



GLOBAL STANDARDS FOR SUPPLIERS

**HANES** *Brands Inc*

# Global Standards For Suppliers

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EXCELLENCE EVERY DAY

**Assessment Protocol Version 2023**

**(July 1, 2023)**

## Management Practices

### 1.1.1 Leadership

Requirement – The factory shall have a comprehensive written grievance policy and procedure.

**Question: Does the factory have a comprehensive written grievance policy and procedure?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers grievance issues.

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 1.1.2 Leadership

Requirement – All employees need to be trained on the grievance policy and procedure.

**Question: Are all employees trained on this policy and is it documented?**

**Possible Answers -**

NA

0 - No

1 - Once at hire or training without appropriate documentation.

2 - At hire and greater than 1 year and/or at least yearly without appropriate documentation.

3 - At hire and at least yearly with appropriate documentation.

**Terminology & Definition: N/A**

### 1.1.3 Leadership

Requirement – The shall have a comprehensive written retrenchment policy and procedure that contemplates accrual and payment of severance pay.

**Question: Does the factory have a comprehensive written retrenchment policy and procedure that contemplates accrual and payment of severance pay?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy with few specific details. Needs significant improvement

2 - Good workable written policy and procedure that generally covers retrenchment issues but does not consider accrual and payment of severance pay

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 1.1.4 Leadership

Requirement – The factory shall conduct internal compliance assessments on a defined schedule such that each compliance point is assessed at least once per year. The assessments results to be communicated and retained.

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**Question: Are internal compliance assessments conducted on a defined schedule such that each compliance point is assessed at least once per year? Are assessments results communicated and retained?**

**Possible Answers -**

NA

0 - No assessment conducted

1 - Some assessments conducted no formalized schedule

2 - Assessments schedule in place assessment being conducted but insufficient scope not covering all compliance aspects

3 - Assessments system used in full as per documented procedure. Management proactively addressing assessment findings through continuous improvement actions

**Terminology & Definition: N/A**

### 1.1.5 Leadership

Requirement – The factory shall implement a formal corrective and preventive action system including actions generated from external assessments to address findings. It Includes actions to address root causes and verification of effectiveness of actions. (CPAR management)

**Question: Is a formal corrective and preventive action system implemented including actions generated from external assessments to address findings? Includes actions to address root causes and verification of effectiveness of actions? (CPAR management)**

**Possible Answers -**

NA

0 - No formal corrective actions system in place.

1 - Only assessment findings addressed through CPARs

2 - CPAR system utilized for all compliance aspects

3 - CPAR system broadly utilized covering all aspects of compliance with timely root cause analysis actions and good follow-up and closure

**Terminology & Definition: N/A**

### 1.1.6 Leadership

Requirement – The factory shall have a designated human resources officer.

**Question: Is there a designated human resources officer?**

**Possible Answers -**

NA

0 - No

1 - Part time HR officer with no significant training

2 - Part time/Full time HR officer with basic but no formal training

3 - Full time HR officer with formal training

**Terminology & Definition: N/A**

### 1.1.7 Leadership

Requirement – The factory shall have a designated compliance officer.

**Question: Is there a designated compliance officer?**

**Possible Answers -**

NA

0 - No

1 - Part time Compliance officer with no significant training

2 - Part time/Full time Compliance officer with basic but no formal training

3 - Full time Compliance officer with formal training

**Terminology & Definition: N/A**

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### 1.1.8 Leadership

Requirement – The factory shall post Hanesbrands' Global Standards for Suppliers and communicate it to all supervisors and management.

**Question: Has the factory posted Hanesbrands' Global Standards for Suppliers and communicated it to all supervisors and management?**

**Possible Answers -**

NA - For initial audit ONLY

0 - No

1 - Posted but not communicated

2 - Posted and communicated without appropriate documentation

3 - Posted in at least 2 areas and communicated with appropriate documentation

**Terminology & Definition: N/A**

### 1.1.9 Leadership

Requirement – The factory shall have an established documents control system to ensure that all policies and procedures are properly updated and communicated.

**Question: Does the factory has an established documents control system to ensure that all policies and procedures are properly updated and communicated?**

**Possible Answers -**

NA

0 - No document control process

1 - Some documentation control- but there is no evidence of an established system.

2 - Most documents are controlled- but there is no evidence of an update and communications process.

3 - There is a robust established system for documents control that includes a communication process.

**Terminology & Definition: N/A**

### 1.1.10 Leadership

Requirement – The factory SHALL NOT suggest, insinuate or try to bribe the auditor.

**(High Risk - ZERO TOLERANCE)**

**Question: Has any factory representative suggested, insinuated or tried to bribe the auditor?**

**Possible Answers -**

NA

-40 - Yes

3 - No

**Terminology & Definition: N/A**

### 1.1.11 Leadership

Requirement – The factory shall obtain all applicable legal operating permits as required by the law.

**Question: Has the facility obtained all applicable legal operating permits as required by the law?**

**Possible Answers -**

NA

0 - No

2 - Applications have been submitted for all as required by local law but permits not yet received

3 - Yes to all required by law.

**Terminology & Definition: N/A**

### 1.1.12 Leadership

Requirement – The factory shall not subcontract any of its Hanes production.

**(High Risk - ZERO TOLERANCE)**

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**Question: Does the facility subcontract any of its Hanes production?**

**Possible Answers -**

NA

-40 - Yes, Hanes has not been notified.

3 - No sub-contracting or all subcontracted facilities are GSS approved

**Terminology & Definition: N/A**

### 1.1.13 Leadership

Requirement – The factory SHALL NOT intimidate or coach workers on how to respond to a monitor's questions.

**(High Risk – CRITICAL)**

**Question: Is there any evidence that management interfere and/or coach interviewees?**

**Possible Answers -**

NA

-40 - Yes

3 - No

**Terminology & Definition: N/A**

### 1.1.14 Leadership

Requirement – The facility have a comprehensive written Business Continuity Plan (BCP) to ensure that the business will be able to continue operating in the event of a disruption in service caused by a natural or man-made incident, e.g., hurricane, disease outbreak, a cyberattack, fire in an area, etc.

**Question: Does the factory have a comprehensive written Business Continuity Plan (BCP) to ensure that the business will be able to continue operating in the event of a disruption in service caused by a natural or man-made incident, e.g., hurricane, disease outbreak, a cyberattack, fire in an area, etc.?**

**Possible Answers -**

NA

0 – No Business Continuity Plan, policy or procedure

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most situation

3 - Comprehensive detailed written policy and procedure. Best practice in industry

**Terminology & Definition: N/A**

## Health/Safety/Social

### 2.1.1 Workplace Safety and Health

Requirement – The facility shall have a comprehensive written policy and procedure that reflects the local laws and regulations governing the health safety and working conditions. (GSMS does fill this requirement.)

**Question: Does the facility have a comprehensive written policy and procedure that reflects the local laws and regulations governing the health safety and working conditions?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most relevant issues

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

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**Terminology & Definition:** GSMS - Global Safety Management Systems. The global safety management systems or GSMS is the Hbl corporate policy and process that will be utilized by Hanesbrands for managing the safety program components involved with protecting our employees and property.

### 2.1.2 Workplace Safety and Health

Requirement – Employees shall receive training on this policy.

**Question: Are all employees trained on this policy?**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
- 1 - Once at hire with proper documentation (attendance sheet)
- 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
- 3 - At hire at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 2.1.3 Workplace Safety and Health

Requirement – The facility shall have a designated health and safety officer.

**Question: Is there a designated health and safety officer?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Part time safety officer with no significant training
- 2 - Part time/Full time safety officer with basic but no formal training
- 3 - Full time safety officer with formal training

**Terminology & Definition: N/A**

### 2.1.4 Workplace Safety and Health

Requirement – The facility shall have a cross functional health and safety committee.

**Question: Is there a cross functional health and safety committee established at the facility?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Health and safety committee meets less frequently than quarterly or does not maintain appropriate meeting minutes
- 2 - Health and safety committee meets quarterly with well documented minutes
- 3 - Health and safety committee meets monthly with well documented minutes

**Terminology & Definition: N/A**

### 2.1.5 Workplace Safety and Health

Requirement – The facility's physical and structure integrity (all buildings associated with facility) shall be professionally assessed.

**Question: Has the physical and structural integrity of all buildings been professionally assessed?**

**Possible Answers -**

- NA
- 0 - Never
- 3 - Yes certified by professional structural engineer after construction and after significant events such as earthquakes and major building renovations.

## Terminology & Definition: N/A

### 2.1.6 Workplace Safety and Health

Requirement – The routine conducted safety inspection shall be documented by management and designated H&S officer.

**Question: Is a routine safety inspection conducted and documented by management and designated H&S officer?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Quarterly
- 2 - Monthly
- 3 - Weekly

**Terminology & Definition: N/A**

### 2.1.7 Workplace Safety and Health

Requirement – Employees shall be regularly trained on health and safety (and training is documented).

**Question: Do all employees receive health and safety orientation training for new employees after recruitment and subsequent trainings during their employment, the topics may include but are not limited to workplace ergonomics, general safety rules, hand safety, industrial hygiene, how to report safety concerns, housekeeping etc.? Training is documented and attendance is recorded.**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
- 1 - Once at hire with proper documentation (attendance sheet)
- 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
- 3 - At hire at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 2.1.8 Workplace Safety and Health

Requirement – Does the factory has an ergonomic program implemented for the prevention of occupational illnesses that covers all jobs.

**Question: Does the factory has an ergonomic program implemented for the prevention of occupational illnesses that covers all jobs?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Yes- but not implemented
- 2 - Yes- but not fully implemented or only covers less than 5 jobs
- 3 - Yes- the factory has a comprehensive ergonomic program full implemented that covers all jobs.

**Terminology & Definition: N/A**

### 2.2.1 First Aid and Medical Services

Requirement – The facility shall have a comprehensive written procedure for handling medical emergencies and accidents.

**Question: Does the facility have a comprehensive written procedure for handling medical emergencies and accidents?**

**Possible Answers -**

- NA
- 0 - No

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- 1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.
- 2 - Good workable written policy and procedure that generally covers most H&S issues.
- 3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 2.2.2 First Aid and Medical Services

Requirement – Employees shall be trained on procedure (and training is documented).

**Question: Are all employees trained on this policy and is it documented?**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
  - 1 - Once at hire with proper documentation (attendance sheet)
  - 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
  - 3 - At hire at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 2.2.3 First Aid and Medical Services

Requirement – There shall be an appropriate number of employees designated as first responders and they shall be properly trained in first-aid by qualified trainers. (How many per ? employees?)

**Question: Are an appropriate number of employees designated as first responders and are they properly trained in first aid by qualified trainers?**

**Possible Answers -**

- NA
- 0 - One for more than every 100 employees
  - 1 - One for 56-99 employees
  - 2 - One for 36-55 employees
  - 3 - One for every 35 employees

**Terminology & Definition: N/A**

### 2.2.4 First Aid and Medical Services

Requirement – Employees shall be adequately notified of whom the dedicated first responders are.

**Question: Are employees adequately notified of who the dedicated first responders are?**

**Possible Answers -**

- NA
- 0 - No
  - 1 - Employees were told who the appropriately trained first-responders are upon hire.
  - 2 - Employees told who the appropriately trained first-responders at least every 6 months and upon hire.
  - 3 - Employees told who the trained first-responders are at least every 6 months and at hire. Photos are posted near work areas. Information kept updated.

**Terminology & Definition: N/A**

### 2.3.1 Emergency Management

Requirement – The facility shall have a comprehensive written emergency management plan.

**Question: Does the facility have a comprehensive written emergency management plan?**

**Possible Answers -**

- NA
- 0 - No
  - 1 - Thin aspirational written plan with few specific details. Needs significant improvement.
  - 2 - Good workable written plan that generally covers most relevant issues.

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3 - Comprehensive detailed written plan. Best practice in industry.

**Terminology & Definition: N/A**

### 2.3.2 Emergency Management

Requirement – Employees shall receive training on the emergency management plan.

**Question: Are all employees trained on this emergency management plan?**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
  - 1 - Once at hire with proper documentation (attendance sheet)
  - 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
  - 3 - At hire at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 2.3.3 Emergency Management

Requirement – There shall be at least one (1) manager or supervisor on site for each shift.

**Question: Is there a manager or supervisor on site for each shift?**

**Possible Answers -**

- NA
- 0 - No
  - 1 - No Manager or Supervisor on site but there is a lead person with access to a manager or supervisor on call
  - 3 - Yes

**Terminology & Definition: N/A**

### 2.3.4 Emergency Management

Requirement – Evacuation drills shall be conducted and documented once every six (6) months on each shift at all buildings including offices.

**Question: Are evacuation drills conducted and documented once every six (6) months on each shift at all buildings including offices?**

**Possible Answers -**

- NA
- 0 - No or the last evacuation drills conducted and documented on each shift at all buildings including office was greater than a year
  - 1 - Evacuation drills are conducted and documented every 7-12 months on each shift at all buildings including offices
  - 2 - Evacuation drills are conducted and documented every 4-6 months on each shift at all buildings including offices
  - 3 - Evacuation drills are conducted and documented every 3 months on each shift at all buildings including offices

**Terminology & Definition: N/A**

### 2.3.5 Emergency Management

Requirement – All employees shall receive basic training on proper use of fire extinguisher.

**Question: Are all employees trained on proper operation of appropriate fire extinguishers?(General principles not hands on.)**

**Possible Answers -**

- NA
- 0 - No, or without any documentation (Attendance sheet)
  - 1 - Once at hire (Attendance Sheet)
  - 2 - At hire and more than 1 year thereafter (Attendance Sheet)

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3 - At hire and at least annually (Attendance sheet)

**Terminology & Definition: N/A**

### 2.4.1 Chemical Safety

Requirement – Facility shall maintain a comprehensive written chemical/hazard communication program.

**Question: Does the facility maintain a comprehensive written chemical/hazard communication program?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational policy with little specific details.

2 - Good workable policy that generally covers most chemical/hazard communication issues

3 - Comprehensive detailed written policy. Best practice in industry

**Terminology & Definition: N/A**

### 2.4.2 Chemical Safety

Requirement – Employees who interact with chemicals and hazardous materials shall be properly trained.

**Question: Are all employees that interact with chemicals and hazardous materials properly trained?**

**Possible Answers -**

NA

0 - No or without documentation (attendance sheet)

1 - Once at hire with proper documentation (attendance sheet)

2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)

3 - At hire at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 2.5.1 Machine Safety

Requirement – The facility shall provide employees with training in the safe operation of their machines.

**Question: Does the facility provide employees with training in the safe operation of their machines?**

**Possible Answers -**

NA

0 - No or without documentation (attendance sheet)

1 - Once at hire with proper documentation (attendance sheet)

2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)

3 - At hire at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 2.6.1 Personal Protective Equipment (PPE)

Requirement – All employees who are required to use PPE shall be properly trained on how to use PPE.

**Question: Are all employees who are required to use PPE properly trained?**

**Possible Answers -**

NA

0 - No or without documentation (attendance sheet)

1 - Once when PPE is provided and again when transferred to a different job with proper documentation (attendance sheet)

2 - When PPE is provided every 12-24 months thereafter and again when transferred to a different job with proper documentation (attendance sheet)

3 - When PPE is provided at least yearly thereafter and also when transferred to a different job with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 2.7.1 Industrial Hygiene

Requirement – The facility shall conduct industrial hygiene monitoring at the frequency required by law or at HBI established frequency of every 2 years to determine employee exposure to Solvents.

**Question: Has the facility conducted industrial hygiene monitoring at the frequency required by law or at the HBI established frequency of every 2 years to determine employee exposure to solvents (Exposure by the use of chemicals as part of the manufacturing processes)?**

**Possible Answers -**

NA

0 - Never

1 - Once

2 - In compliance with the established time periods

3 - In compliance with the established time periods and after every layout change or new machines/process put in place

**Terminology & Definition: N/A**

### 2.7.2 Industrial Hygiene

Requirement – The facility shall conduct industrial hygiene monitoring at the frequency required by law or at HBI established frequency of every year to determine employee exposure to Heat Stress.

**Question: Has the facility conducted industrial hygiene monitoring at the frequency required by law or at HBI established frequency of every year to determine employee exposure to Heat stress?**

**Possible Answers -**

NA

0 - Never

1 - Once

2 - In compliance with the established time periods

3 - In compliance with the established time periods and after every layout change or new machines/process put in place

**Terminology & Definition: N/A**

### 2.7.3 Industrial Hygiene

Requirement – The facility shall conduct industrial hygiene monitoring at the frequency required by law or at HBI established frequency of every 2 years to determine employee exposure to Dust.

**Question: Has the facility conducted industrial hygiene monitoring at the frequency required by law or at HBI frequency of every 2 years to determine employee exposure to: Dust ?**

**Possible Answers -**

NA

0 - Never

1 - Once

2 - In compliance with the established time periods

3 - In compliance with the established time periods and after every layout change or new machines/process put in place

**Terminology & Definition: N/A**

### 2.7.4 Industrial Hygiene

Requirement – The facility shall conduct industrial hygiene monitoring at the frequency required by law or at HBI established frequency of yearly to determine employee exposure to Cold.

**Question: Has the facility conducted industrial hygiene monitoring at the frequency required by law or at HBI established frequency of annually to determine employee exposure to: Cold ?**

**Possible Answers -**

NA

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- 0 - Never
- 1 - Once
- 2 - In compliance with the established time periods
- 3 - In compliance with the established time periods and after every layout change or new machines/process put in place

**Terminology & Definition: N/A**

### 2.7.5 Industrial Hygiene

Requirement – The facility shall conduct industrial hygiene monitoring at the frequency required by law or at HBI established frequency of yearly to determine employee exposure to Noise.

**Question: Has the facility conducted industrial hygiene monitoring as required by law or according to the HBI standard to determine employee exposure to NOISE (every 3 years)**

**Possible Answers -**

- NA
- 0 - Never
- 1 - Once
- 2 - In compliance with the established time periods
- 3 - In compliance with the established time periods and after every layout change or new machines/process put in place

**Terminology & Definition: N/A**

### 2.7.6 Industrial Hygiene

Requirement – Proper actions shall be taken in a timely manner to remediate findings identified in industrial hygiene monitoring.

**Question: Have proper actions been taken in a timely manner to remediate findings identified in industrial hygiene monitoring?**

**Possible Answers -**

- NA
- 0 - Never
- 1 - CAP established
- 2 - CAP established but only partially implemented
- 3 - Implemented

**Terminology & Definition: N/A**

### 2.7.7 Industrial Hygiene

Requirement – Has the facility conducted industrial hygiene monitoring as required by law or at HBI established frequency of every 2 years to determine adequate LIGHTING CONDITIONS in the workplace.

**Question: Has the facility conducted industrial hygiene monitoring as required by law or at HBI established frequency of every 2 years to determine adequate LIGHTING CONDITIONS in the workplace?**

**Possible Answers -**

- NA
- 0 - Never
- 1 - Once
- 2 - In compliance with the established time periods
- 3 - In compliance with the established time periods and after every layout change or new machines/process put in place

**Terminology & Definition: N/A**

### 2.8.1 Eating Area

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Requirement – There shall be a comprehensive training program in place for food safety for canteen/cafeteria employees.

**Question: Is there a comprehensive training program in place for food safety for canteen/cafeteria employees?**

**Possible Answers -**

NA

0 - No

1 - Once at hire or some training without proper documentation.

2 - At hire and more than 1 year thereafter and/or yearly with proper documentation.

3 - At hire at least yearly thereafter and with proper documentation.

**Terminology & Definition: N/A**

### 2.9.1 Dormitories

Requirement – None referenced

**Question: Does the facility provide residential facilities or any kind of overnight accommodation for the employees? If yes enter numbers of each in the description box below. Owned by facility Rental Units Vendor/Service Provider Other**

**Possible Answers -**

NA

0 - No Answer

1 - Yes Rental Units or Vendor/Service Provider

3 - Yes Owned by Facility

**Terminology & Definition: N/A**

### 2.9.2 Dormitories

Requirement – If the facility provides residential facilities or any kind of overnight accommodation for its employees the dormitories shall be separate from the workplace and warehouses.

**(High Risk – SERIOUS)**

**Question: Are dormitories separate from the production floor and/or warehouses?**

**Possible Answers -**

NA

-40 - No

3 - Yes in completely separate buildings

**Terminology & Definition: N/A**

### 2.9.3 Dormitories

Requirement – Dormitory sleeping rooms shall be segregated by gender and married couples.

**Question: Are dormitory sleeping rooms segregated by gender and married couples?**

**Possible Answers -**

NA

0 - No

1 - Separated on same floor

2 - Separated on different floors

3 - Different buildings

**Terminology & Definition: N/A**

### 2.9.4 Dormitories

Requirement – Clean functional mattresses shall be available to occupants.

**Question: Are clean functional mattresses available to occupants?**

**Possible Answers -**

NA  
0 - No  
3 - Yes

**Terminology & Definition: N/A**

## 2.9.5 Dormitories

Requirement – Beds shall be at least 12 inches off the ground.

**Question: Are beds at least 12 inches off the ground?**

**Possible Answers -**

NA  
0 - On the ground  
1 - 1" -6"  
2 - 7"-12"  
3 - 12"and with proper bed frame

**Terminology & Definition: N/A**

## 2.9.6 Dormitories

Requirement – Residents shall have access to restrooms that meet the following standards: 1. Clean toilets 2. Adequate numbers for all employees 3. Lockable doors 4. Toilet paper

**Question: Do all residents have access to restrooms that meet the following criteria: 1 - Cleaned at least daily based on a pre-established schedule \*2 - provided in adequate numbers for all residents according to local law \*3? lockable 4 - toilet paper**

**Possible Answers -**

NA  
0 - No  
1 - Two out of four \*(criteria marked by an asterisk are required)  
2 - Three out of four  
3 - Four out of four

**Terminology & Definition: N/A**

## 2.9.7 Dormitories

Requirement – Residents shall have access to bathing facilities that meet the following standards: 1 - Cleaned at least daily based on a pre-established schedule\* 2 - provided in adequate numbers for all residents according to local law\* 3 Shower heads provided 4 - Potable water

**Question: Do all residents have access to bathing facilities that meet the following criteria: 1 - Cleaned at least daily based on a pre-established schedule \*2 - provided in adequate numbers for all residents according to local law \*3 Shower heads provided 4 - Potable water**

**Possible Answers -**

NA  
0 - No  
1 - Two of four \*(criteria marked by an asterisk are required)  
2 - Three of four  
3 - Four of four

**Terminology & Definition: N/A**

## 2.9.8 Dormitories

Requirement – Toilets and bathrooms shall be segregated by gender

**Question: Are toilets and bathrooms segregated by gender?**

**Possible Answers -**

NA

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- 0 - No
- 2 - Separated by gender
- 3 - Toilets and bathroom are in each sleeping room

**Terminology & Definition: N/A**

### 2.9.9 Dormitories

Requirement – Restrooms shall be less than 200 ft. away from sleeping quarters.

**Question: Are restrooms less than 200 ft. away from sleeping quarters?**

**Possible Answers -**

NA

0 - Over 200'

1 - From 150' - 200'

2 - From 100' -150'

3 - Less than 100' and in the same building

**Terminology & Definition: N/A**

### 2.9.10 Dormitories

Requirement – Dormitories shall be provided with air conditioning or with fans in each room and screens on all windows.

**Question: Are dormitories provided with air conditioning or with fans in each room and screens on all windows?**

**Possible Answers -**

NA

0 - No

1 - Screens

2 - Screens and fans

3 - AC

**Terminology & Definition: N/A**

### 2.9.11 Dormitories

Requirement – Fire exits shall be in compliance with local fire safety laws and regulations.

**(High Risk – CRITICAL)**

**Question: ARE ALL FIRE EXITS IN COMPLIANCE WITH LOCAL FIRE SAFETY LAWS AND REGULATIONS?**

**Possible Answers -**

NA

-40 - No

3 - Yes

**Terminology & Definition: N/A**

### 2.9.12 Dormitories

Requirement – Each resident shall have access to at least two (2) separately located emergency exits.

**(High Risk – SERIOUS)**

**Question: DOES EACH RESIDENT HAVE ACCESS TO AT LEAST TWO (2) SEPARATELY LOCATED EMERGENCY EXITS?**

**Possible Answers -**

NA

-40 - No

3 - Yes

**Terminology & Definition: N/A**

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### 2.9.13 Dormitories

Requirement – Smoke detectors shall be provided in each sleeping room and tested monthly.

**Question: Are smoke detectors provided in each sleeping room and tested monthly?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Halls only
- 2 - Each room
- 3 - Each room with scheduled and documented monthly tests

**Terminology & Definition: N/A**

### 2.9.14 Dormitories

Requirement – All fire exits shall be always unlocked.

**(High Risk – CRITICAL)**

**Question: Are all fire exits always unlocked?**

**Possible Answers -**

- NA
- 40 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 2.9.15 Dormitories

Requirement – Adequate number of fire extinguishers (residents must not walk more than 50 feet to get to one or as required by local law) shall be properly installed clearly marked and easily accessible?

**(High Risk – CRITICAL)**

**Question: ARE AN ADEQUATE NUMBER OF FIRE EXTINGUISHERS (RESIDENTS MUST NOT WALK MORE THAN 50 FT TO GET TO ONE OR AS REQUIRED BY LOCAL LAW) PROPERLY INSTALLED CLEARLY MARKED AND EASILY ACCESSIBLE?**

**Possible Answers -**

- NA
- 40 - No
- 1 - Adequate number and all accessible
- 3 - Adequate number and all marked and all accessible

**Terminology & Definition: N/A**

### 2.9.16 Dormitories

Requirement – Evacuation routes shall be posted in all dormitory buildings with clear understandable directions on how to exit the dormitory in case of an emergency.

**(High Risk – CRITICAL)**

**Question: ARE EVACUATION ROUTES POSTED IN ALL DORMITORY BUILDINGS WITH CLEAR UNDERSTANDABLE DIRECTIONS ON HOW TO EXIT THE DORMITORY IN CASE OF AN EMERGENCY?**

**Possible Answers -**

- NA
- 40 - No
- 1 - Some are marked but not all; and the evacuation maps are not posted on every floor
- 2 - 100% of the routes are marked; and the evacuation maps are posted on every floor
- 3 - 100% marked routes with defined meeting points and with dated and signed evacuation maps; and the evacuation maps are posted on every floor

**Terminology & Definition: N/A**

### 2.9.17 Dormitories

Requirement – Dormitory facility shall have a fully functional emergency alarm system for notifying personnel to evacuate the site.

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**Question: Does the dormitory facility have a fully functional emergency alarm system for notifying personnel to evacuate the site?**

**Possible Answers -**

NA

0 No

1 Local area alarm

2 Dormitory Facility alarm connected to a local monitoring system

3 Dormitory facility alarm with monitoring system connected to a 3rd party monitoring system

**Terminology & Definition: N/A**

### 2.9.18 Dormitories

Requirement – Evacuation drills shall be conducted and documented once every six (6) months at all dormitory buildings.

**(High Risk – CRITICAL)**

**Question: ARE EVACUATION DRILLS CONDUCTED AND DOCUMENTED ONCE EVERY SIX (6) MONTHS AT ALL DORMITORY BUILDINGS?**

**Possible Answers -**

NA

-40 - No or the last evacuation drill conducted/documentated of all dormitory buildings was greater than a year ago

1 - Evacuation drills are conducted and documented every 6-12 months at all dormitory buildings

2 - Evacuation drills are conducted and documented every 3-6 months at all dormitory buildings

3 - Evacuation drills are conducted and documented every 3 months on each shift at all buildings

**Terminology & Definition: N/A**

### 2.9.19 Dormitories

Requirement – Combustible materials shall be stored outside the dormitories or buildings connected to the dormitories.

**(High Risk – CRITICAL)**

**Question: Are combustible materials stored outside the dormitories or buildings connected to the dormitories?**

**Possible Answers -**

NA

-40 - No. Propane and/or LPG gas tank stored or used in the sleeping areas of the dormitory building

0 - No. Combustible materials are stored in the dormitories buildings or other building connected to the dormitories building

3 - Yes

**Terminology & Definition: N/A**

### 2.9.20 Dormitories

Requirement – Employees shall have unrestricted access to drinkable water on each floor of the dormitory.

**Question: Do employees have unrestricted access to drinkable water on each floor of the dormitory?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 2.9.21 Dormitories

Requirement – Drinking water quality shall meet the drinking standards per 3rd-party lab test.

**Question: Does the drinking water quality meet the drinking standards per 3rd-party lab test?**

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### Possible Answers -

NA

0 - No

1 - Yes but test is more than a year old.

2 - Yes test conducted within the current year

3 - Yes. Test conducted every 3 months and posted at every drinking source

**Terminology & Definition: N/A**

### 2.9.22 Dormitories

Requirement – One stocked first aid kit shall be made available for every 100 employees in the dormitories.

**Question: Is there one stocked first aid kit made available for every 100 employees in the dormitories?**

### Possible Answers -

NA

0 - One for every 101 employees or more

1 - One for at least every 100 employees but not stocked

2 - One for at least every 100 employees and fully stocked

3 - One for less than every 100 employees and fully stocked

**Terminology & Definition: N/A**

### 2.9.23 Dormitories

Requirement – Clean and adequate self-cooking areas shall be provided for the use of employees.

**Question: Are clean and adequate self-cooking areas provided for the use of employees?**

### Possible Answers -

NA

0 - No cooking area

1 - Yes- But dirty and/or insufficiently equipped

2 - Yes- Clean and sufficiently equipped & separated from sleeping floor

3 - Full functional kitchen including cooking stove and refrigerator are separated from sleeping floor

**Terminology & Definition: N/A**

### 2.9.24 Dormitories

Requirement – Clean laundry facilities shall be provided for the use of employees.

**Question: Are clean laundry facilities provided for the use of employees?**

### Possible Answers -

NA

0 - No

1 - Yes but dirty and/or inadequate

2 - Clean & adequate but only manual equipment

3 - Clean one washer for each 20 employees

**Terminology & Definition: N/A**

### 2.9.25 Dormitories

Requirement – There shall be written dormitory rules posted for residents and/or guests.

**Question: Are there written dormitory rules posted for residents and/or guests?**

### Possible Answers -

NA

0 - No

1 - Yes but not in all applicable languages

3 - Yes in all languages

## Terminology & Definition: N/A

### 2.9.26 Dormitories

Requirement – Workers shall be permitted to exit and re-enter the dormitory freely during their personal time off from work.

**Question: Are workers permitted to exit and re-enter the dormitory freely during their personal time off from work?**

**Possible Answers -**

NA

0 - No

1 - Curfews exists but are only between 8:00 pm – 7:00 am

2 - Curfews exists but are only between 10:00 pm – 6:00 am

3 -No curfews. Full and free access

**Terminology & Definition: N/A**

### 2.9.27 Dormitories

Requirement – There shall be at least 1 full-time dormitory cleaning/maintenance person for every 250 residents.

**Question: Is there at least 1 full-time dormitory cleaning/maintenance person for every 250 residents?**

**Possible Answers -**

NA

0 - One for more than every 250

1 - One for every 250

2 - One for every 150-249

3 - One for every 149 or less

**Terminology & Definition: N/A**

### 2.9.28 Dormitories

Requirement – Dormitory interior shall be re-painted with lead-free paint in the last: 12 -18 months

**Question: Has the dormitory interior been re-painted with lead-free paint?**

**Possible Answers -**

NA

0 - No

1 - During the last 18-24 months

2 - During the last 12-18 months

3 - During the last 3-12 months

**Terminology & Definition: N/A**

### 2.9.29 Dormitories

Requirement – The number of employees per sleeping room shall be no more than Hbl dormitory guideline (8 occupants per sleeping room) or the legal requirement.

**Question: Is the number of employees per sleeping room no more than Hbl dormitory guideline (8 occupants per sleeping room) or the legal requirement?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 2.9.30 Dormitories

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Requirement – The factory shall provide at least 3 square meters of floor space in the dormitory room for each occupant and ensure adequate privacy.

**Question: Does the factory provide at least 3 square meters of floor space in the dormitory room for each occupant and ensure adequate privacy?**

**Possible Answers -**

NA

0 - Less than 3 square meters of floor space for each occupant

1 - Yes- more than 3 square meters without adequate privacy (e.g. personal locker)

3 - Yes- more than 3 square meters with adequate privacy (e.g. personal locker)

**Terminology & Definition: N/A**

### 6.3.1 Facility Tour

Requirement – The facility shall promote workplace safety and health awareness through adequate signs and warnings throughout the building.

**Question: Does the facility promote workplace safety and health awareness thru adequate signs and warnings throughout the plant?**

**Possible Answers -**

NA

0 - No

1 - Hand-made improvised signs

2 - Power Point or professionally made signs on bulletin boards

3 - Power point or professionally made signs in multiple locations

**Terminology & Definition: N/A**

### 6.3.2 Facility Tour

Requirement – Employees shall have unrestricted access to drinking water.

**Question: Do employees have unrestricted access to drinking water?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 6.3.3 Facility Tour

Requirement – Drinking water quality shall meet the drinking standards per 3rd-party lab test.

**Question: Does the drinking water quality meet the drinking standards per 3rd-party lab test? (In US for city water State testing document will suffice.)**

**Possible Answers -**

NA

0 - No

1 - Yes but test is more than a year old.

2 - Yes test conducted within the current year

3 - Yes test conducted every 3 months and posted at every drinking source

**Terminology & Definition: N/A**

### 6.3.4 Facility Tour

Requirement – Employees shall have access to restrooms that meet the following standards: 1. Clean toilets 2. Adequate numbers for all employees 3. Lockable doors 4. Toilet paper 5. Separated by gender (if separated how many for men and how many for women.)

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**Question: Do all employees have access to restrooms that meet the following standards: 1 - Clean toilets \* 2 - Provided in adequate numbers for all employees \* 3 ? Lockable 4 - Toilet paper 5 - Separated by gender If separated by gender enter how many for each in the description box.**

**Possible Answers -**

NA

0 - No

1 - Three out of five \*(criteria marked by an asterisk are required)

2 - Four out of five

3 - Five of five

**Terminology & Definition: N/A**

### 6.3.5 Facility Tour

Requirement – Employees shall have access to functional hand-washing facilities within the toilet facilities area that meet the following standards: 1. Potable water 2. Sanitary conditions 3. Soap 4. Towels or means of drying

**Question: Do all employees have access to functional hand-washing facilities within the toilet facilities area that meet the following standards: 1 Potable water 2 in sanitary condition 3 with soap 4 with towels or means of drying**

**Possible Answers -**

NA

0 - No

1 - Two of four (Must always include #1)

2 - Three of four (potable water - sanitary conditions - soap)

3 - Four of four

**Terminology & Definition: N/A**

### 6.3.6 Facility Tour

Requirement – Facility shall have medically trained personnel on site: doctor or nurse or the facility may set up a relationship with a local doctor's office or urgent care to see employees when needed.

**Question: Are there any medically trained personnel (nurse and doctor) on site?**

**Possible Answers -**

NA

0 - No

1 - Part time nurse or part time doctor, or factory signed contract with near hospital which can support the emergency incident within 5 minutes.

2 - Full time nurse and part time doctor

3 - Full time nurse and full time doctor

**Terminology & Definition: N/A**

### 6.3.7 Facility Tour

Requirement – There should be at least one stocked first aid kit available for every 100 employees physically in the facility.

**Question: Is there one stocked first aid kit made available for every 100 employees physically in the facility?**

**Possible Answers -**

NA

0 - One for more than every 100 employees

1 - One for at least 100 not fully stocked

2 - One for at least 100 fully stocked

3 - One for less than 100 fully stocked

**Terminology & Definition: N/A**

### 6.3.8 Facility Tour

Requirement – There shall be an acceptable clean sickroom/first-aid room/infirmary in the facility.

**Question: Is there an acceptable clean sickroom/first-aid room/infirmary?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 6.3.9 Facility Tour

Requirement – The facility shall have a fully functional emergency alarm system for notifying personnel to evacuate the site.

**Question: Does the facility have a fully functional emergency alarm system for notifying personnel to evacuate the site?**

**Possible Answers -**

NA

0 - No

1 - Local area alarm

2 - Plant wide alarm connected to a local monitoring system

3 - Plant wide alarm with monitoring system connected to a 3rd party monitoring system

**Terminology & Definition: N/A**

### 6.3.10 Facility Tour

Requirement – Evacuation routes shall be posted in all work areas with clear understandable directions on how to exit the facility in case of an emergency.

**Question: Are evacuation routes clearly marked through the facility in case of an emergency?**

**Possible Answers -**

NA

0 - No

1 - Some evacuation routes are marked but not all

3 - 100% of the routes are marked.

**Terminology & Definition: N/A**

### 6.3.11 Facility Tour

Requirement – Each employee shall have access to at least two (2) separately located emergency exits.

**(High Risk – SERIOUS)**

**Question: Does each employee have access to:**

a) at least two (2) separately located Exits on each floor to permit prompt evacuation of employees and other building occupants during an emergency?

b) at least two (2) separately located Exit Access in each room/fire compartment/mezzanine of the factory building where more than 20 employees are engaged?

**Possible Answers -**

NA

-40 - No

3 - Yes

**Terminology & Definition:**

- **Exit:** That portion of a means of egress that is separated from all other spaces of the building or structure by construction, location, or equipment as required to provide a protected way of travel to the exit discharge.
- **EXIT ACCESS:** That portion of a means of egress that leads to an exit.

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- **EXIT DISCHARGE:** That portion of a means of egress between the termination of an exit and a public way.
- **MEANS OF EGRESS/ Exit routes:** A continuous and unobstructed way of travel from any point in a building or structure to a public way consisting of three separate and distinct parts: (1) the exit access, (2) the exit, and (3) the exit discharge.
- **Room:** a portion of space within a building, separated by walls or partitions from other parts, usually it has door assembly.
- **Fire Compartment:** A space within a building that is enclosed by fire barriers on all sides, including the top and bottom.
- **Mezzanine:** An intermediate level between the floor and the ceiling of any room or space.

### 6.3.12 Facility Tour

Requirement – Aisles and emergency exit doors shall be clearly marked with emergency lights accessible and be kept clear of obstructions (inside and outside) in full compliance with law.

**Question: Are aisles and emergency exit doors clearly marked with emergency lights accessible and kept clear of obstructions (inside and outside) in full compliance with law?**

**Possible Answers -**

NA  
0 - No  
3 - Yes  
NA

**Terminology & Definition: N/A**

### 6.3.13 Facility Tour

Requirement – Emergency powered lighting shall be installed in evacuation routes and inspected monthly.

**Question: Is emergency powered lighting installed at all evacuation and staircases routes and inspected monthly?**

**Possible Answers -**

NA  
0 - No  
1 - Installed at all routes and staircases with quarterly inspections  
3 - Installed at all routes and staircases with monthly inspections

**Terminology & Definition: N/A**

### 6.3.14 Facility Tour

Requirement – Emergency exit doors in rooms with more than ten (10) employees shall open outwards

**Question: Do emergency exit doors in rooms with more than ten (10) employees open outwards and are in compliance with local regulations?**

**Possible Answers -**

NA  
0 - No  
3 - Yes

**Terminology & Definition: N/A**

### 6.3.15 Facility Tour

Requirement – Emergency exit doors shall be kept unlocked when the facility buildings are occupied.

**(High Risk – CRITICAL)**

**Question: ARE EMERGENCY EXIT DOORS KEPT UNLOCKED WHEN THE FACILITY BUILDINGS ARE OCCUPIED?**

**Possible Answers -**

NA  
-40 - No  
3 - Yes

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### Terminology & Definition: N/A

#### 6.3.16 Facility Tour

Requirement – Doors and passageways that could be mistaken for emergency exits shall be appropriately marked "NOT AN EXIT".

**Question: Are all doors and passageways that could be mistaken for emergency exits appropriately marked "NOT AN EXIT"?**

**Possible Answers -**

NA

0 - More than three violations

3 - No violations

**Terminology & Definition: N/A**

#### 6.3.17 Facility Tour

Requirement – There shall be an adequate number of fire extinguishers (employees must not walk more than 50 feet to get to one or as required by local law) properly installed clearly marked and easily accessible.

**(High Risk – CRITICAL)**

**Question: ARE AN ADEQUATE NUMBER OF FIRE EXTINGUISHERS (EMPLOYEES MUST NOT WALK MORE THAN 50 FT TO GET TO ONE OR AS REQUIRED BY LOCAL LAW) PROPERLY INSTALLED CLEARLY MARKED AND EASILY ACCESSIBLE?**

(\*If there is discrepancy between local law requirement and Hbl standard, supplier needs to follow the standard which is tighter.)

**Possible Answers -**

NA

-40 - No

1 - Adequate number and all accessible

2 - Adequate number and all marked and all accessible

3 - Adequate number and all marked all accessible and properly installed

**Terminology & Definition:**

- Please refer to the Hbl guideline document <Fire Extinguishers Location and Placement in Workplace>.

#### 6.3.18 Facility Tour

Requirement – All fire extinguishers shall be fully charged and visually inspected monthly.

**Question: Are all fire extinguishers fully charged and visually inspected monthly?**

**Possible Answers -**

NA

0- No

1 - Charged but not inspected

2 - Charged and inspected

3 - Charged inspected and logged according to documented procedure

**Terminology & Definition: N/A**

#### 6.3.19 Facility Tour

Requirement – Are all fire extinguishers serviced by certified personnel following legal requirements or at least once year.

**Question: Are all fire extinguishers serviced by certified personnel following legal requirements or at least once year?**

**Possible Answers -**

NA

0 - No

2 - In Compliance with legal requirement but not at least once a year

3 - Yes

**Terminology & Definition: N/A**

### 6.3.20 Facility Tour

Requirement – Operating instructions shall be placed near the extinguishers in the local language spoken with a mechanism to ensure understanding by all employees (Such as diagram/photograph instructions.)

**Question: Are operating instructions placed near the extinguishers and fire hydrants in the local language spoken by employees?**

**Possible Answers -**

NA

0 - No

1 - Less than 50% of extinguishers and fire hydrants

2 - 50%-99% of extinguishers and fire hydrants

3 - 100% of extinguishers and fire hydrants

**Terminology & Definition: N/A**

### 6.3.21 Facility Tour

Requirement – Machine safeguards shall be provided and used in all point of operations: 1. Power transmission devices 2. Hazardous moving parts 3. Pulleys and belts 4. Blades and cutters

**Question: Are machine safeguards provided and used in all point of operations? I.e. Power transmission devices or Hazardous moving parts or Pulleys and belts or Blades and cutters.**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 6.3.22 Facility Tour

Requirement – All required personal protective equipment (PPE) shall be available for all employees at no cost to them.

**Question: Is all required personal protective equipment (PPE) available for all employees at no cost to them?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 6.3.23 Facility Tour

Requirement – All employees who are required to use PPE shall use PPE properly.

**Question: Are all employees who are required to use PPE properly using it?**

**Possible Answers -**

NA

0 - >20 found not using PPE or any one cutting employee found not using a cutting glove

1 - 6 - 20 found not using PPE

2 - <5 found not using PPE

3 - All employees are using PPE. Management has a system in place to correct and/or discipline employees who are not using PPE properly

**Terminology & Definition: N/A**

### 6.3.24 Facility Tour

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Requirement – Signs and warnings shall be posted in the appropriate language in required areas and on machinery requiring employees to wear PPE.

**Question: Are signs and relevant safety warnings posted in local language in required areas and on machinery requiring employees to wear personal protective equipment (PPE)?**

**Possible Answers -**

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 6.3.25 Facility Tour

Requirement – MSDS's shall be current and readily accessible for all chemicals used without barriers to any employee who requests access to this information. (a facility will be required to provide an MSDS in languages other than the local language when an employee who does not converse in the local language requests chemical information contained in the MSDS).

**Question: Are up-to-date MSDS's present for all chemical used and are they available to all employees in the local language and made available in another language as requested by employees if local language not fully understood?**

**Possible Answers -**

- NA
- 0 - No
- 1 - MSDS's Provided for all chemicals
- 2 - MSDS's provided for all chemicals in all languages spoken by employees
- 3 - MSDS's provided for all chemicals in all languages spoken by employees and available to all employees

**Terminology & Definition: N/A**

### 6.3.26 Facility Tour

Requirement – All chemical substances shall be properly labeled

**Question: Are all chemical substances properly labeled?**

**Possible Answers -**

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 6.3.27 Facility Tour

Requirement – Only authorized personnel shall have access to hazardous chemicals.

**Question: Do only authorized personnel have access to hazardous chemicals?**

**Possible Answers -**

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 6.3.28 Facility Tour

Requirement – Fumes and steam shall be properly exhausted.

**Question: Are fumes and steam properly exhausted?**

**Possible Answers -**

- NA

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- 0 - No
- 2 - Yes contained
- 3 - Yes exhausted to the outside

**Terminology & Definition: N/A**

### 6.3.29 Facility Tour

Requirement – Chemicals shall be stored in an area designed for and dedicated to the storage of such substances so that one can closely monitor their use contain any spills and limit and control access to this area.

**Question: Are chemicals stored in an area designed for and dedicated to the storage of such substances so that one can closely monitor their use contain any spills and limit and control access to this area?**

**Possible Answers -**

NA

- 0 - Not stored in separate room – full access to all employees
- 1 - Kept in separate room not locked but nothing in place to contain spills
- 2 - Kept in separate room locked but nothing in place to contain spills
- 3 - Yes

**Terminology & Definition: N/A**

### 6.3.30 Facility Tour

Requirement – Functional emergency eyewash stations and showers shall be provided where hazardous chemicals are handled and used.

**Question: Are functional emergency eyewash stations and showers provided where hazardous chemicals are handled and used?**

**Possible Answers -**

NA

- 0 - No
- 1 - Yes with quarterly inspections
- 2 - Yes with monthly inspections
- 3 - Yes with weekly inspections

**Terminology & Definition: N/A**

### 6.3.31 Facility Tour

Requirement – There shall be: 1 .Adequate kitchen canteen/cafeteria facilities 2. Clean/hygienic kitchen canteen/cafeteria facilities 3. Regulated temperature in kitchen canteen/cafeteria facilities[no less than 65 F (18 C) degrees and no more than 80 F (27 C) degrees]

**Question: Are there: 1.- Adequate kitchen canteen/cafeteria facilities 2.- Are they clean/hygienic and 3. - Is the temperature no less than 65 F and no more than 80 F (18-27 C)?**

**Possible Answers -**

NA

- 0 - No
- 1 - One of three
- 2 - Two of three
- 3 - Three of three

**Terminology & Definition: N/A**

### 6.3.32 Facility Tour

Requirement – The kitchen/food preparation area shall receive all inspection/licensing that are subjected to the local government (all inspection/licensing are current).

**Question: If kitchen/food preparation area is subject to local government inspection/licensing have all inspection/licensing been received and are they current? Add License expiration date in description**

### Possible Answers -

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 6.3.33 Facility Tour

Requirement – All garbage containers shall be properly covered.

**Question: Are all garbage containers properly covered?**

### Possible Answers -

- NA
- 0 - No
- 3 - Yes all containers are properly covered

**Terminology & Definition: N/A**

### 6.3.34 Facility Tour

Requirement – Food shall be kept off the floor areas in the kitchen.

**Question: Is food kept off the floor areas in the kitchen?**

### Possible Answers -

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 6.3.35 Facility Tour

Requirement – Adequate food storage methods and controls shall be in place to prevent spoilage.

**Question: Are there adequate food storage methods and controls to prevent spoilage?**

### Possible Answers -

- NA
- 0 - No
- 1 - Undocumented FIFO program
- 2 - Yes with FIFO and labels but no daily inspections
- 3 - Yes with FIFO labels and daily inspection program FIFO (First In First Out)

**Terminology & Definition: N/A**

### 6.3.36 Facility Tour

Requirement – All high risk equipment (i.e. Compressors, emergency power generator, boiler, central AC unit, industrial elevators, etc.) have the appropriate operating certifications as recommended by the manufacturer and/or required by law and have been inspected by certified personnel as required by law or at least annually.

**Question: Does high risk equipment (i.e. Compressors, emergency power generator, boiler, central AC unit, industrial elevators, etc.) have the appropriate operating certifications as recommended by the manufacturer and/or required by law and has been inspected by certified personnel as required by law or at least annually?**

### Possible Answers -

- NA
- 0 - No
- 1 - Yes- all special equipment has been registered & approved. But not inspected regularly.
- 3 - Yes- all special equipment has been registered & approved and inspected by certified personnel annually or as required by law.

**Terminology & Definition: N/A**

### 6.3.37 Facility Tour

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Requirement – The factory does not share the building with other manufactures.

**Question: Does the factory operates on its own independent building(s) ?**

**Possible Answers -**

NA

0 - No. The factory shares the building with other manufacturers

3 - Yes

**Terminology & Definition: N/A**

### 6.3.38 Facility Tour

Requirement – All electrical panels should be regularly inspected & unblocked & closed and covered to prevent external material getting in contact with electrical parts.

**Question: Are all electrical panels regularly inspected & unblocked & closed and covered to prevent external material getting in contact with electrical parts?**

**Possible Answers -**

NA

0 - No inspection- panels were blocked or had openings.

1 - Panels are not fully covered & are dirty and not in good condition and inspected at least twice a year.

2 - Panels are properly covered and inspected on a quarterly basis.

3 - Panels are inspected on a monthly basis and are in good condition and with restricted access.

**Terminology & Definition: N/A**

### 6.3.39 Facility Tour

Requirement – Evacuation maps need to be posted in all work areas with clear & understandable directions on how to exit the facility in case of an emergency.

**Question: Are evacuation maps posted in all work areas with clear & understandable directions on how to exit the facility in case of an emergency?**

**Possible Answers -**

NA

0 - No

1 - Some evacuation maps are posted routes are marked but do not cover all areas

2 - Evacuation maps are posted covering all areas

3 - Evacuation maps are posted in all areas with defined meeting points and dated with latest update and signed by responsible person

**Terminology & Definition: N/A**

### 6.3.40 Facility Tour

Requirement – All non-fix compressed gas tanks shall be stored properly.

**Question: Are all non-fix compressed gas tanks stored properly? 1- Chained or secured 2- Segregated 3- Properly labeled**

**Possible Answers -**

NA

0 - No

1 - One of three (Must include #1)

2 - Two of three

3 - Three of three

**Terminology & Definition: N/A**

### 6.3.41 Facility Tour

Requirement – All ladders and moving stairs shall be in good working condition and inspected monthly.

**Question: Are all ladders and moving stairs in good working condition and inspected monthly?**

**Possible Answers -**

NA

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0 - No

3 - Yes

**Terminology & Definition: N/A**

### 6.3.42 Facility Tour

Requirement – Appropriate secondary containment shall be used to prevent hazardous chemical from being scattered and leaked.

**Question: Is appropriate secondary containment used to prevent hazardous chemical from being scattered and leaked? (Secondary containment for a single container will be 110% of the primary container. Secondary containment for multiple containers will be 150% of the largest containers volume or 10% of the aggregate volumes of all containers, which is greater)**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

## Labor

### 3.1.1 Compensations Benefits & Working Hours/Compensations

Requirement – Facility shall have comprehensive written policies and procedures consistent with legal requirements governing compensation and benefits of the employees.

**Question: Does the facility have comprehensive written policies and procedures consistent with legal requirements governing compensation and benefits of the employees?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most compensation and benefits issues.

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 3.1.2 Compensations Benefits & Working Hours/Compensations

Requirement – Employees shall have received training on this policy.

**Question: Are all employees trained on this policy? (Compensations and benefits)**

**Possible Answers -**

NA

0 - No or without documentation (attendance sheet)

1 - Once at hire with proper documentation (attendance sheet)

2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)

3 - At hire- at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 3.1.3 Compensations Benefits & Working Hours/Compensations

Requirement – Employees shall be paid at least the legal minimum wage.

**(High Risk – SERIOUS)**

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**Question: Are all employees paid at least the legal minimum wage, and are the wages and compensation payments traceable ? (i.e., the factory is maintaining adequate third-party documents (bank documents) to support wages payments made either by cash or by electronic bank transfer)**

**Possible Answers -**

- NA
- 40 - One or more employees paid less than minimum
- 3 - All employees paid the minimum wage

**Terminology & Definition: N/A**

### 3.1.4 Compensations Benefits & Working Hours/Compensations

Requirement – Legal minimum wage rate shall be posted conspicuously on the work floor and available to employees.

**Question: Is the legal minimum wage rate posted conspicuously on the work floor and available to employees?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Posted on at least one board
- 2 - Posted on several boards
- 3 - Posted on several boards and also communicated directly to all employees by management

**Terminology & Definition: N/A**

### 3.1.5 Compensations Benefits & Working Hours/Compensations

Requirement – All overtime hours shall be calculated and paid according to law.

**Question: Are all overtime hours calculated and paid according to law?**

**Possible Answers -**

- NA
- 0 - One or more employees paid less than legal requirements
- 3 - All employees paid according to law

**Terminology & Definition: N/A**

### 3.1.6 Compensations Benefits & Working Hours/Compensations

Requirement – Facility shall provide all employees with advance notice of the pay calculation and a pay record or stub that shows payment calculations including all applicable allowances and deductions.

**Question: Does the facility provide all employees with advance notice of the pay calculation and a pay record or stub that shows payment calculations including all applicable allowances and deductions?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Stub provided with detailed calculations of pay and deductions
- 2 - Advance notice of pay calculation and deductions provided prior to detailed stub
- 3 - Advance notice of pay calculation/deductions provided prior to detailed stub plus a procedure by which employees can effectively challenge miscalculated pay.

**Terminology & Definition: N/A**

### 3.1.7 Compensations Benefits & Working Hours/Compensations

Requirement – Employees shall be paid in a timely manner as required by law.

**(High Risk – CRITICAL)**

**Question: Are employees paid in a timely manner as required by law?**

**Possible Answers -**

- NA
- 40 - Payroll delayed on 2 or more consecutive payment cycles
- 1 - Three or more times delay in a year, but paid within next payment cycle
- 2 - One to two delays in a year but pay delayed within 7 days

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3 - No delays

**Terminology & Definition: N/A**

### 3.1.8 Compensations Benefits & Working Hours/Compensations

Requirement – Facility shall pay the employees directly.

**Question: Does the facility pay the employees or legitimate contract agency directly?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.1.9 Compensations Benefits & Working Hours/Compensations

Requirement – Facility shall prohibit financial penalties for rules/policies violations.

**Question: Does the facility prohibit financial penalties for rules/policies violations?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.2.1 Compensations Benefits & Working Hours/Benefits

Requirement – Legally required withholdings shall be calculated withheld correctly and be paid to the proper agency as required by law (I.e., social security taxes pension funds etc.).

**Question: Are legally required withholdings being calculated withheld correctly and being paid to the proper agency as required by law (I.e., social security taxes pension funds etc.)?**

**Possible Answers -**

NA

0 - More than 4 delays in a year

1 - Three to four delays in a year

2 - One to two delays in a year

3 - No delays

**Terminology & Definition: N/A**

### 3.2.2 Compensations Benefits & Working Hours/Benefits

Requirement – Legally required benefits shall be provided (I.e., bonus vacations holidays maternity leave etc.).

**Question: Are legally required benefits provided (I.e., bonus vacations holidays maternity leave etc.)?**

**Possible Answers -**

NA

0 - One or more legally required benefits not provided

1 - All legal benefits are provided

2 - All legal and 2 additional benefits are provided

3 - All legal and 3 or more additional benefits are provided

**Terminology & Definition: N/A**

### 3.2.3 Compensations Benefits & Working Hours/Benefits

Requirement – Legally required benefits should be provided to non-permanent and temporary workers.

**Question: Are all legally required benefits provided to non-permanent and temporary workers?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.3.1 Compensations Benefits & Working Hours/Working Hours

Requirement – Facility shall have a comprehensive written policy for working hours and overtime in compliance with local laws and regulations.

**Question: Does the facility have a comprehensive written policy for working hours and overtime in compliance with local laws and regulations?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most working hours issues.

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 3.3.2 Compensations Benefits & Working Hours/Working Hours

Requirement – Employees shall receive training on this policy.

**Question: Are all employees trained on this policy (working hours)?**

**Possible Answers -**

NA

0 - No or without documentation (attendance sheet)

1 - Once at hire with proper documentation (attendance sheet)

2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)

3 - At hire- at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 3.3.3 Compensations Benefits & Working Hours/Working Hours

Requirement – Employees shall not work over the legal limits or over 48 regular hours plus 12 overtime hours per week.

**Question: Employees do not work over the legal limits or over 48 regular hours plus 12 overtime hours per week?**

**Possible Answers -**

NA

0 - One or more employees worked more than 60 hours or over the legal limit more than 6 weeks in the past year

1 - One or more employees worked more than 60 hours or over the legal limit from 1-6 weeks in the last year.

2 - No employee worked more than 60 hours or over the legal limit in the last year

3 - No employee worked more than 60 hours per week or the legal limit whichever is lower in the last year

**Terminology & Definition: N/A**

### 3.3.4 Compensations Benefits & Working Hours/Working Hours

Requirement – All overtime shall be voluntary.

**Question: Is all overtime voluntary?**

**Possible Answers -**

NA

0 - No Overtime is required

1 - Yes with a blanket agreement signed at hiring that says they agree to all overtime requested.

2 - Yes with weekly sign off sheets agreeing to the overtime.

3 - Yes with daily sign off sheets agreeing to the overtime.

**Terminology & Definition: N/A**

### 3.3.5 Compensations Benefits & Working Hours/Working Hours

Requirement – Employees shall be allowed a day off following six consecutive working days.

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**Question: Are employees allowed a day off following six consecutive working days?**

**Possible Answers -**

NA

0 - 7 or more consecutive days worked more than 3 times in last 90 days

1 - 7 or more consecutive days worked 2-3 times in last 90 days

2 - 7 or more consecutive days worked 1 time in last 90 days

3 - No occurrences in last 90 days of working more than 7 consecutive days

**Terminology & Definition: N/A**

### 3.3.6 Compensations Benefits & Working Hours/Working Hours

Requirement – All regular and overtime shall be properly recorded.

**Question: Are regular and overtime hours adequately and properly recorded?**

**Possible Answers -**

NA

0 - No

1 - Yes

2 - Yes with electronic system

3 - Yes with electronic system; and procedure through which employees can legitimately challenge hours worked

**Terminology & Definition: N/A**

### 3.3.7 Compensations Benefits & Working Hours/Working Hours

Requirement – All work shall be performed only in authorized facilities and under no circumstances shall work be performed at home.

**(High Risk – CRITICAL)**

**Question: IS ALL WORK PERFORMED ONLY IN AUTHORIZED FACILITIES AND UNDER NO CIRCUMSTANCES IS WORK PERFORMED AT HOME?**

**Possible Answers -**

NA

-40 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.3.8 Compensations Benefits & Working Hours/Working Hours

Requirement – Suppliers will record and report information accurately and honestly. Suppliers will not hide, fail to record, or make false records. All the time records, wages payment, and all operation records must accurately and faithfully reflect its operation.

**(High Risk – SERIOUS)**

**Question: Is there any evidence of misleading recordkeeping ("double-book") for wages, benefits, production and time records?**

**Possible Answers -**

NA

-40 - Yes

3 - No

**Terminology & Definition: N/A**

### 3.4.1 Employment Practices/Forced Labor

Requirement – Facility shall not employ prison labor.

**(High Risk - ZERO TOLERANCE)**

**Question: The facility does not employ prison labor?**

**Possible Answers -**

NA

-40 - Yes

3 - No

## Terminology & Definition: N/A

### 3.4.2 Employment Practices/Forced Labor

Requirement – Mandatory deposits shall not be required from the employees.

**Question: Mandatory deposits are not required from the employees and original personal documents such as I.D card, school/graduation, birth certificate, etc. are not held by the factory?**

**Possible Answers -**

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 3.4.3 Employment Practices/Forced Labor

Requirement – All employees shall receive training on this policy.

**Question: Mandatory deposits are not required from the employees and original personal documents such as I.D card, school/graduation, birth certificate, etc. are not held by the factory?**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
- 1 - Once at hire with proper documentation (attendance sheet)
- 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
- 3 - At hire -at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 3.4.4 Employment Practices/Forced Labor

Requirement – Facility shall have a comprehensive written forced labor policy.

**Question: Does the facility have a comprehensive written forced labor policy?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.
- 2 - Good workable written policy and procedure that generally covers most forced labor issues.
- 3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 3.4.5 Employment Practices/Forced Labor

Requirement – Employees should not need to pay additional cost or pay someone privately to apply the job or during the hiring process.

**Question: Is there evidence of employees need to pay additional cost or need to pay someone privately to apply the job or during the hiring process?**

**Possible Answers -**

- NA
- 0 - Yes, one or more employees reported there is additional cost or need to pay someone privately.
- 3 - No, no employees reported there is additional cost or need to pay someone privately.

**Terminology & Definition: N/A**

### 3.4.6 Employment Practices/Forced Labor

Requirement – Employer should not bind workers to employment as a condition of fulfilling terms of a debt/loan/cash advance.

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**Question: Does employer not bind workers to employment as a condition of fulfilling terms of a debt/loan/cash advance?**

**Possible Answers -**

- NA
- 0 – Workers are not allowed to resign until the loan is fully settled
- 3 – Workers who have taken the loan from the employer are free to resign from the company at any time

**Terminology & Definition: N/A**

### 3.4.7 Employment Practices/Forced Labor

Requirement – The lending program provided to the workers must be in compliance with relevant local laws and regulations.

**Question: Is the lending program provided to the workers in compliance with relevant local laws and regulations?**

**Possible Answers -**

- NA
- 0 - Not comply with local laws
- 3 - Comply with local laws

**Terminology & Definition: N/A**

### 3.4.8 Employment Practices/Forced Labor

Requirement – The employer should not charge any administrative fees or interest in lending program provided to the workers.

**Question: Does the employer not charge any administrative fees or interest?**

**Possible Answers -**

- NA
- 0 – There is an administrative fee, and the loan is not interest free
- 3 – No administrative fees and interest is levied

**Terminology & Definition: N/A**

### 3.4.9 Employment Practices/Forced Labor

Requirement – The employer should establish policies and procedures about loans/cash advances and governing with the local laws or regulations.

**Question: Has the employer established policies and procedures about loans/cash advances and governing with the local laws or regulations?**

**Possible Answers -**

- NA
- 0 – No any policy and procedure
- 1 - Thin aspirational written policy and procedure with specific details. Needs significant improvement
- 2 - Good workable written policy and procedure that generally covers most loans/cash advances issues
- 3 - Comprehensive detailed written policy and procedure. Best practice in industry

**Terminology & Definition: N/A**

### 3.4.10 Employment Practices/Forced Labor

Requirement – All employees need to receive the training about the policy about loans/cash advances.

**Question: Does all employees receive the training about this policy?**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
- 1 - Once at hire with proper documentation (attendance sheet)
- 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
- 3 - At hire- at least yearly thereafter and with proper documentation (attendance sheet)

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**Terminology & Definition: N/A**

### 3.5.1 Employment Practices/Child Labor

Requirement – Facility shall have a comprehensive written child labor policy.

**Question: Does the facility have a comprehensive written child labor policy?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most child labor issues.

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 3.5.2 Employment Practices/Child Labor

Requirement – All employees shall receive training on this policy.

**Question: Are all employees trained on this policy? (child labor)**

**Possible Answers -**

NA

0 - No or without documentation (attendance sheet)

1 - Once at hire with proper documentation (attendance sheet)

2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)

3 - At hire- at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 3.5.3 Employment Practices/Child Labor

Requirement – Facility shall prohibit employment of workers below the legal age or below 15 (whichever is greater).

**Question: Does the facility prohibit employment of workers below the legal age or below 15 whichever is greater?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.5.4 Employment Practices/Child Labor

Requirement – Facility shall obtain proof of age during the hiring process.

**Question: Does the facility obtain proof of age during the hiring process?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.5.5 Employment Practices/Child Labor

Requirement – Facility shall complete an age verification review of each new employee.

**Question: Does the facility complete an age verification review of each new employee?**

**Possible Answers -**

NA

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0 - No

1 - Yes but has incomplete paperwork on file

2 - Yes the facility reviews and validates and keeps on file proper proof of age documentation upon hire for all employees.

3 - Yes the facility reviews/validates/keeps on file proper proof of age documentation upon hire for all employees and performs self-audits on age documentation

**Terminology & Definition: N/A**

### 3.5.6 Employment Practices/Child Labor

Requirement – Facility shall comply with all legal regulations regarding juvenile workers.

**Question: Does the facility comply with all legal regulations regarding juvenile workers?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.5.7 Employment Practices/Child Labor

Requirement – Childcare areas shall be controlled and be located in buildings outside the production area.

**Question: Are childcare areas controlled and located in buildings outside the production area?**

**Possible Answers -**

NA

0 - No

1 - Yes adjacent to the building (Sharing a wall)

3 - Yes in a separate building

**Terminology & Definition: N/A**

### 3.5.8 Employment Practices/Child Labor

Requirement – Facility shall prohibit employment of workers below the legal age or below 15 (whichever is greater).

**(High Risk - ZERO TOLERANCE)**

**Question: IS THERE EVIDENCE OF CHILD LABOR DURING THE LAST 12 MONTHS?**

**Possible Answers -**

NA

-40 - Yes

3 - No

**Terminology & Definition: N/A**

### 3.6.1 Employment Practices/Discrimination

Requirement – Facility shall have a comprehensive written discrimination policy.

**Question: Does the facility have a comprehensive written policy that prohibits discrimination?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most issues to prohibit discrimination.

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 3.6.2 Employment Practices/Discrimination

Requirement – All employees shall receive training on this policy.

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**Question: Are all employees trained on this policy? (Discrimination)**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
- 1 - Once at hire with proper documentation (attendance sheet)
- 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
- 3 - At hire - at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 3.6.3 Employment Practices/Discrimination

Requirement – Policy shall be communicated to all recruiting agencies

**Question: Does the facility communicate the policy to recruiting agencies?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Once at contract or some training without proper documentation.
- 2 - At contract and more than 1 year thereafter and/or yearly with proper documentation.
- 3 - At contract at least yearly thereafter and with proper documentation.

**Terminology & Definition: N/A**

### 3.6.4 Employment Practices/Discrimination

Requirement – Compensation shall be the same for all work of equal value

**Question: Are there differences in compensation for work of equal value?**

**Possible Answers -**

- NA
- 0 - Yes
- 3 - No

**Terminology & Definition: N/A**

### 3.7.1 Employment Practices/Harassment or Abuse

Requirement – Facility shall have a comprehensive harassment and abuse policy.

**Question: Does the facility have a comprehensive harassment and abuse policy?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.
- 2 - Good workable written policy and procedure that generally covers most harassment and abuse issues.
- 3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 3.7.2 Employment Practices/Harassment or Abuse

Requirement – If security searches are conducted the gender shall be segregated.

**Question: If security searches are conducted are they segregated by gender?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Yes with no written procedure
- 2 - Yes with written procedure
- 3 - Yes with written procedure that is properly communicated to all employees

**Terminology & Definition: N/A**

### 3.7.3 Employment Practices/Harassment or Abuse

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Requirement – All employees shall receive training on this policy.

**Question: Are all employees trained on this policy? (Harassment or Abuse)**

**Possible Answers -**

- NA  
 0 - No or without documentation (attendance sheet)  
 1 - Once at hire with proper documentation (attendance sheet)  
 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)  
 3 - At hire -at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 3.7.4 Employment Practices/Harassment or Abuse

Requirement – Facility shall communicate its harassment and abuse policy to third-party services that have direct contact with employees.

**Question: Do management or supervisors or security guards and cafeteria personnel sign statement stating their understanding of facility's harassment and abuse policy?**

**Possible Answers -**

- NA  
 0 - No  
 1 - Once. At hire.  
 2 - At hire and more than 1 year thereafter.  
 3 - At hire and at least yearly thereafter.

**Terminology & Definition: N/A**

### 3.7.5 Employment Practices/Harassment or Abuse

Requirement – Employees health records must be kept confidential and with appropriate restricted access.

**Question: Does the facility have a written disciplinary procedure that provides graduated disciplinary steps?**

**Possible Answers -**

- NA  
 0 - No  
 1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.  
 2 - Good workable written policy and procedure that generally covers most disciplinary issues.  
 3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 3.7.6 Employment Practices/Harassment or Abuse

Requirement – Facility shall communicate disciplinary rules procedures and practices to all employees.

**Question: Does the facility communicate disciplinary rules procedures and practices to all employees?**

**Possible Answers -**

- NA  
 0 - No  
 1 - Once at hire or some training without proper documentation  
 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation.  
 3 - At hire at least yearly thereafter and with proper documentation

**Terminology & Definition: N/A**

### 3.7.7 Employment Practices/Harassment or Abuse

Requirement – There shall be no evidence of physical abuse of employees.

**(High Risk – CRITICAL)**

**Question: IS THERE EVIDENCE OF PHYSICAL ABUSE OF EMPLOYEES?**

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### Possible Answers -

NA

-40 - Yes one or more employees reported physical abuse during employee interviews or otherwise

3 - No employees reported physical abuse during interviews or otherwise

**Terminology & Definition: N/A**

### 3.7.8 Employment Practices/Harassment or Abuse

Requirement – There shall be no evidence of sexual abuse of employees

**(High Risk – CRITICAL)**

**Question: IS THERE EVIDENCE OF SEXUAL ABUSE OF EMPLOYEES?**

### Possible Answers -

NA

-40 - Yes one or more employees reported sexual abuse during employee interviews or otherwise

3 - No no employees reported sexual abuse during interviews or otherwise

**Terminology & Definition: N/A**

### 3.7.9 Employment Practices/Harassment or Abuse

Requirement – There shall be no evidence of verbal abuse of employees.

**Question: Is there evidence of verbal abuse of employees?**

### Possible Answers -

NA

0 - Yes more than 5 employees reported verbal abuse during employee interviews or otherwise

1 - Yes three to four employees reported verbal abuse during employee interviews or otherwise

2 - Yes one or two employees reported verbal abuse during employee interviews or otherwise

3 - No no employee reported verbal abuse during employee interviews or otherwise

**Terminology & Definition: N/A**

### 3.7.10 Employment Practices/Harassment or Abuse

Requirement – There shall be no discrimination in the hiring, promotion, discipline, termination or retirement processes.

**Question: Is there evidence of discrimination in the hiring, promotion, discipline, termination or retirement processes?**

### Possible Answers -

NA

0 - Yes

3 - No

**Terminology & Definition: N/A**

### 3.8.1 Employment Practices/Labor Relations

Requirement – Facility shall have a comprehensive labor relations policy.

**Question: Does the facility have a comprehensive written labor relations policy and procedure that provides guidance on relationship management with union/other employees' organizations?**

### Possible Answers -

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most labor relations issues.

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

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### 3.8.2 Employment Practices/Labor Relations

Requirement – All employees shall receive training on this policy.

**Question: Are all employees trained on this policy? (Labor relations)**

**Possible Answers -**

- NA
- 0 - No or without documentation (attendance sheet)
- 1 - Once at hire with proper documentation (attendance sheet)
- 2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)
- 3 - At hire -at least yearly thereafter and with proper documentation (attendance sheet)

**Terminology & Definition: N/A**

### 3.8.3 Employment Practices/Labor Relations

Requirement – Management shall not interfere with the right of employees to choose to form belong to or not belong to a union/other employees' organization

**Question: Does management respect the right of employees to choose to form belong to or not belong to a union/other employees' organization?**

**Possible Answers -**

- NA
- 0 - No. 3 or more of employees reported interference during employee interviews or otherwise
- 1 - No. 2 of employees reported interference during employee interviews or otherwise
- 2 - No. 1 of employees reported interference during employee interviews or otherwise
- 3 - Yes. No employee reported interference during employee interviews or otherwise

**Terminology & Definition: N/A**

### 3.8.4 Employment Practices/Labor Relations

Requirement – Employee's representatives shall be allowed to carry out activities without management interference

**Question: Are employee's representatives allowed to carry out activities without management interference?**

**Possible Answers -**

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 3.8.5 Employment Practices/Labor Relations

Requirement – Facility must prohibit union membership status being considered as a condition of hire or employment.

**(High Risk – CRITICAL)**

**Question: DOES THE FACILITY PROHIBIT UNION MEMBERSHIP STATUS BEING CONSIDERED AS A CONDITION OF HIRE OR EMPLOYMENT?**

**Possible Answers -**

- NA
- 40 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 3.8.6 Employment Practices/Labor Relations

Requirement – Facility shall NOT fire suspend discipline or terminate employees for exercising their rights to freedom of association.

**(High Risk – CRITICAL)**

**Question: HAS THE FACILITY FIRED SUSPENDED DISCIPLINED OR TERMINATED EMPLOYEES FOR EXERCISING THEIR RIGHTS TO FREEDOM OF ASSOCIATION?**

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### Possible Answers -

NA

-40 - Yes. 3 or more of employees reported cases during employee interviews or otherwise

1 - Yes. 2 of employees reported cases during employee interviews or otherwise

2 - Yes. 1 of employees reported cases during employee interviews or otherwise

3 - No. No employee reported cases during employee interviews or otherwise

**Terminology & Definition: N/A**

### 3.8.7 Employment Practices/Labor Relations

Requirement – Facility shall provide employees with ways to raise issues concerns and/or grievances anonymously.

**Question: Do employees have the ability to raise issues concerns and/or grievances anonymously?**

### Possible Answers -

NA

0 - No

1 - Yes

2 - Yes with written procedure

3 - Yes with written procedure and documented action plans

**Terminology & Definition: N/A**

### 3.9.1 Migrant Workers

Requirement – Written agreement/contract with all recruitment agencies.

**Question: Does the employer have a written agreement/contract with all recruitment agencies?**

### Possible Answers -

NA

0 - No

3 - Yes, All fees/costs have been clearly stated on the written agreement/contract.

**Terminology & Definition: N/A**

### 3.9.2 Migrant Workers

Requirement – Passport not held by management

**(High Risk – CRITICAL)**

**Question: PASSPORTS FROM MIGRANT WORKERS ARE NOT HELD BY MANAGEMENT?**

### Possible Answers -

NA

-40 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.9.3 Migrant Workers

Requirement – Recruitment fees and costs are paid by employer.

**(High Risk – SERIOUS)**

**Question: Does the employer pay all recruitment fees and costs of both the sending and destination country, such as transportation costs, recruitment agency and other recruitment related fees?**

### Possible Answers -

NA

-40 - No

3 - Yes

**Terminology & Definition: N/A**

### 3.9.4 Migrant Workers

Requirement – Employer ensure that recruitment agencies do not charge workers fees

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### (High Risk – SERIOUS)

**Question: Does the employer take the necessary steps to ensure that recruitment agencies do not charge workers fees?**

**Possible Answers -**

- NA
- 40 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 3.9.5 Migrant Workers

Requirement – Employee must have received the contract prior to leaving their country and in their own language.

**Question: Has the employer and employee signed a contract for employment in the employee's local language? The employee receive a copy of the contract prior to the employee leaving their home country.**

**Possible Answers -**

- NA
- 0 - No
- 1-Yes, But the employees did not received a copy of the contract prior to leaving their home country
- 3-Yes, the employee received a copy of the contract prior to the employee leaving their home country

**Terminology & Definition: N/A**

### 3.9.6 Migrant Workers

Requirement – Factory shall have a process in place for vetting recruitment agencies responsible for labor supply.

**Question: Does the factory have a formal process in place for vetting recruitment agencies responsible for labor supply?**

**Possible Answers -**

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 6.4.1 Facility Tour

Requirement – Employees shall be allowed to leave the facility at any time.

**Question: Are employees allowed to leave the facility at any time?**

**Possible Answers -**

- NA
- 0 - No
- 3 - Yes

**Terminology & Definition: N/A**

### 6.4.2 Facility Tour

Requirement – Security guards shall be hired exclusively for legitimate security functions and not to impede employee movement to and from the facility.

**Question: Is the function of security guards or any other employee who performs these tasks, exclusively to carry out legitimate security functions and not to impede employee movement from the facility?**

**Possible Answers -**

- NA
- 0 - No

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1 - Yes

2 - Yes with established protocols discussed with guards/employees at hiring

3 - Yes with established protocols discussed with guards/employees at hiring and at least once a year thereafter.

**Terminology & Definition: N/A**

### 6.4.3 Facility Tour

Requirement – Employees shall be free to move within the facility other than for legitimate security and /or safety reasons.

**Question: Are employees free to move within the facility other than for legitimate security and /or safety reasons?**

**Possible Answers -**

NA

0 - No

1 - Yes

2 - Yes with established protocols discussed with employees at hiring

3 - Yes with established protocols discussed with employees at hiring and after any material changes in access controlled areas

**Terminology & Definition: N/A**

### 6.4.4 Facility Tour

Requirement – Pre-employment pregnancy tests and pregnancy tests during employment shall be prohibited.

**Question: Does the facility prohibit pre-employment pregnancy tests and pregnancy tests during employment other than at the employees specific request? (For migrant workers- no pregnancy test is allowed unless it is mandatory required by law)**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 6.4.5 Facility Tour

Requirement – Pre-employment HIV tests and HIV tests during employment shall be prohibited

**Question: Does the facility prohibit pre-employment HIV tests as well as HIV tests during employment?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 6.4.6 Facility Tour

Requirement – Employees health records must be kept confidential and with appropriate restricted access.

**Question: Are employee's health records kept confidential and with appropriate restricted access?**

**Possible Answers -**

NA

0 - No

3 - Yes

### Terminology & Definition: N/A

#### 6.4.7 Facility Tour

Requirement – Requirement - Employer must sign work contracts with all employees in local language as required by law and/or Hanesbrands policy, and a copy should be given to employees, except within the United States, in such states where the law permits “at-will” employment. Employment relationships are presumed to be “at-will” in all U.S. states except Montana.

**Question: Do all employees have signed work contracts as required by law and/or Hanesbrands policy?**

**Possible Answers -**

NA – When employment relationships are presumed to be “at-will” within the United States only

0 - No

1 - Yes but not in local language and/or the worker do not received copy of the contract

3 - Yes in local language and a copy has been given to employees

**Terminology & Definition: N/A**

#### 6.4.8 Facility Tour

Requirement – Facility shall have relevant records for all outsourced workers.

**Question: Does the factory keep all relevant records for all outsourced workers (i.e. security guards, custodians, cleaning services, cafeteria, maintenance, landscaping services, etc.) including labor contract, age document, payroll and working hours?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

## Environmental

#### 4.1.1 Operations

Requirement – If process chemicals or oils are stored on site facility must have an emergency spill response plan developed.

**Question: If process chemicals or oils are stored on site, is there an emergency spill response plan developed?**

**Possible Answers -**

NA

0 - No

1 - Yes there is a documented plan but it has not been adequately implemented

2 - Yes there is a documented plan that has been implemented with documented training records

3 - A plan has been formalized with training and shared with local regulatory and emergency response agencies

**Terminology & Definition: N/A**

#### 4.1.2 Operations

Requirement – Facility shall properly dispose of hazardous and medical waste at a government approved offsite facility.

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**Question: Does the facility properly dispose of hazardous and medical waste at a government approved offsite facility?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Yes but manifests are not on file
- 2 - Yes. Manifests on file but responsible individuals have not received documented and proper training
- 3 - Yes. Manifests on file and responsible individuals have received documented proper training

**Terminology & Definition: N/A**

### 4.1.3 Operations

Requirement – Facility shall properly dispose of waste at a government approved offsite facility.

**Question: Is all waste disposed of at a government approved site?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Yes but signed manifests are not on file
- 3 - Yes and all signed manifests are on file

**Terminology & Definition: N/A**

### 4.1.4 Operations

Requirement – Facility must obtain all necessary applicable permits from the relevant environmental agencies.

**Question: Has the facility obtained all necessary applicable permits for the relevant environmental agencies?**

**Possible Answers -**

- NA
- 0 - No
- 2 - Applications have been submitted for all as required by local law but permits not yet received
- 3 - Yes to all as required by local law

**Terminology & Definition: N/A**

### 4.1.5 Operations

Requirement – Facility shall have a chemical management system to evaluate potential environmental impact.

**Question: Is there a chemical management system to evaluate potential environmental impacts?**

**Possible Answers -**

- NA
- 0 - No
- 1 - There is a written procedure.
- 2 - There is a written procedure with a developed restricted substance list to ensure compliance with environmental and product safety legislation
- 3 - There is a written procedure with a developed restricted substance list to ensure compliance with environmental and product safety legislation. The program includes a chemical approval process to ensure there are no regulated chemicals on site

**Terminology & Definition: N/A**

### 4.2.1 Systems

Requirement – The facility shall be in compliance with all legally required environmental monitoring reports for wastewater discharges air emissions hazardous waste management/disposal and chemical management.

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**Question: Is the facility in compliance with all legally required environmental monitoring reports for wastewater discharges air emissions hazardous waste management/disposal and chemical management?**

**Possible Answers -**

NA

0 - Monitoring reports have not been submitted

1 - All monitoring reports have been submitted but there is an ongoing pattern of non-compliance

2 - All monitoring reports have been submitted with minor violations that were immediately addressed with corrective actions

3 - All monitoring reports have been submitted with no violations

**Terminology & Definition: N/A**

### 4.2.2 Systems

Requirement – Facility shall have a comprehensive environmental policy and procedures.

**Question: Does the facility have a comprehensive written environmental management system that ensures compliance with local laws and regulations governing the environment protection?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written management system with few specific details. Needs significant improvement

2 - Good workable written management system that generally covers most environmental issues

3 - Comprehensive detailed written management system. Best practice in industry

**Terminology & Definition: N/A**

### 4.2.3 Systems

Requirement – The facility shall have a designated environmental officer.

**Question: Is there an environmental officer for the facility?**

**Possible Answers -**

NA

0 - No

1 - Part time officer with little or no formal training

2 - Part time officer with formal regulatory training

3 - Full time officer formally trained on regulatory and operational requirements

**Terminology & Definition: N/A**

### 4.2.4 Systems

Requirement – Facility shall complete and document routine inspections or audits by trained personnel to ensure that there are no significant environmental impacts created by operations.

**Question: Are routine inspections or audits conducted and documented by trained personnel to ensure that there are no significant environmental impacts created by operations? These should cover wastewater treatment/discharges air emissions and stack testing hazardous waste management storage tanks and chemical storage and management.**

**Possible Answers -**

NA

0 - No

1 - Inspections are performed at least yearly

2 - Inspections are performed and documented at least quarterly and corrective actions taken

3 - Inspections are performed and documented with written action plans at least monthly. Corrective actions appropriately were taken.

**Terminology & Definition: N/A**

### 4.3.1 Reducing Reusing Recycling

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Requirement – Facility shall track water usage.

**Question: Does the facility track water usage?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Water usage is tracked and documented monthly
- 2 - Water usage is tracked and documented monthly and there are reporting capabilities that are shared within the company
- 3 - Water usage is tracked and documented monthly with water reduction goals

**Terminology & Definition: N/A**

### 4.3.2 Reducing Reusing Recycling

Requirement – Facility shall track waste generation.

**Question: Does the facility track waste generation?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Solid waste generation and recycling volumes are documented monthly
- 2 - Solid waste generation and recycling volumes are documented monthly with reporting capabilities that are shared within the company
- 3 - There is a best in practice solid waste and recycled metrics program with improvement goals

**Terminology & Definition: N/A**

### 4.3.3 Reducing Reusing Recycling

Requirement – Facility shall have procedures for recycling or reusing materials whenever possible.

**Question: Does the facility have procedures for recycling or reusing materials whenever possible?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Yes but no written procedure
- 3 - Yes with written procedure

**Terminology & Definition: N/A**

### 4.3.4 Reducing Reusing Recycling

Requirement – Facility shall track energy usage.

**Question: Does the facility track energy usage?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Data for electricity and other energy sources are documented monthly
- 2 - Data for electricity and other energy sources are documented monthly with reporting capabilities that are shared within the company
- 3 - Data for electricity and other energy sources are documented monthly and there are goals for energy conservation

**Terminology & Definition: N/A**

### 6.1.1 Facility Tour

Requirement – Facility property shall be free of any environmental contamination.

**Question: Is the property free of any environmental contamination?**

**Possible Answers -**

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NA

- 0 - Significant issues exist and are not being actively remediated
- 1 - Significant issues exist but are being actively remediated
- 2 - Only minor issues exist and are being actively remediated
- 3 - No issues.

**Terminology & Definition: N/A**

### 6.1.2 Facility Tour

Requirement – All chemical tanks shall be above ground instead of underground.

**Question: Are all chemical tanks above ground instead of underground?**

**Possible Answers -**

NA

- 0 - Chemical tanks are below ground and are not monitored at least monthly to ensure there are no losses
- 1 - Chemical tanks are below ground but are monitored at least monthly to ensure there are no losses
- 2 - Chemical tanks are above ground but are not inspected at least monthly to ensure they are in good condition and that there have been no releases
- 3 - Chemical tanks are above ground and are inspected at least monthly to ensure they are in good condition and that there have been no releases"

**Terminology & Definition: N/A**

### 6.1.3 Facility Tour

Requirement – Storage tanks shall have leak proof appropriate secondary containment apparatus.

**Question: Do all high-volume chemical storage tanks or containers have installed leak proof appropriate secondary containment apparatus?**

**Possible Answers -**

NA

- 0 - No
- 1 - There is a temporary earthen dike with no drains open to the outside.
- 2 - There is waterproof containment installed but with no drains open to the outside.
- 3 - There is a fixed dike or secondary containment apparatus with no chance for releases to the environment

**Terminology & Definition: N/A**

### 6.1.4 Facility Tour

Requirement – Wastewater shall be treated to meet required regulatory standards or best management practices.

**Question: Is wastewater treated to meet required regulatory standards or best management practices?**

**Possible Answers -**

NA

- 0 - No
- 1 - There is a septic tank or soak-away
- 2 - The effluent meets local standards but not suggested best management practices
- 3 - The effluent meets local standards AND suggested best management practices

**Terminology & Definition: N/A**

### 6.1.5 Facility Tour

Requirement – Materials associated with production or industrial activities shall not be exposed to storm water (rain snow etc.)

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**Question: Are there any materials associated with production or industrial activities exposed to storm water (rain snow etc.)? This could include equipment pallets drums packaging chemicals vehicle maintenance etc.**

**Possible Answers -**

NA

0 - Yes there are materials exposed.

3 - There are no materials associated with industrial activities exposed to storm events.

**Terminology & Definition: N/A**

## Security

### 5.1.1 Security Systems

Requirement – Facility shall have a comprehensive written security policy to ensure compliance with the applicable laws and regulations governing customs and international trade.

**Question: Does the facility have a comprehensive written security policy to ensure compliance with the applicable laws and regulations governing customs and international trade?**

**Possible Answers -**

NA

0 - No

1 - Thin aspirational written policy and procedure with few specific details. Needs significant improvement.

2 - Good workable written policy and procedure that generally covers most security issues.

3 - Comprehensive detailed written policy and procedure. Best practice in industry.

**Terminology & Definition: N/A**

### 5.1.2 Security Systems

Requirement – There shall be a designated security manager for the facility.

**Question: Is there a designated security manager for the facility?**

**Possible Answers -**

NA

0 - No

1 - Part time security manager with no significant training

2 - Part time/full time security manager with basic but no formal training

3 - Full time security manager with formal training

**Terminology & Definition: N/A**

### 5.1.3 Security Systems

Requirement – Documented relevant security awareness training shall be conducted regularly for all managers and employees.

**Question: Do you regularly conduct and document relevant security awareness training to your all managers and employees?**

**Possible Answers -**

NA

0 - No or without documentation (attendance sheet)

1 - Once at hire with proper documentation (attendance sheet)

2 - At hire and more than 1 year thereafter and/or yearly with proper documentation (attendance sheet)

3 - At hire -at least yearly thereafter and with proper documentation (attendance sheet)

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**Terminology & Definition: N/A**

### 5.2.1 Program Element

Requirement – There shall be a written policy that requires employees to display their identification at all times.

**Question: Is there a written policy that requires employees to display their identification at all times?**

**Possible Answers -**

NA

0 - No

3 - Yes written policy with documented communication to employees

**Terminology & Definition: N/A**

### 5.2.2 Program Element

Requirement – Policies and procedures shall be in place to ensure the security of all trademarked supplies and accessories.

**Question: Are policies and procedures in place to ensure the security of all trademarked supplies and accessories?**

**Possible Answers -**

NA

0 - No

1 - Yes

2 - Yes written policies and procedures

3 - Yes written policy and procedure with documented communication to relevant employees

**Terminology & Definition: N/A**

### 5.2.3 Program Element

Requirement – Facility shall provide confidential reporting mechanisms for security issues.

**Question: Does the facility provide confidential reporting mechanisms for security issues?**

**Possible Answers -**

NA

0 - No

1 - Yes with an informal open door policy to management or suggestion box

2 - Yes with confidential telephone hotline system not managed by a 3rd party

3 - Yes with confidential telephone hotline system managed by a 3rd party

**Terminology & Definition: N/A**

### 5.3.1 Security Personnel

Requirement – There shall be a standard written operating procedure that documents security guard duties and responsibilities.

**Question: Is there a standard written operating procedure that documents security guard (or any other employee who performs these tasks) duties and responsibilities?**

**Possible Answers -**

NA

0 - No

3 - Yes

**Terminology & Definition: N/A**

### 5.3.2 Security Personnel

Requirement – There shall be adequate and proper training of security guards.

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**Question: Is there adequate and proper training on security procedure for security guards (or any other employee who performs these tasks)?**

**Possible Answers -**

- NA
- 0 - No
- 1 - Once. At hire
- 2 - Ongoing yearly training
- 3 - Ongoing quarterly training

**Terminology & Definition: N/A**

### 5.3.3 Security Personnel

Requirement – Criminal background checks need to be conducted for security personnel (or any other employee who performs these tasks).

**Question: Are criminal background checks conducted of security personnel (or any other employee who performs these tasks)? Criminal Motor Vehicle Educational Institutions prior Employment Professional Credentials Credit History Country Identification Number**

**Possible Answers -**

- NA
- 0 - No
- 1 - At hiring
- 3 - At hiring and at least once a year

**Terminology & Definition: N/A**

### 5.4.1 Access Control

Requirement – There shall be an established procedure for access control to the facility. a) Employee b) Vehicle c) Visitor/Contractor

**Question: Is there an established procedure for access control to the facility? Employee Vehicle Visitor/Contractor**

**Possible Answers -**

- NA
- 0 - No
- 1 - One of three
- 2 - Two of three
- 3 - Three of three

**Terminology & Definition: N/A**

### 6.2.1 Facility Tour Security

Requirement – Proper measures and methods in place to ensure security of the facility perimeter?

**Question: Are proper measures and methods in place to ensure security of the facility perimeter? Manufacturing and Distribution Facilities include: 1) Perimeter fencing/walls of at least 2 meters with barbed or razor wire. 2) All vehicle and personnel gates must be manned or secured. 3) Fencing or walls have no gaps clear of all foliage and clear zones of at least 1 meter on each side. Office Facilities include: 1) All entrances must be manned or secured (card access) to only allow access to authorized individuals. For facilities located in areas under governmental or industrial park regulations other security measures (video surveillance security guards etc.) can be used to ensure the security of the facility perimeter.**

**Possible Answers -**

- NA
- 0 - No significant measures or methods in place
- 1 - Measures are in place but there are significant gaps which make it likely that an unauthorized individual could gain access to the facility undetected.

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2 - Measures are in place fencing or walls is more than 2 meters and have no gaps. But clear zones of each side is less than 1 meter. Unlikely that an unauthorized individual could gain access to the facility without undetected.

3 - Measures and methods are in place that make it highly unlikely that an unauthorized individual could gain access to the facility undetected.

**Terminology & Definition: N/A**

### 6.2.2 Facility Tour Security

Requirement – Facility shall have a surveillance camera system in all critical areas: a) Access point b) Shipping docks c) Computer room that includes video recording and which is retained for at least 30 days.

**Question: Does your facility have a surveillance camera system in all critical areas? i.e. Access point / Shipping docks / Computer room etc.**

**Possible Answers -**

NA

0 - No

1 - Yes in all critical areas

2 - Yes in all critical areas with recording system that retains video for less than 30 days

3 - Yes in all critical areas with recording system that retains videos for at least 30 days and is monitored 24/7

**Terminology & Definition: N/A**

### 6.2.3 Facility Tour Security

Requirement – There shall be an appropriate number of security personnel on duty at facility 24 hours / 7 days. a) Proprietary b) Contracted.

**Question: Are there an appropriate number of security personnel (Proprietary or Contracted) on duty at facility 24 hrs/7 days ?**

**Possible Answers -**

NA

0 - No

1 - At least one on duty 24/7

2 - At least one on duty 24/7 with a documented communication procedure

3 - At least 2 and 1 at each active access point and 1 rover on duty 24/7 with a documented communication procedure.

**Terminology & Definition: N/A**

### 6.2.4 Facility Tour Security

Requirement – Each shift shall maintain a written or computerized log of activities and incidents.

**Question: Does the facility maintain a written or computerized log of activities and incidents for each shift in all access points?**

**Possible Answers -**

NA

0 - No

1 - Yes but reports are not generated on a daily basis and/or passed from shift to shift.

2 - Manual Log with daily reports to factory security manager and passed from shift to shift.

3 - Computerized log with daily reports to factory security manager and passed from shift to shift.

**Terminology & Definition: N/A**

### 6.2.5 Facility Tour Security

Requirement – Employees shall display their identification at all times.

**Question: Do employees display their identification at all times?**

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### Possible Answers -

NA

0 - More than 20 found not wearing badges

1 - 6-20 found not wearing badges

2 - Less than 5 found not wearing badges

3 - All employees wearing badges.

**Terminology & Definition: N/A**

### 6.2.6 Facility Tour Security

Requirement – Temporary identification cards shall be issued to visitors including vendors contractors and other non-employees.

**Question: Are temporary identification cards issued to visitors including vendors contractors and other non-employees?**

### Possible Answers -

NA

0 - No

1 - Yes

2 - Yes differentiating by the type of visitor (contractor true visitor temporary employee)

3 - Yes differentiating the type of visitor & numbered signed and collection procedure in place

**Terminology & Definition: N/A**

### 6.2.7 Facility Tour Security

Requirement – Access shall be controlled to shipping area. Production and shipping areas shall be segregated.

**Question: Is access controlled to shipping area and are production and shipping areas segregated?**

### Possible Answers -

NA

0 - No

1 - Yes without fence

2 - Yes with fence

3 - Yes with fence and sign-in log for those who enter

**Terminology & Definition: N/A**

### 6.2.8 Facility Tour Security

Requirement – A program shall be established to inspect every container entering and exiting the facility for contraband.

**Question: Is there a program established to inspect every container entering and exiting the facility for contraband?**

### Possible Answers -

NA - When the containers do not cross international borders

0 - No

1 - Yes

2 - Yes with written procedure

3 - Yes with written procedure and random internal verification audits

**Terminology & Definition: N/A**

### 6.2.9 Facility Tour Security

Requirement – A seal log shall be maintained secured audited and inventoried.

**Question: Is a seal log maintained secured audited and inventoried? (It should apply to any container with Hbl goods. )**

### Possible Answers -

NA

0 - No seal log

1 - Log kept but not in a secure area

2 - Log kept secured but not audited/inventoried

3 - Log seal secured audited and inventoried

**Terminology & Definition: N/A**

The End