

FACTORY SELF-EVALUTATION

Vendor Name: _____

Date : _____

Factory Name: _____

Evaluated By : _____

Provide certificates such as WRAP, BSCI, SA800, SEDEX, FLA, etc. received from importer or 3rd party audit firm

| | | | | | |
|----------|------|--|------------------------------|-----------------------------|------------------------------|
| 1 | | Employment Ethics | | | |
| | | Legal minimum age : _____ | | | |
| | 1.1 | Does the factory have a copy local laws showing minimum age for working in this area? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.2 | Does the factory have a written policy regarding the minimum age of workers hired? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.3 | Are age documentation records maintained in the factory? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.4 | Does the factory have a written policy against use of prison of forced labor? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.5 | Are workers free to leave the employment at their own freewill? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.6 | Does the factory have a written policy against use of corporal punishment? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.7 | Are there any indications of corporal punishment or mental coercion against workers? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.8 | Is there a written policy or procedure on grievance? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.9 | Do the employees have the legal right to form or belong to a union? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.10 | Does the factory have a copy of local laws regarding discrimination? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 1.11 | Are all workers given equal opportunity to work in the factory? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | | | | | |
| 2 | | Hours & Wages | | | |
| | | Legal maximum working hours per month:- | | | |
| | | Normal : _____ hours per month | | | |
| | | Overtime : _____ hours per month | | | |
| | | Legal minimum wages : _____ hours per month | | | |
| | | | | | |
| | 2.1 | Does the factory have a copy of local laws showing maximum working hours in this area? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.2 | Does the factory have a written policy regarding working hours? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.3 | Are there any employees whose normal number of working hours including overtime exceed the maximum number of hours allowed by law? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.4 | Is time worked documented by time card or other record? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.5 | Are employees given work to complete at home? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.6 | Are employees compensated for overtime? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.7 | Can employees refuse overtime without repercussions? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.8 | Do workers have time off each day for lunch? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.9 | Do workers have at least one day off in seven? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.10 | Are workers entitled to all statutory holidays? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.11 | Does the factory have a copy of local laws showing minimum wages and overtime calculation in this area? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.12 | Is there any evidence that any worker is paid less than the legal minimum? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.13 | Is overtime pay rate less than local government regulation? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.14 | Are laws and / or policies posted? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.15 | Are all payroll deductions legal and reasonable? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |

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| | 2.16 | Are employees paid on time? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.17 | Are any wages withheld unreasonably? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 2.18 | Are employees compensated for accrued wages upon termination of employment? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 3 | | Working & Living Conditions | | | |
| | 3.1 | Does the factory have a copy of local laws for factory safety and working conditions? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.2 | Is factory clean and well ventilated? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.3 | Is factory well lit? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.4 | Is the exterior of the building well maintained? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.5 | Are toilet facilities available on each floor? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.6 | Are toilet facilities functional & clean? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.7 | Do all employees have equal access to fresh drinking water? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.8 | Are the dormitory site & building well maintained? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.9 | Are dormitories clean and well ventilated? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.10 | Are bathroom facilities functional with running water? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.11 | Are written dormitory rules posted? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.12 | Is the canteen clean and well ventilated? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 3.13 | Are common or recreational areas available? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 4 | | Health & Safety | | | |
| | 4.1 | Are first aid supplies available on each floor? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.2 | Are kits regularly checked and restored? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.3 | Are there any people trained in the first aid? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.4 | Are there medical facilities on site? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.5 | Are machine guards available for all dangerous moving parts, when required? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.6 | Are machine guards in good condition? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.7 | Is the personal protective equipment in good condition? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.8 | Are electric wiring, switches & other electrical appliances used safely? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.9 | Are cylinders & gas storage devices properly labeled? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.10 | Does the factory have a written policy regarding the use and storage of chemicals, solvents & cleaning agents? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.11 | Are chemicals / solvents / cleaning agents used & stored safely? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 4.12 | Are employees trained on the proper use of required safety and / or personal protective equipment? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 5 | | Fire Prevention | | | |
| | 5.1 | Are any emergency exits blocked or locked? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.2 | Are the emergency evacuation exits clearly marked and passable? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.3 | Do these exits lead to a place of safety? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.4 | Is there training for emergency evacuation? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.5 | Are written fire emergency evacuation plans posted? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.6 | Are there fire extinguishers visible? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.7 | Are the fire extinguishers in good condition? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.8 | Are there fire extinguishers on each floor? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |

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| | 5.9 | Is there a fire alarm system installed in the factory? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 5.10 | Are there any "No Smoking" signs displayed within the factory? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 6 | | Environmental Policies | | | |
| | 6.1 | Does the factory have environmental policies? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 6.2 | Is there any person designated to ensure that all local laws and regulations relating to environmental matters are properly addressed? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 6.3 | Does the effluent from the factory meet local wastewater discharge standards? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 6.4 | Does the factory discharge its sewage & effluent into a municipal sewer system? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 6.5 | Does the factory inspect the waste water system regularly? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 6.6 | Are any hazardous substances exposed in the workplace? | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 7 | | Container Security | | | |
| | | <i>Container integrity must be maintained to protect against the introduction of unauthorized material and or persons.</i> | | | |
| | 7.1 | Container integrity is maintained to protect against the introduction of unauthorized material and/or persons. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.2 | At the point of stuffing the supplier has procedures in place to properly seal and maintain the integrity of the shipping containers. NOTE: The shipper must provide the seal number on all shipping documents. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.3 | Written procedures simulate how seals are controlled and affixed to loaded containers. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.4 | Written procedures include policies for recognizing and reporting compromised seals and/or containers to US customs and border protection. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.5 | At the point of stuffing all seals meet the minimum ISO standards for high security seal, PAS 17712. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.6 | Specific controls are in place to ensure only authorized employees are distributing container seals. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.7 | Containers are inspected to verify their physical integrity prior to stuffing. This must include inspection of the front wall, left side, right side, floor, ceiling/roof, inside/outside doors, outside doors, outside/under carriage. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.8 | Containers are stored in a secure area to prevent unauthorized access and/or manipulation. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 7.9 | Procedures are in place for reporting and neutralizing unauthorized access and/or manipulation. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 8 | | Physical Access Controls | | | |
| | | <i>A system must be in place for positive identification of all employees, visitors, and suppliers at all points of entry.</i> | | | |
| | 8.1 | Employee access to secure areas is limited to those with legitimate job functions within said designated areas. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 8.2 | There are policies and procedures that control the issuance and removal of employee, visitor, and supplier identification badges. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 8.3 | There are policies and procedures for the issuance, removal, and changing of access devices. (e.g. keys, key cards, etc.) | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |

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| | 8.4 | All visitors/suppliers must present photo identification for documentation purposes upon arrival. Visitor temporary identification badges must be displayed at all times and visitors must be escorted during their entire visit. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 8.5 | Arriving packages and mail are periodically screened before being distributed. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 9 | | Personnel Security | | | |
| | | <i>Procedures must be in place to screen prospective employees and to periodically check current employees.</i> | | | |
| | 9.1 | The supplier has a pre-employment verification process. Applications by the prospective employees include employment history and references. These are verified by the supplier prior to employment. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 9.2 | Consistent with regulations of the jurisdiction involved, background checks and investigations are conducted for prospective employees. Once employed, periodic checks and re-investigations are performed based on cause, and/or the sensitivity of the employee's position. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 9.3 | Suppliers have procedures in place to remove identification, facility, and system access for terminated employees. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 10 | | Procedural Security | | | |
| | | <i>Security measures are in place to ensure the integrity and security of processes relevant to transportation, handling, and storage of cargo in the supply chain.</i> | | | |
| | 10.1 | Procedures are in place to ensure that all information used in the clearing of merchandise/ cargo is legible, complete, accurate, and protected against the exchange, loss, or introduction of erroneous information. Documentation control includes safeguarding computer access and information. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 10.2 | Procedures are in place to ensure that information received from business partners is reported accurately and timely. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 10.3 | Procedures are in place to ensure that the cargo is accurately described, and the weights, labels, marks and piece count are verified. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 10.4 | Departing cargo is verified against the purchase or delivery order. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 10.5 | Drivers delivering or receiving cargo are positively identified before cargo is received or released. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 10.6 | Supplier has procedures in place to investigate and resolve all shortages, overages, and other significant discrepancies or anomalies. Customs and/or other law enforcement agencies are notified if illegal or suspicious activities are detected, as appropriate. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 11 | | Security Training and Awareness | | | |
| | 11.1 | A threat awareness program has been established and is maintained by security personnel to recognize and foster awareness of the threat posed by terrorists at each point in the supply chain. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 11.2 | Employees are aware of the procedures the supplier has in place to address a situation and how to report it. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 11.3 | More comprehensive training is provided to employees in shipping and receiving areas as well as those receiving and opening mail. Specific training is offered to assist employees in maintaining cargo integrity. These programs offered incentives for active employee participation. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| 12 | | Physical Security | | | |

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| | 12.1 | Cargo handling and storage facilities have physical barriers and deterrents that guard against unauthorized access. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 12.2 | Perimeter fencing encloses the areas around the cargo handling and storage facilities. Interior fencing within a cargo handling structure is used to segregate domestic, international, high value, and hazardous cargo. All fencing is regularly inspected for integrity and damage. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 12.3 | Gates through which vehicles and/or other personnel enter or exit are manned and/or monitored. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 12.4 | Private passenger's vehicles are prohibited from parking in or adjacent to cargo handling and storage areas. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 12.5 | Buildings are constructed of materials that resist unlawful entry. The integrity of the structures is maintained by periodic inspection and repair. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 12.6 | All external and internal windows, gates and fences are secured with locking devices. Management or security personnel controls the issuance of all lock and keys. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 12.7 | Adequate lighting is provided inside and outside the facility including the following areas: entrances and exits, cargo handling and storage areas, fencing lines and parking areas. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 12.8 | Alarm systems and video surveillance cameras are utilized to monitor the premises and prevent unauthorized access to cargo handling and storage areas. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | | | | | |
| 13 | | Information Technology Security | | | |
| | 13.1 | To ensure password protection an automated system that utilizes individually assigned accounts that require a periodic change of password is utilized. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 13.2 | IT security policies, procedures, and standards are in place and training is provided to all employees. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |
| | 13.3 | A system is in place to identify the abuse of IT including improper access, tampering or the altering of business data. All systems violators are subject to appropriate disciplinary actions for abuse. | Yes <input type="checkbox"/> | No <input type="checkbox"/> | N/A <input type="checkbox"/> |