.5.3** Is there evidence that this training is done regularly and repeated for new workers and/or those being reassigned? |  |  |
| **3.6** Workers are provided with protective clothing and equipment that minimises the risk of personal harm or injury associated with their duties. | | **3.6.1** Are workers provided with personal protective equipment (PPE) at no cost to themselves? |  |  |
| **3.6.2** Is there physical evidence to show that PPE is being used? |  |  |
| **3.6.3** Is there evidence that PPE is regularly replaced (or at least as and when necessary)? |  |  |
| **3.7** Effective control measures exist for substances that are hazardous to health. | | **3.7.1** Are controlled substances stored properly? i.e. As a minimum, is the store:   * + locked?   + separate from other areas?   + properly ventilated?   + properly lit (must have artificial   lighting)   * + away from other materials, especially food? |  |  |
| **3.7.2** Are there clear written instructions on the proper handling of controlled substances? |  |  |
| **3.7.3** Is there evidence that access is restricted to authorised personnel only? |  |  |
| **3.8** Adequate measures are in place to deal with accidents and emergencies. | | **3.8.1** Is there a documented accident and emergency procedure? |  |  |
| **3.8.2** Has this been reviewed within the last 12 months? |  |  |
| **3.8.3** Is appropriate signage displayed around the facility? |  |  |
| **3.8.4** Are smoke detectors and fire alarms installed, and is there evidence that these are all in working order? |  |  |
| **3.8.5** Are fire extinguishers present and accessible near where work is being done? |  |  |
| **3.8.6** Is there evidence that these fire extinguishers have been inspected and serviced to ensure operability within the past 12 months? |  |  |
| **3.8.7** Are fire exits and escape routes clearly marked? |  |  |
| **3.8.8** Are fire exits and escape routes kept clear of obstructions at all times? |  |  |
| **3.8.9** Is there evidence that workers have been informed about what to do and where to go in the event of an emergency? |  |  |
| **3.8.10** Is there evidence that routine (at least annual) drills take place to familiarise workers and test the effectiveness of the control measures? |  |  |
| **3.9** Access to adequate first aid and  medical care is provided. | | **3.9.1** Is there evidence that fully stocked first aid kits are available? |  |  |
| **3.9.2** Are there properly trained first aiders present in the workplace? |  |  |
| **3.9.3** Are workers able to identify who the first aider is, or is there evidence that workers have been informed about who the qualified first aider(s) is/are? |  |  |
| **3.9.4** Is there evidence that further medical care is obtained where needed? |  |  |
| **3.10** All buildings and equipment are properly maintained so they pose no immediate health hazard to those on site. | | **3.10.1** Are buildings generally in good condition? |  |  |
| **3.10.2** Aside from normal wear and tear, is the machinery and equipment used on site generally in a good state of repair? |  |  |
| **3.10.3** Is there evidence that preventative maintenance and routine repairs are carried out on both buildings and equipment? |  |  |
| **3.10.4** Where present, are electrical installations adequately secured and safeguarded to prevent unauthorised access? |  |  |
| **3.10.5** Is there evidence that access to hazardous areas and/or machinery and equipment is restricted to authorised personnel only? |  |  |
| **3.10.6** Are hazardous areas identified with appropriate and relevant signage? |  |  |
| **3.10.7** Do workers understand what the signage means, or is there evidence that workers have been informed about what the signage means? |  |  |
| **3.11** Workers have access to enough drinking water and clean toilets as well as to facilities where they can store their food and personal belongings safely and securely. | | **3.11.1** Is drinking water provided in or near the place of work? |  |  |
| **3.11.2** Are there clean and hygienic toilet facilities that provide privacy for workers in or near the place of work? |  |  |
| **3.11.3** Is toilet paper provided? |  |  |
| **3.11.4** Are handwashing facilities available, with clean running water, soap and hand towels/hand dryers? |  |  |
| **3.11.5** Are there facilities for workers to store their food? |  |  |
| **3.11.6** Are facilities provided for workers to store their clothes? |  |  |
| **3.11.7** Is there secure storage where workers can keep their personal belongings and  valuables? |  |  |

**4 Vital sign: respecting human rights**

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| **Fundamental** | **It is a fundamental requirement that workers are treated with dignity and respect and that basic human rights are upheld.** | | | |
| Compliance criteria | | Control points | Complies with | Comments |
| **4.1** A member of senior management has been appointed to take responsibility for ensuring that human rights are respected in the work place. | | **4.1.1** Has a member of senior management been appointed as being responsible for human rights? |  |  |
| **4.1.2** Is the appointment in writing? |  |  |
| **4.2** Workers are not required to pay deposits or lodge their personal belongings to obtain work. | | **4.2.1** Does the company policy and/or recruitment procedure provide enough safeguards to ensure that workers don’t  have to pay deposits or incur any debt in the process of obtaining work? |  |  |
| **4.2.2** Is there evidence that this control applies to labour providers  (employment agencies, recruitment agents, brokers and other third parties) as well? |  |  |
| **4.2.3** Is there evidence that where workers’ identity documents are taken for age verification/other purposes that these are returned within a reasonably short time and not are withheld unreasonably by management? |  |  |
| **4.2.4** Do wage records show that workers receive their full wages and that no non-statutory deductions are made? |  |  |

**5 Vital sign: corporate governance**

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| **Fundamental** | **It is a fundamental requirement that the business commits to the highest standards of ethical conduct and integrity within its own operations and takes all necessary measures to ensure that the same principles are applied and observed by its suppliers.** | | | |
| Compliance criteria | | Control points | Complies with | Comments |
| **5.1** All legal requirements are met. | | **5.1.1** Is there a signed anti-bribery and corruption declaration? |  |  |
| **5.1.2** Is there evidence (such as a company registration number) that the business is a registered legal entity? |  |  |
| **5.1.3** Is there evidence that the company complies with statutory obligations, such as financial disclosure and tax and social security payments? |  |  |
| **5.2** Bribery; corruption or fraudulent practices are not tolerated. | | **5.2.1** Does the company policy expressly state that fraudulent behaviour such as bribery and corruption will not be tolerated? |  |  |
| **5.2.2** Has the policy been communicated to key staff members? |  |  |
| **5.3** Employees can report non-compliant business practices to senior management confidentially and without fear of reprisal. | | **5.3.1** Is there a whistle-blowing/ similar facility in place? |  |  |
| **5.3.2** Has this been made available to relevant workers? |  |  |
| **5.3.3** Is there evidence that workers’ identities are protected and/or that they can raise concerns without fear of reprisal? |  |  |
| **5.4** Information – both personal and corporate – is stored securely,  and data is suitably protected  from unauthorised access and/or  distribution. | | **5.4.1** Is there a documented data  protection/information security  policy? |  |  |
| **5.4.2** Is there evidence that workers have been trained/ informed how to use it? |  |  |