

## SA 8000 Applicant – Self Evaluation Questionnaire

### 1 Child Labor Issues

Evidence:

, <b>Management is aware of and respects applicable law/regulation regarding minimum age</b>	Y   N
, <b>Management is aware of and respects applicable law/regulation regarding young employees (&lt;18)</b>	Y   N
, <b>Practices comply with applicable laws/regulations?</b>	Y   N
, <b>Youngest employee recruited in last 2 years?</b>	__ Yr. __ Mo.
, Written policy on recruitment of children and young workers covers minimum age, school attendance, maximum hours, training, non-hazardous work, etc.?	Y   N
, Procedures to verify employees' ages at time of recruitment?	Y   N
, Documentary evidence of age on recruitment: birth certificate/ local record/ other?	Y   N
, Records of length of time employees employed at company?	Y   N
, Written policy and procedures for remediation of children found to be working (including at suppliers & subcontractors)?	Y   N
, Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding Child Labor and Young Workers readily available?	Y   N

### 2 Forced Labor Issues

Evidence:

, <b>Management is aware of, and respects applicable laws/regulation governing the use of forced, prison and indentured labor?</b>	Y   N
, <b>Practices comply with applicable laws/regulations?</b>	Y   N
, All employees are working voluntarily?	Y   N
, Any employees or active personnel other than free recruits?	Y   N
, Employees not required to lodge restrictive deposits or identity papers as a condition of recruitment or employment?	Y   N
, Any/all wage withholdings are legal and fair?	Y   N

## SA 8000 Applicant – Self Evaluation Questionnaire

, Employees free to leave workplace at end of shift or work-day?	Y N
, Employees free to leave dormitory areas (where applicable) during off-duty hours?	Y N N/A
, Employees' movements within the premises free from unreasonable restrictions?	Y N
, Wages paid regularly and on-time in cash/check form?	Y N
, Employees free of threats, harassment, physical or mental abuse/coercion from supervisors/management/security personnel?	Y N
, Employees free from unreasonably restrictive apprenticeship or training obligations to company	Y N
, Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding Forced Labor readily available?	Y N

### 3 Health & Safety Issues

*Note: Requirements in this section are applicable to both the workplace and dormitory accommodation (if applicable).*

Evidence:

, <b>Management aware of and respects applicable laws/regulations governing health and safety in the workplace? Typically at least..</b>	Y N
, <b>Basic Safety &amp; Accident Prevention (Including slips, falls, ladders, stairs, platforms, ergonomics).</b>	
, <b>Personal Protection (Including eyes, ears, hard, foot, whole body, lungs).</b>	
, <b>Hazardous Substances &amp; Chemical Safety / Employee Right-To-Know (Including, labeling, handling, storage, disposal, MSDS's, flammable and combustible liquids, solvents, asbestos).</b>	
, <b>Emergency Response &amp; Fire Prevention (Including fires, explosions, chemical hazards, natural disasters, emergency planning, response equipment, means of egress, first aid.)</b>	
, <b>Material Handling (Including lifting and lifting equipment)</b>	
, <b>Equipment Safety (Including confined spaces, electrical safety, lock-out/tag-out, machine hazards &amp; guards, welding/cutting/brazing, compressed gasses)</b>	

**SA 8000 Applicant – Self Evaluation  
Questionnaire**

Legal/Regulatory licenses/permits/certificates available and current? Typically at least..	Y	N
<p style="padding-left: 40px;"><b>Health &amp; safety - general</b></p> <p style="padding-left: 80px;"><b>Workplace facilities general (including occupancy)</b></p> <p style="padding-left: 80px;"><b>Machinery (including cranes, hoists, elevators etc.)</b></p> <p style="padding-left: 80px;"><b>Dormitory facilities (where applicable)</b></p> <p style="padding-left: 80px;"><b>Kitchen facilities</b></p> <p style="padding-left: 40px;"><b>Fire safety</b></p> <p style="padding-left: 40px;"><b>Hazardous chemicals handling, storage and disposal</b></p>		
Notifications to employees comply with laws and regulations (e.g. training, posting of “right-to-know” information – MSDS’s warning notices etc.)	Y	N
Employees trained as required by applicable law/regulation	Y	N
Health and safety practices comply with applicable laws/regulations?	Y	N
<b>Fire Preparedness</b>		
Fire extinguishers	Y	N
<p style="padding-left: 40px;">Sufficient number, good condition, properly located, accessible, correct type, properly charged, inspection tags/records, potential users familiar with operation, properly identified by signs?</p>		
Fire Hoses	Y	N
<p style="padding-left: 40px;">Sufficient number, good condition, properly located, accessible, inspection tags/records, potential users familiar with operation, properly identified by signs?</p> <p style="padding-left: 80px;">Connected to adequate water supply?</p> <p style="padding-left: 80px;">Suitable nozzles/branches?</p>		
Other fire suppression equipment – if any (sprinklers, chemical bombs, inert gasses etc.)	Y	N
<p style="padding-left: 40px;">Adequate for application, good condition and properly maintained?</p>		

**SA 8000 Applicant – Self Evaluation  
Questionnaire**

<ul style="list-style-type: none"> <li>, Fire/emergency escape routes and exits</li> <li> <ul style="list-style-type: none"> <li>, Adequate number of clearly marked exits?</li> <li>, Exit path emergency lighting present and operational?</li> <li>, Clear routes to exits?</li> <li>, Exits are not cluttered, blocked or locked?</li> <li>, Safe fire escapes in multi-level buildings?</li> <li>, Employees familiar with emergency procedures?</li> </ul> </li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Highly combustible materials</li> <li> <ul style="list-style-type: none"> <li>, Properly identified?</li> <li>, Properly stored and handled?</li> <li>, Employees familiar with risks and precautions?</li> <li>, Inventories maintained where required?</li> </ul> </li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Working areas and accommodation (where applicable) free from other fire hazards?</li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Appropriate personal protective equipment readily available to “first response” personnel?</li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Fire Emergency planning?</li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Fire drills performed periodically – adequate results recorded?</li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Compliance with applicable (local) laws, regulations and codes?</li> </ul>	<p>Y N</p>

**Other Emergency Preparedness (As Applicable)**

<ul style="list-style-type: none"> <li>, Explosion, flood, earthquake, volcanic eruption, cyclone, tornado etc.?</li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Adequate consideration of risks and responses?</li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Necessary plans - employees familiar?</li> </ul>	<p>Y N</p>
<ul style="list-style-type: none"> <li>, Compliance with applicable (local) laws, regulations and codes?</li> </ul>	<p>Y N</p>

**Hazardous Materials**

## SA 8000 Applicant – Self Evaluation Questionnaire

- , Hazardous materials Y N
  - , Properly identified?
  - , Properly stored and handled (ventilation etc.)?
  - , Safely used and disposed of?
  - , Employees not exposed to unnecessary risks?
  - , Employees familiar with risks and precautions?
  - , Personal protective equipment available free of charge?
  - , Personal protective equipment used consistently and safely?
  - , Inventories maintained where required?

- , Compliance with applicable (local) laws, regulations and codes? Y N

### **Workplace (and dormitory) environments**

- , Workplace and dormitory environments free from hazards Y N
  - , Air quality?
  - , Hazardous or combustible materials?
  - , Personal protective equipment?
  - , General housekeeping?
  - , Lighting, temperature and ventilation?
  - , Electrical outlets and wiring?
  - , Machinery/appliance guards?
  - , Machinery/appliance markings and notices (e.g. hoist S.W.L.)?
  - , Building superstructure?

- , Compliance with applicable (local) laws, regulations and codes? Y N

### **Medical Emergency**

- , First-aid kits Y N
  - , Contents appropriate to hazards/types of injuries?
  - , Inventory of required contents?
  - , Fully stocked?
  - , Suitably accessible?

## SA 8000 Applicant – Self Evaluation Questionnaire

- , First-aid/medical personnel Y N
  - , Trained/certified?
  - , Knowledge appropriate to hazards/types of injuries?

- , Compliance with applicable (local) laws, regulations and codes? Y N

### Sanitary Conditions

- , Drinkable water readily accessible at reasonable distance without unreasonable restrictions on access? Y N

- , Clean and sanitary toilet facilities readily accessible at a reasonable distance without unreasonable restrictions on access? Y N

- , Kitchen, eating and food storage facilities Y N N/A
  - , Hygienic?
  - , Running water and towel available in nearby bathroom?
  - , Adequate protection from vermin?
  - , Sanitary food storage and cooking practices?

- , Ventilation, lighting, temperature, cleanliness in workplace and dormitories? Y N

- , General housekeeping in workplace and dormitories?

- , Adequate individual “privacy space” in dormitories (4 square meters/person unless local law dictates otherwise)? Y N N/A

- , Compliance with applicable (local) laws, regulations and codes? Y N

### Employee H&S Monitoring and Records

- , Employees working with hazardous substances undergo appropriate, regular and recorded health monitoring? Y N N/A

- , Accident, illness, absentee and emergency data Y N
  - , Commensurate with industry/locality?
  - , Corrective and preventive measures adequate?

- , Compliance with applicable (local) laws, regulations and codes? Y N

### Employee H&S Training

## SA 8000 Applicant – Self Evaluation Questionnaire

	General H&S and emergency training on recruitment?	Y	N
	Ongoing training	Y	N
	as a result of changes?		
	as a result of accident/illness/emergency incidents or trends?		
	Appropriate job-specific H&S training prior to starting new job?	Y	N
	Compliance with applicable (local) laws, regulations and codes?	Y	N

### General

	Senior management representative appointed to be responsible for H&S?	Y	N
	All other (industry specific) health or safety risks recognized?	Y	N
	Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding health and safety readily available?	Y	N

### 4 Freedom of Association and Right to Collective Bargaining Issues

Evidence:

	<b>Management aware of and respects applicable laws/ governing employees' rights to freedom of association and collective bargaining?</b>	<b>Y</b>	<b>N</b>
	<b>Practices comply with applicable laws/regulations?</b>	<b>Y</b>	<b>N</b>
	Understanding of company's obligations under law can be demonstrated?	Y	N
	Position with respect to trade union and other employee organizations established and communicated effectively to employees?	Y	N
	Company does nothing to hinder employees rights?	Y	N
	Where trade unions exist, current/past issues between company representatives and unions and/or other employee organization(s) demonstrate compliance with legal requirements?	Y	N N/A
	Do representatives of personnel have access to employees in the workplace?	Y	N
	Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding freedom of association and right to collective bargaining readily available?	Y	N

**SA 8000 Applicant – Self Evaluation  
 Questionnaire**

**5 Non-Discrimination**

Evidence:

, <b>Management aware of and respect applicable laws/regulation governing discrimination in the workplace?</b>	Y	N
, <b>Practices comply with applicable laws/regulations?</b>	Y	N
, Communication of non-discrimination policies to managers, supervisors and employees?	Y	N
, Practices (and policies) address non-discrimination in	Y	N
, Hiring?		
, Compensation?		
, Access to Training?		
, Promotion?		
, Termination?		
, Retirement?		
on grounds of:		
Race, Caste, National Origin, Religion, Disability, Gender, Sexual Orientation Political Affiliation, Trade Union Membership, Age/Other (where appropriate)?		
, Employees aware of company policies regarding discrimination?	Y	N
, No interference with the exercise of the rights of personnel to observe tenets or practices?	Y	N
, Employees' privacy rights respected with respect to political, religious, or other personal beliefs?	Y	N
, All employees are given an equal opportunity	Y	N
, For preferred job assignments?		
, To work overtime?		
, To receive benefits?		
, To gain promotion?		
, Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding non-discrimination readily available?	Y	N

## SA 8000 Applicant – Self Evaluation Questionnaire

### 6 Disciplinary Practices

Evidence:

, <b>Management aware of and respects applicable laws/regulation governing disciplinary practices and harassment in the workplace?</b>	Y	N
, <b>Practices comply with applicable laws/regulations?</b>	Y	N
, Disciplinary and harassment policies are effectively communicated to managers, supervisors and employees?	Y	N
, Employees aware of company policies regarding disciplinary practices and harassment?	Y	N
, No sexual, psychological, verbal or physical harassment, mental or physical coercion, corporeal punishment?	Y	N
, Records of disciplinary history/incidents demonstrate conformance, fair policies and practices?	Y	N
, Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding disciplinary practices readily available?	Y	N

### 7 Working Hours

Evidence:

, <b>Management aware of and respects applicable working hour laws and regulatory requirements?</b>	Y	N
, <b>Management aware of and respects applicable overtime laws and regulatory requirements?</b>	Y	N
, <b>Management aware of and respects applicable leave entitlement laws and regulatory requirements?</b>	Y	N
, <b>Practices comply with applicable laws/regulations?</b>	Y	N
, Compliant systems established and communicated to employees?	Y	N

**SA 8000 Applicant – Self Evaluation  
Questionnaire**

<p>Overtime is voluntary and is restricted to ensure a maximum of 60 hours per week</p> <p style="padding-left: 40px;">Overtime is not structural?</p> <p style="padding-left: 80px;">The company's expectations on overtime work are understood by the employees and conform to legal requirements and/or any applicable employee hiring agreement?</p> <p style="padding-left: 80px;">Employees have the right to refuse overtime work, other than when it is demanded in exceptional and short-term business circumstances?</p> <p style="padding-left: 80px;">In locations where legal maximums are exceeded by many companies, appropriately authorized written requirements and/or exceptions provided by responsible enforcement authorities?</p>	<p>Y N</p>
<p>The number of overtime hours is properly recorded and calculated?</p>	<p>Y N</p>
<p>Employees complete all work during a regular working day/shift?</p> <p style="padding-left: 40px;">Employees are not expected to work at home or during time off or rest days)</p>	<p>Y N</p>
<p>All employees are given an equal opportunity to work overtime?</p>	<p>Y N</p>
<p>Employees are allowed at least one day off in seven and are provided with reasonable lunch and other breaks during normal working hours</p>	<p>Y N</p>
<p>Requirements for rest days and leave are understood by the employees and conform to legal requirements and/or any applicable employee hiring agreement and/or policy?</p>	<p>Y N</p>
<p>Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding working hours, overtime and leave entitlement readily available?</p>	<p>Y N</p>

**8 Compensation**

Evidence:

<p><b>Management aware of and respects applicable wage laws?</b></p>	<p><b>Y N</b></p>
<p><b>Management aware of and respects applicable premium wage rate (overtime) laws?</b></p>	<p><b>Y N</b></p>
<p><b>Management aware of and respects applicable benefits laws?</b></p>	<p><b>Y N</b></p>
<p><b>Practices comply with applicable laws/regulations?</b></p>	<p><b>Y N</b></p>

**SA 8000 Applicant – Self Evaluation  
Questionnaire**

<p>, Wage policies and practices address all types of employees</p> <p style="padding-left: 20px;">, Skilled/unskilled manufacturing employees?</p> <p style="padding-left: 20px;">, Non-manufacturing employees?</p> <p style="padding-left: 20px;">, Temporary employees?</p> <p style="padding-left: 20px;">, Young workers?</p> <p style="padding-left: 20px;">, Apprentices?</p>	<p>Y N</p>
<p>, Payment and benefit systems established and communicated to employees?</p>	<p>Y N</p>
<p>, There is a reliable system for tracking the number of hours worked each day and the number and length of breaks taken each day?</p> <p>For example</p> <p style="padding-left: 20px;">, Time cards punched or completed by individual employees on a daily basis.</p> <p style="padding-left: 20px;">, Time cards punched at the beginning and end of the work shift and at the start and end of lunch and/or dinner breaks.</p>	<p>Y N</p>
<p>, If employees are paid on “per piece” (or other non-hourly) basis, is there a reliable system for tracking the number of pieces produced?</p> <p>For example</p> <p style="padding-left: 20px;">, Employees signing off on material counts or random independent recounts for piece rate systems</p>	<p>Y N N/A</p>
<p>, Record keeping procedures provide a basis for an accurate calculation of employee compensation and benefits?</p>	<p>Y N</p>
<p>, Employee &amp; payroll records are complete, accurate, and updated</p>	<p>Y N</p>
<p>, Overtime payments are properly calculated and remunerated at in accordance with prevailing local industry practices and applicable legal requirements?</p>	<p>Y N</p>
<p>, Where pay is calculated “per piece” (or other non-hourly methods) overtime rates are calculated fairly and in accordance with specific laws and regulations?</p>	<p>Y N N/A</p>

**SA 8000 Applicant – Self Evaluation  
Questionnaire**

, Legally mandated benefits provided, as applicable	Y	N
, Insurance?		
, Childcare?		
, Food?		
, Transportation?		
, Medical?		
, Maternity?		
, Leave?		
, Etc.		
, Required employee withholdings – e.g., taxes, social security – are appropriately deducted and remitted to the government?	Y	N
, Any/all other deductions are legal and fair?	Y	N
, No apparent discrimination in pay by race, color, religion, sex, age, physical ability, national origin, or any other applicable prohibited basis?	Y	N
, Employees are aware of the methods of wage calculation and receive a detailed breakdown of payments and deductions?	Y	N
, E.g. The pay stub is comprehensive, and includes: total hours worked (both regular and overtime), gross compensation, gross regular earnings rate, gross piecework earnings, gross make-up pay to bring the employee to the minimum wage – if applicable, overtime earnings, deductions by nature and amount, and net pay?		
, To the extent required by applicable law, notifications of minimum wage rates, allowances, and benefit policies in the native language(s) of the employees posted in the factory?	Y	N
, Employees are aware of and receive benefits and legal entitlements?	Y	N
, Any/all deductions from wages are understood by employees and are legal and reasonable?	Y	N
, Employees are not bonded or indentured?	Y	N
, The employee is not indebted (for moving expenses, etc.) to the company or other (e.g. employment broker). If so, are the terms legal and reasonable?	Y	N
, Employees are compensated in accordance with law when there is no work?	Y	N
, Payroll and personnel records provide evidence that employees are being paid and are receiving benefits in accordance with applicable legal requirements and prevailing local industry standards?	Y	N

## SA 8000 Applicant – Self Evaluation Questionnaire

,	Record keeping and wage calculation procedures result in accurate calculation and timely payment of wages and provision of benefits?	Y	N
,	Employees are paid and receive benefits in accordance with applicable legal requirements and prevailing local industry standards	Y	N
,	Wages are sufficient to meet basic needs of personnel and provide some discretionary income?		
,	Evidence of conformance to company policy(ies), law/regulation and SA 8000 requirements regarding compensation and benefits readily available?	Y	N

### 9 Management Systems

*Note: No legal/regulatory requirements for this section*

Evidence:

#### Policy

,	Documented Policy..	Y	N
,	Includes commitment to conform to SA 8000 requirements?		
,	Includes commitment to comply with applicable legislation/regulations?		
,	Includes commitment to other requirements (if applicable)?		
,	Includes commitment to continual improvement?		
,	Is implemented, maintained, communicated and accessible?		
,	Is publicly available?		
,	Provides framework for social accountability implementation?		
,	Contains no misleading claims?		
,	Is appropriate to scope of operations?		
,	Comprehensive commitment confirmed and demonstrated by Executive Management?	Y	N
,	Known and understood by all staff?	Y	N

## SA 8000 Applicant – Self Evaluation Questionnaire

### Management Review

Periodic top management review of policy, procedures and performance against SA 8000 and other requirements (where applicable)?	Y	N
System amendments and improvements implemented where appropriate?	Y	N
Evidence of conformance readily available?	Y	N

### Company Representatives

Senior management representative appointed to ensure SA 8000 requirements met?	Y	N
Non-management Social Accountability representative chosen?	Y	N
Evidence of conformance readily available?	Y	N

### Planning and Implementation

Requirements of SA 8000 known and understood and implemented at all levels?	Y	N
Clear definition of roles responsibility and authority?	Y	N
SA 8000 training of new and/or temporary employees upon hiring?	Y	N
Periodic SA 8000 training and awareness programs for existing employees?	Y	N
Continuous monitoring to demonstrate effectiveness?	Y	N
Records of activity showing conformance to requirements?		
Remedial and corrective actions taken as needed?		
Evidence of conformance readily available?	Y	N

### Control of Suppliers

Evaluation and selection of suppliers on grounds of SA 8000 ability?	Y	N
Records of suppliers' commitment?	Y	N
Reasonable evidence maintained to demonstrate that SA 8000 met by	Y	N
Suppliers?		
Subcontractors?		
Evidence of conformance readily available?	Y	N

## SA 8000 Applicant – Self Evaluation Questionnaire

### Addressing Concerns and Taking Corrective Action

, Evidence of regular investigation and response to concerns of:	Y	N
, Employees?		
, Interested parties?		
, No discrimination, dismissal or other disciplinary action against employees for providing information concerning observance of SA 8000 requirements?	Y	N
, Non-conformances identified?	Y	N
, Appropriate remedial action implemented?	Y	N
, Appropriate corrective actions implemented?	Y	N
, Evidence of conformance readily available?	Y	N

### Outside Communication

, Effective procedures for communicating performance information to all interested parties?	Y	N
, Communication includes management review and monitoring results included (where appropriate)?	Y	N
, Evidence of conformance readily available?	Y	N

### Access for verification

, Reasonable information and access to interested parties where required by contract?	Y	N	N/A
, Similar reasonable information and access afforded to company's suppliers and subcontractors (through purchasing contracts) where further required by contract?	Y	N	N/A
, Evidence of conformance readily available?	Y	N	N/A

### Records

, Appropriate records maintained to demonstrate continuing conformance to all aspects of SA 8000?	Y	N
---	---	---

**SA 8000 Applicant – Self Evaluation  
Questionnaire**