

Kroger Social Responsibility Audit Content - September 2017

SECTION A. Child Labour / Young Labour

	Requirement
A1	Does the factory have a copy of valid laws and regulations on child labour OR understand its requirements?
A2	Does the factory have effective procedures to verify the age of worker at the time of recruitment?
A3	Does the factory keep adequate age documents of workers such as ID copies and personnel records?
A4	Is there any evidence identified that child labour is currently present at the factory?
A5	Is there any evidence identified that child labour had been employed in the past at the factory?
A6	Have young workers (between legal minimum age and 18) been protected?
A7	Are laws or factory policies regarding Child Labour/Young Labour communicated to all employees?

SECTION B. Forced Labour

	Requirement
B1	Does the factory have a copy of valid laws and regulations on forced labour or understand its requirements?
B2	Does the factory use any type of forced, prison, indentured, or bonded labor? (including slavery and human trafficking)
B3	Do all workers sign legal employment contracts with the factory if required by law?
B4	Is any restriction placed on leaving after working hours?
B5	Are overtime works voluntary?
B6	Are workers permitted time-off with doctor's certificate or note when sick or for maternity?
B7	Is there any evidence apparent that security guards are/were used to discipline workers?

SECTION C. Discrimination

	Requirement
C1	Does the factory have a copy of valid laws and regulations on non-discrimination or understand its requirements?
C2	Is there any evidence for the occurrence of discrimination in employment, promotion, compensation, welfare, dismissal or retirement, etc?
C3	Do workers have access to and are familiar with procedures for filing complaints about discrimination?
C4	Is there evidence of discrimination related to female workers?

SECTION D. Disciplinary Practice

	Requirement
D1	Does the factory have a copy of valid laws and regulations on disciplinary practices or understand its requirements?
D2	Does the factory have documented, legal and reasonable disciplinary rules?
D3	Does the factory provide an employee handbook with disciplinary policies documented?
D4	Is there evidence the factory uses physical, verbal, sexual or psychological abuse in workplace?
D5	Do workers have access to appeal in case of infractions/breaking of rules?
D6	Are deductions from pay for infractions/breaking of rules legal?

SECTION E. Working Hours

	Requirement
E1	Does the factory have a copy of valid laws and regulations on working hours or understand its requirements?
E2	Does the factory have written policy for working hours, rest, vacations and overtime in accordance with local legal requirement?
E3	Does the factory communicate the policy on working hours, rest and vacations to all workers?
E4	Does the factory maintain complete and consistent working hours records for at least 12 months?
E5	Do the workers have at least one day (24 consecutive hours) off in seven days unless authorized by local government?
E6	Do the hours worked including overtime hours comply with local regulation (daily , weekly, monthly)?
E7	Do the workers have over 60 working hours per week unless authorized by local government?
E8	Does the factory provide the legally required meal breaks?

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SECTION F. Compensation

Requirement	
F1	Does the factory have a copy of valid laws and regulations on compensation and benefits or understand its requirements?
F2	Does the factory have written policy on compensation and benefits and communicate to all workers?
F3	Do all workers' wages meet local minimum wages?(including trainees / apprentices / workers in probation period)
F4	Does the factory maintain complete and consistent payroll records for all workers for at least 12 months?
F5	Are workers paid the legally required overtime rates and wages?
F6	Are wage slips given to workers and do they understand the wage breakdown?
F7	Does the factory provide legally required benefits on annual leave?
F8	Does the factory provide legally required benefits on maternity leave?
F9	Does the factory provide legally required benefits on paid holidays?
F10	Does the factory provide legally required benefits on social insurance?
F11	Are workers' wages deducted for any reason other than tax, social security? Are these deductions fair, reasonable and legal?
F12	Is the payment frequency legal?
F13	Is there a sufficient system to let workers check/verify their wages?

SECTION G. Health & Safety

Requirement	
G1	Does the factory have a copy of current National laws/regulations on health and safety or understand its requirements?
G2	Is a senior management representative for health and safety appointed?
G3	Does the factory arrange health and safety training for all workers? Does it include fire safety training?
G4	Are accidents or daily injury recorded?
G5	Does the factory have all legal required permits and approval for health and safety, including high risk equipment and its operators?
G6	Is there valid construction approval where required by law?
G7	Are all site buildings maintained in good physical condition?
G8	Have allowable floor weights been determined (in the case of heavy machinery found on any upper floors), posted, and communicated to the relevant employees, if required by law?
G9	Is potable water accessible and adequate on each factory floor?
G10	Are lavatory facilities accessible, clean and available in reasonable number on each factory floor?
Buildings & Facilities	
G11	Where applicable, has the physical and structural integrity of all site buildings (including both production & dormitory) been inspected with a certificate from the government?
G12	Where applicable, has the physical and structural integrity of all buildings been professionally assessed by an authorized organization?
G13	Are there any industrial buildings converted from residential buildings?
G14	Are there any multi-story dormitory buildings with a ground floor marketplace, commercial shop or have a flammable product storage area?
G15	Is there valid fire license where required by law?
G16	Does the Facility have a written fire emergency preparedness plan?
G17	Does the facility have evacuation routes posted in the work areas (and in dormitories, if applicable) with clear directions in local language on how to exit?
G18	Are fire drills conducted twice a year (one in peak season and one in low season) and documented?
G19	Does the factory have an adequate number of fire-fighting equipments (fire extinguisher, fire hydrant/fore hose, sprinkler, fire alarm and etc.) according to local laws?
G20	Are all fire-fighting equipments inspected and tested regularly and ready to use at all times, are they well maintained?
G21	Are appropriate fire extinguishers available, clearly marked, visible, and accessible?
G22	Are fire and hazard early warning systems such as smoke detectors installed and regularly tested?
G23	Are exit routs, exits and fire exits identified with signs or other indicator lights?
G24	Are adequate emergency lights installed on each factory floor?
G25	Is any fire exit and escape route blocked?
G26	Is any emergency exit door locked?
G27	Are emergency exit doors able to be opened without keys, tools or any special knowledge?

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G28	Are emergency exit doors able to be opened in one single motion?
G29	Are the emergency exit doors slide, roll down or side hinged in inward direction?
G30	Is there a secondary exit for all floors and buildings (including dormitories, if applicable) when required by local law?
G31	Are hazardous and other areas appropriately posted with "No Smoking" signs?
G32	Are gas cylinders properly marked, used, inspected, stored and secured?
G33	Have any fire incidents taken place in the past 12 months at the facility?
G34	Is there a named person(s) with overall responsibility for fire safety (i.e. Fire Coordinator)?
G35	Are fire wardens appointed for each area?
G36	Is additional training given to those persons with specific responsibilities in the event of a fire (e.g. Fire wardens, security)? If Yes, please provide the latest training date.
G37	Are written records kept of this fire safety training?
Machinery, Dangerous Substance, etc.	
G38	Are adequate guarding or devices installed for moving/ rotating parts of machine, such as pulleys and belts, or any other dangerous parts of machines?
G39	Where required, is machinery equipped with emergency stop buttons?
G40	Is power isolation equipment (i.e. lockout/tagout) used during maintenance/ repair?
G41	Is any instruction emphasized to prohibit loose clothing, jewelry or long hair near moving machinery?
G42	Are electrical safety procedures implemented effectively to ensure safety precautions such as grounding, discharging and testing to be taken?
G43	Is electrical equipment, wiring covered and insulated to prevent exposure of wires?
G44	Are hazardous substances safely and properly labeled, handled, stored and disposed?
G45	Are Material Safety Data Sheets (MSDS) available for all chemicals in local language and accessible to employees?
G46	Are machines equipped as necessary with appropriate dust and/or VOC extraction systems?
G47	Are administration and engineering controls (reduced shift hours, ventilation fans and exhaust fans) introduced to reduce personnel exposure?
G48	Are employees trained to handle the chemicals?
G49	Are appropriate personal protective equipment (PPE) such as goggles, glasses gloves, earplugs/earmuffs, boots or protective clothing provided at factory cost and in fully acceptable condition?
G50	Are signs posted in all areas where personal protective equipment must be worn?
G51	Does the factory have a suitable working environment with respect to ventilation, temperature, lighting, cleanliness, and tidiness?
G52	Does the factory arrange regular health examinations for workers exposed to hazardous substances?
G53	Is there adequate evidence to confirm that workers' health is not affected by hazardous factors?
G54	Are functional emergency eyewash stations and showers provided where corrosive chemicals or high volumes of solvents are handled and used?
G55	Are adequate first aid kits located on each factory floor and marked with signs?
G56	Are an adequate number of workers trained in first aid?
Dormitory	
G57	If there are dormitories, are they clean, safe, properly equipPed and sufficiently spacious?
G58	If there are dormitories, are they equipped sufficient shower and lavatories, and are they clean and useable?
G59	Is any workers' dormitory located in the same building as the production and/or warehousing?
G60	Are the childcare facilities located on the ground floor of the building?
G61	Are dormitory rules legal, reasonable, and understood by the workers?
G62	Are the factory kitchen and canteen clean and hygienic?
G63	Does the kitchen/ cafeteria staff have appropriate food safety training and hygiene certificates?

SECTION H. Freedom of Association

	Requirement
H1	Does the factory have a copy of valid laws and regulations on trade union and freedom of association or understand its requirements?
H2	Are employees' rights of freedom of association ensured as required by law?
H3	Does the factory allow/permit workers to elect a representative from their own group to facilitate communication with senior management?
H4	Do workers have access to and are familiar with procedures for filing complaints about their concerns?
H5	For a non-unionized factory, are fair and effective mechanisms in place to address the concerns of workers?

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SECTION I. Environment

	Requirement
I1	Does the factory have all permits and licenses required by national/local laws or regulations for waste disposal?
I2	Does the factory have a current environmental management system?
I3	Does the factory provide environmental awareness training to each level of management and all workers?
I4	Can any kind of substantial pollution be observed throughout the facility?
I5	Does the factory have proper wastewater and waste air treatments before releasing?
I6	Does the factory have a program to segregate, store and dispose hazardous and non-hazardous waste?
I7	Does the factory implement any programs on reuse, reduce or recycle?
I8	Have there been any notices of deficiencies issued by government agencies in the past year?

SECTION J. Ethics

	Requirement
J1	Was there any bribery case identified during the audit?

SECTION K. Sub-Contracting

	Requirement
K1	Does the factory provide subcontractor information (if applicable)?

SECTION L. Monitoring of Compliance

	Requirement
L1	Does the auditor have access to the entire facility and audit processes?