



HANDBOOK FOR FACTORIES

**ICS SOCIAL
REQUIREMENTS 2026**



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ICS Presentation

This version of the Social *Handbook for Factories* is simplified and provided for information purposes only. It does not replace the full English version, which you can find here:

➤ [Complete Social Handbook for factories](#)

If you notice any translation errors, please contact contact@ics-asso.org.

ICS Structure

ICS is a retailer-led multi-sector initiative conducting social and environmental audits in the textile, clothing, bazar, leisure, furniture, fixtures, equipment, appliances, food, electronic, car maintenance and renewable energies sectors with the aim of:

- ✚ **Strengthening its members supply chain's compliance with requirements such as but not limited to:** the United Nations (UN) Guiding Principles on Business and Human Rights regarding the UN 'Protect, Respect and Remedy' Framework, the Organization for Economic Cooperation and Development (OECD) Guidelines for Multinational Enterprises on Responsible Business Conduct, the International Labor Organization (ILO) Conventions, local laws regarding Labour rights as well as any future requirement.
- ✚ **Contributing to the transition towards sustainable, fair and inclusive world supply chains** by providing its members and their suppliers with the due diligence standards, processes, methodologies and tools to identify, prevent and correct the risks of Human Rights violations in their supply chain.

In this regard, ICS members join efforts by rolling out a shared audit framework in their supplying production factories and by exchanging information on their common factories within the ICS database. On this internal ICS database, ICS members share the results and all documents related to the audits (Audit questionnaire, Factory Profile, Corrective Action Plan, etc.) only with the members working with the audited factories. ICS enables its member companies to collaborate with common tools, to mutualize audits, contributing to the reduction of the 'audit fatigue' and share knowledge and best practices. ICS is not a sourcing platform as member retailers and brands can only access information on the factories they are already linked to.

The list of ICS member retailers and brands is available on ICS website www.ics-asso.org

The objective of the present Handbook is to accompany the factory in its social compliance's knowledge and awareness. It represents an opportunity for the factory to initiate or demonstrate its compliance to trading partners, so as to secure the conditions of its workers, their well-being at work, their fair productivity, as well as the attractiveness of the company in international trade and its long-



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term resilience in the face of growing standards and world economic challenges related to sustainable development requirements. This Handbook can be sent to the factory either by the audit company mandated to perform an ICS social audit or by the ICS member prior to the audit. The present Handbook is a preparatory tool for the factory.

The audit rating and ratings per chapters are not communicated on the audit closing meeting's day.

The factory will receive the Audit results (overall notation and detailed notation by chapter with the list of compliances and non-compliances) within 10 days following the audit closure. Then the factory will be able to start its Corrective Action Plan on the ICS database, following recommended actions and target dates.

On the audit closing meeting's day, the Factory will receive, comment and sign the provisional Findings report, providing the list of findings (good practices and non-compliances), the auditor(s)' comments and ICS related recommended actions.

Enquiries and Recommendations relating to the ICS's scheme

Requests on interpretations, clarifications and recommendations should be addressed to the ICS team via the ICS contact@ics-asso.org email address, for ultimate share with the ICS members.

ICS Contact : ICS Office – 14, rue Bassano Paris FRANCE
Initiative for Compliance and Sustainability / Fédération des Entreprises du Commerce et de la Distribution
contact@ics-asso.org
www.ics-asso.org



10 steps to know that I am ready for the audit

- ✓ I have accurately completed the ICS Factory Profile in the database, including all languages spoken by workers and the location of any worker dormitories, even when not directly owned by the factory. I understand that incorrect or incomplete declarations may impact the audit outcome.
- ✓ I have gathered all documents listed in Annex 1 and understand that failure to provide them by 2:00 p.m. on the first audit day (or the second day for multi-day audits) will result in non-compliance ratings for the relevant items.
- ✓ I have received the audit window and ensured that:
 - At least one manager will be onsite throughout the audit;
 - Other occupants of shared premises have been informed of potential building-wide risk reviews;
 - The ICS member has been notified if production levels are too low during the audit period;
 - A private room is available for confidential worker interviews, which I will not attend.
- ✓ I have reviewed the audit handbook and understand the audit process, including the participation of worker representatives in opening and closing meetings and the conduct of worker interviews.
- ✓ I commit to providing a professional, cooperative, and transparent welcome to the auditors and to using the audit as an opportunity to improve compliance, sustainability, and workplace safety.
- ✓ I understand that I will not have access to auditors' contact details and that any attempt to influence auditors may result in severe evaluation by the ICS member.
- ✓ I acknowledge that audit results will not be shared on the audit day. Results will be available in the ICS database within 10 days after client validation, along with instructions to prepare a Corrective Action Plan. A provisional findings report will be issued at closing.
- ✓ I recognize that openness and transparency are essential. Any concealment of information will be considered a serious breach and may lead to severe ratings and business consequences.
- ✓ In case of complaints, I understand that I may contact the ICS member to follow the formal procedure outlined in the handbook.

ICS common methodology

The cornerstone of the ICS system is the ICS audit report questionnaire used in more than 70 countries. ICS actions are based on a common methodology applied by all ICS members and securing a complete control of the audit process by brands.

- ICS audits are mandated and managed by member retailers and brands. Audit launch is a member prerogative, which ensures a total control of the use of ICS. The aim is to ensure the impartiality of the audit process.
- ICS audits are performed only by third party audit companies authorized by ICS.
- ICS members share common monitoring rules when critical non-compliances are identified in the factories.
- ICS social audits are semi announced or unannounced.



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- **The ICS audit is neither a certificate nor a label.** The ICS audit's objective is to assess the social compliance of a factory and report observed non compliances and best practices at a given date.

Our partners on the ground

Audit quality is monitored by ICS through statistical indicators, on-site shadow audits, comparative report analysis and ICS members' collaborative feedback and review. The list of audit companies that are authorized to audit against the ICS standards are available on our external website: <https://ics-asso.org/audit-companies/>

Transparency and openness are the unconditional prerequisite to strengthen factories' compliance.

Lack of information, document falsification, access denied (including pre-audit Factory Profile declaration omissions), pressure and allegation exerted on ICS habilitated auditors are severely assessed and can lead to the termination of the business relationship.

ICS Code of Conduct

Every ICS member requests its suppliers to comply with the ICS Code of Conduct that can be complemented by the member's own detailed Code of Conduct. By signing this Code, suppliers undertake to conform and commit to it as well as having it respected by their own subcontractors and partners: shared responsibility is a key concept.

Please refer to the ICS Code of Conduct available on the ICS website :

➤ [ICS Code of Conduct](#)

Information sharing process

Data sharing and confidentiality

ICS members linked to the same factory share the audit results and documents through the ICS database. ICS audit findings are confidential and not accessible to ICS members not linked to the audited factory. ICS members must reference their suppliers and the associated factories under the ICS database in order to be able to access the audits information and results. ICS members share a common methodology and tools that cannot be used for sourcing but only to monitor the social compliance of factories.

ICS audit documents shared with the supplier or factory

The ICS audit report cannot be shared with the supplier or factory in order to protect data confidentiality that workers might have shared with the auditors. The factory will receive specific documents, with all the relevant findings and remediation measures to engage with for improving and securing its future compliance.



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- **The Factory Profile:**

- Is a key component of the ICS Audit Process and serves as the first document shared among the ICS Members, the factory, the supplier, and the audit firm. Its purpose is to provide a clear understanding of the factory's organization and to support proper audit preparation and planning.
 - The Factory Profile will be reviewed and formally validated by the auditor and the factory management during the audit opening meeting.
 - Must be completed with all languages spoken by workers on-site (if they do not speak the local official language) and subcontractors and suppliers information
 - If the factory provides worker dormitories, their location must be declared in the Factory Profile prior to the audit. All factory-provided dormitories, whether located on or off the factory premises, are included in the audit scope when confirmed by factory management and/or workers.
- The **Findings Report** is signed in local language during the audit closing meeting by the factory management. The **Findings Report** reports the non-compliances identified during the audit.
 - The **Summary of Content (SOC)** indicates the rating of each chapter of the audit and the global rating (a letter and a percentage) and is sent to the factory through the ICS database after the audit firm's review and the brand's validation. The SOC provides the factory audited with the detailed non-compliances, the compliances, and the best practices in a complete PDF report.

ICS audit

ICS audit planification

Any attempt to reach out to the auditors during or after the audit in order to exert pressure, threats or corruption proposal can result in the business relationship termination.

- If the production rate is too low in the factory on a certain day included in the audit window period, the factory is responsible for informing the audit company and ICS member requesting the audit about it.
- If the auditor only has access to 25% or less of the workforce, the audit will be considered non-compliant, and an alert notification will be triggered.
- The audit window period is defined by the member and should be a minimum of 2 weeks (the factory management can declare unavailable dates, including national and local public and bank holidays, but the window period must be a minimum of 2 full weeks when adding up the available dates for the factory).

ICS audit scope

The overall purpose of the ICS on-site audit is to evaluate the factory's compliance level with the ICS Code of Conduct, local regulations, and International Standards listed in Annex 5 as well as to identify



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the necessary corrective actions and opportunities for continuous improvement. The ICS audit also reports the best practices observed by the auditors in the factory.

Physical areas covered under the scope of the ICS audit should include:

- Production areas, and
- Storage areas, and
- Living and eating areas of workers if applicable, and
- All associated buildings near the site of production.
- Any administrative/office buildings
- All dormitories located within or without the factory's premises are included in the audit scope, regardless of their location, if the factory management and/or workers confirm that the dormitory is provided by the factory.

Audited factories must inform prior to the ICS audit the management and owners of the factories in the same buildings (if different than the audited factory's management) **about the ICS requirement for auditors to visit the whole building and common areas** (for e.g. stairs of the building) **and if required, also to visit the other factories present in the building as risks can originate from shared premises.**

Refusing access to all required part of the premises or failing to obtain other factories agreement to enter their premises in case of shared building will be regarded as an access denied by the ICS member and can result to the failing of the audit.

ICS audit process

Identification of non-compliances:

- Most of the ICS questions are evaluated against local legal requirements.
- Several questions are evaluated against ICS requirements.
- However, where local law is more stringent than standards set forth by questions based on the ICS requirements, the factory's practices are evaluated against local law.

In the case of a non-compliance that can easily and quickly be solved (e.g. an object on an emergency path), auditors must report the non-compliance in the report (and in the Findings report for example, auditors can indicate that the non-compliance has been immediately closed).

- If the auditors are unable to confirm the full compliance, the observation will be reported as non-compliance.

Preparing the requested document listed in Annex 1 ahead of the audit will help preventing the factory to be rated non-compliant if unable to prove compliancy.

The ICS audit process consists of the below six steps:

The auditors are the persons in charge of the audit process. The actual audit may or may not follow this order.

Audit Stage	Attendees	Purpose / Activities	Key Notes / Requirements
Opening Meeting	Auditors, factory management, workers' organization representatives	• Introduce auditors • Recall reason for audit and ICS Duty of Vigilance obligations • Discuss importance of protecting workers' rights • Review audit scope, ask questions • Explain audit procedures and identify involved parties • Estimate audit duration	• Factory must grant photo-taking permission • Photos confidential; for audit report only; no faces shown • Photos of factory layout, work floors, canteen, warehouses, dormitories • Factory must notify auditors if any parallel audits/visits are happening
Documentation Review	Auditors	• Review documents: wage records, timecards, contracts, security training reports • Confirm compliance, identify non-compliances, report best practices	• Factory prepares documents listed in Annex 1 of Handbook • Cover last 12 months; may include additional documents if requested • Documents to be ready before 2:00 PM on first/second day depending on audit duration
Workers and Management Interviews	Auditors; management and workers (interviews conducted separately)	• Assess working conditions: remuneration, hours, contracts, deductions, social benefits • Conduct interviews individually and in groups across worker categories	• Worker interviews private; no management presence • Attempts to influence or monitor workers' answers are severe infringements • Factory does not access interview reports • Interviews must not increase worker hours
Factory Tour (Walkthrough)	Auditors, factory representatives	• Evaluate health & safety and other practices • Inspect areas where workers are present: production, warehouses, chemical storage, restrooms, clinic, canteen, dormitories • Review documents physically on-site (tags, registers, etc.)	• Photos taken of outside (gate, buildings, name) and inside areas (floors, canteen, warehouses, dorms) • Factory informs auditors if any areas are closed or inaccessible
Pre-Closing Meeting	Auditors only	• Prepare closing meeting with factory management	• Internal discussion to finalize audit conclusions
Closing Meeting	Auditors, factory management, workers' organization representatives	• Present and comment on audit findings • Answer questions and provide clarifications • Reach agreement on facts observed • Ensure management understands legal/Code basis for non-compliances	• Management commits to resolve non-compliances • Findings report issued on-site, signed by management, worker representative, lead auditor • Copies retained by factory and sent to ICS member • Non-conformities documented in English and local language; validates audit and management recognition

After the meeting

- **The rating is not communicated during the closing meeting as it will be first checked and validated by the ICS member requesting the audit. After the audit report receives validation from the ICS member, within a maximum of 10 days, the SOC is automatically generated and accessible on the database. Furthermore, it is automatically transmitted to the e-mail addresses listed in the contact box. If new email addresses need to be added please ask the ICS member who launched the audit to add them. Find your ICS audit summary on the database: <https://ics.art-informatique.com/login.action>.**
- **Notification from the factory:** The factory should indicate to the auditors if any other visit or audit has been performed in parallel of the current audit (if not mentioned during the opening meeting and in case the audit has been conducted during several days).
- **Online CAP:** after the audit is validated by the ICS member and once the ICS member has initialized the Online CAP with the relevant target dates on the ICS database, factories receive a notification 15 days before the 1st CAP target date. They will be asked to engage the remediation measures and upload through the ICS database the comments and documents tending to show that remediation measures have been implemented. The Online CAP is also the opportunity to share difficulties in implementing the corrective actions and seek for the ICS member's advice.

An audit is only one part of the due diligence compliance process. The whole purpose of the audit is to engage, through online dialogue with the ICS member, using the Online CAP, the corrective actions that will make the factory compliant and competitive in the world sustainable trade.

ICS audit content

Please consult the complete English version of the handbook for detailed information on the specific ILO conventions referenced in each chapter of the ICS Social Standard:

➤ [Complete Handbook](#)

The ICS audit questionnaire is composed of 9 chapters divided into sub-sections and questions that are described in Annex 3. In Annex 5 *ICS Social Standard Chapters References for Questionnaire* a more comprehensive description of each chapter and the international guideline references.

Chapter 0 - Management system, transparency and traceability

In this section, the auditor evaluates the factory's transparency by assessing information management, record accuracy and accessibility, and day-to-day practices. These elements indicate the factory's capacity and commitment to sustained compliance with human rights and safety standards.

- **A strong performance in Chapter 0 demonstrates that the factory has the necessary systems, mindset, and internal controls to identify, prevent, and address potential risks. In other words, it reflects a capacity not only to comply reactively, but to manage compliance proactively and sustainably.**

Key points

Management System

- Evaluates the factory's ability to provide truthful and accurate information about how it is managed and organized.
- Assesses whether internal mechanisms aligned with social standards have been implemented.

Hiring and Termination

- Aims to assess workers' awareness of their hiring conditions and termination rights.
- Highlights fair employment practices and clarity in communication with workers.
- Migrant workers
- Homeworkers
- Employment conditions of young workers

Supply Chain

- Evaluates the factory's relationship with subcontractors, which is essential to identifying potential human rights risks and compliance issues across the supply chain.
- Transparency and accessibility of the documents.

Chapter 1 - Minimum age, child labour and young worker

In this section, the auditor assesses the factory's compliance with child labour regulations and the protection of young persons by identifying any present or past instances of child labour.

Key points

- Identify present or past instances of child labour, if any.
- Ensure that any children present on-site are in designated childcare areas and not exposed to hazardous environments.
- Verify whether the factory has a reliable age verification system in place during the hiring process.
- Check if the factory employs apprentices or interns, and assess how they are managed.

Chapter 2 - Forced labour

In this section, the auditor evaluates the factory's compliance with regulations prohibiting forced and compulsory labour by identifying any form of coercion or involuntary work.

Key points

- Identify any form of forced labour
- Ensure workers' personal documents (e.g., passports, ID cards) are not retained by the factory without consent and that workers have free access to retrieve them.

- Verify that workers are free to move during and after working hours, and can resign without facing restrictions or penalties.
- Assess if workers' wages are withheld to force them to remain employed, and ensure workers are not indebted due to recruitment costs or coerced practices.
- Ensure the factory is free from any form of forced or prison labor, and if employed, that it complies with ILO conventions.

Chapter 3 - Discrimination

In this section, the auditor assesses the factory's practices to ensure equal treatment and non-discrimination throughout the employment lifecycle, including recruitment, compensation, training, promotion, termination, and retirement. Particular attention is given to identifying any discriminatory practices affecting pregnant women and women returning from maternity leave.

Key points

- No discrimination based on: race, national or territorial or social origin, caste, birth, religion, disability, gender, sexual orientation, family responsibilities, marital status, union membership, political opinions, age or any conditions that could give rise to discrimination.
- Equal Pay for Equal Work: Pay must reflect job value and not personal characteristics.

Chapter 4 - Disciplinary practices, harassment and abuse

In this section, the auditor evaluates the factory's disciplinary practices to ensure that all disciplinary actions are fair, lawful, proportionate, and non-abusive. The assessment focuses on verifying that workers are protected from any form of harassment, intimidation, or mistreatment.

Key points

- Are disciplinary actions legal and implemented according to local law?
- Are individuals authorized to take disciplinary actions, such as managers and security guards, adequately trained to do so in a fair, non-abusive manner?
- Are records of disciplinary actions maintained?

Chapter 5 - Freedom of association and grievance mechanisms

In this section the auditor assess whether workers are free to associate and engage in collective bargaining without fear of retaliation. In contexts where local law does not permit the formation of trade unions, it also examines whether workers are free to designate representatives to voice their rights and concerns.

Additionally, the chapter evaluates whether the factory has established grievance mechanisms for workers, and whether there is a system in place to manage and track reported grievances effectively.

Key points

- Freedom of Association
- Collective Bargaining

Chapter 6 - Working hours and overtime

In this section, the auditor assesses the factory's compliance with legal and ethical requirements related to working hours and overtime. The assessment is based on a review of applicable local legal provisions, as well as an in-depth evaluation of the factory's actual working hour practices.

Key points

- Assess whether the factory complies with legal and ethical standards on working hours and overtime
- Identify potential document manipulation or falsification regarding working hours
- Determine the factory's worst-case working hour scenarios (e.g. peak seasons, consecutive weeks)
- Working hours
- Overtime working hours
- Rest break and days off

Chapter 7 - Remuneration and benefits

In this section, the auditor evaluates the factory's wage and compensation practices to ensure fair pay and compliance with applicable labor laws. The assessment focuses on the factory's payment system, including the timeliness and regularity of wage payments, and examines whether salaries are delayed, as well as the duration and frequency of any delays.

Key points

- Equal Remuneration
- Social Insurance and Benefits
- Wage deductions

Chapter 8 - Health and safety (factory's production sites and dormitories)

In this section, the auditor evaluates the factory's occupational health and safety conditions, with a focus on legal compliance, on-site observations during the factory tour, and supporting documentation. As the largest section of the social compliance audit, it covers key aspects of workplace safety, emergency preparedness, equipment and machinery, hazardous materials, worker protection measures, sanitation, medical care, transportation, and dormitory conditions.

Key points

- Health and Safety
- Chemical
- Fire equipment
- Sanitation
- Documentation on building safety and fire safety.
- Health and safety risk assessment management.
- Trainings on health and safety for all workers.
- Trainings for emergency response personnel.
- Modalities of fire drills.



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- Existence and communication of accident and emergency plans and procedures.
- Emergency exit paths visibility and accessibility.
- Emergency exit doors and windows visibility and accessibility.
- Fire equipment visibility and accessibility (fire extinguishers, smoke detectors, fire hydrants etc.).
- Electrical equipment (electrical panels, wires and outlets).
- Production machinery safety.
- Hazardous, Flammable and Combustible Materials.
- Personal protective equipment (PPE).
- Sanitation (washing areas, toilet areas and potable water).
- Medical care and first aid kit.
- Trainings of workers on medical care administration.

Methodology

ICS audit types

After having conducted an audit for the first time in a factory (referred to as “the Initial audit”) ICS members decide when to initialize a follow-up or a re-audit within the timeframes set by ICS and described below.

There are 3 types of ICS audit:

- **Initial audit**: it is an audit carried out for the first time in the factory. The duration of the initial audit is defined according to the size of the factory, following ICS size criteria.
- **Follow-up audit**: it is an audit carried out to monitor the effective closing of non-compliances underlined in a previous assessment (initial, follow-up or re-audit). It should be initialized no later than 12 months. The duration of the follow-up audit is 1 man-day, regardless of the size of the assessed factory.
- **Re-audit**: it is a complete ICS audit following the same methodology, rules and scope as an initial audit. The terminology “re-audit” aims at underlying the fact that the factory has already been audited against ICS standards in the past. Even if an audit takes place more than 2 years after the initial audit, it is a re-audit (and not an initial).

The ICS process allows ICS members to initialize a follow-up audit or a re-audit on the basis of an initial audit regardless of the ICS member who requested the previous audit. ICS members may choose a different audit firm for the follow-up audit than from the initial audit (only audit firms authorized by ICS can perform ICS audits).

ICS audit announcement types

ICS process allows either **semi-announced audits** within a window of a minimum of two working weeks or **fully unannounced** audits. In line with their due diligence process, ICS members select the audit announce type and the audit firm authorized to perform ICS audits.



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- **In the case of semi-announced audits:** the factory will be informed by one of the ICS-authorized audit firm that an ICS audit will be performed in the factory on behalf of an ICS member. The audit firm will indicate to the factory an audit window period of a minimum of two weeks (the window period is defined by the ICS member). The factory will not know the exact planned date prior to the audit.

It is an unconditional requirement for the factory to ensure that at least one factory's representant is available onsite during the audit window period, in order to be present on the audit day.

- **In the case of unannounced audits:** the factory will not be informed about the ICS audit.
- It is the responsibility of the audit company to know about bank holidays in the country and not to go into the factory during a holiday.

Audit duration

The audit duration for a follow-up audit is always 1 man-day and the audit duration for initial audits and re-audits is set between 1 and 4 man-days according to the following sliding scale:

Number of factory workers and staff	Number of auditor man-days
up to 150	1
151 - 500	2
501-1200	3
1201 plus	4

Worker interview sampling size

Depending on the number of workers and staff at the factory audited (as stated in the Factory Profile), 8 to 32 workers representing the main functions and levels should be interviewed. Out of the workers interviewed, approx. 2/3 should be interviewed in focus groups of 3 to 4 workers for approximately 30 minutes and 1/3 of workers should be interviewed individually for approximately 15 minutes. **Workers' data protection is the main reason why ICS audit reports are not fully shared with the factories.**

Number of factory workers and staff	Number of interviews
up to 150	8
151 - 500	13
501-1200	20
1201-3200	32
3201 plus	From this scale onwards, a minimum of 32 employees will be required, and ICS members can choose to increase this number after discussing it with the audit firm.



Documentation sampling size

The above sliding scale is also applicable when determining the sample size of documents to be checked: a set of documents should be analyzed for each selected worker out of 3 selected months that will be determined by the auditors from different periods such as the current/previous month, peak and low production periods.

ICS audit rating

ICS double rating system

The ICS social audit is built on a double rating system composed of a percentage (0-100%) and a letter (A, B, C, D, E), for example: the global audit rating can be 90% B, 60% C etc. The percentage indicates the degree of compliance of the factory and the letter indicates the degree of criticality related to defined major non-compliances.

The ICS rating system is grounded on a thresholds table coupled with the findings of critical non-compliances which require immediate attention and action. For instance, if an Alert Notification is raised, the factory rating can be 85% E: the factory is mostly socially compliant but one major issue has been identified and has raised an alert notification (i.e. an emergency exit locked). The ICS audit system is designed to report the global level of the factory and at the same time clearly raise major non-compliances.

Alert Notifications

Alert Notifications are triggered by ICS database when defined critical non-compliances requiring the immediate attention of ICS members.:

Access denied to the factory

The factory must allow auditors into the factory buildings to perform the ICS social audit. Were the factory to refuse to let the auditors into the premises, or part of the premises, the following procedure will apply:

- The team of auditors will offer to explain the purpose of the visit and the procedure of the audit to the factory's representative or the point of contact.
 - the management of the factory is then advised to contact its vendor/client to verify the validity and importance of the ICS social audit.
- The team of Auditors will take notes of all details of the situation to report to the ICS member.
- If the above fails and the factory refuses to let the auditors inside the premises, an Access denied notification is immediately sent by the auditors to the ICS member. The audit is therefore classified as being an "Access Denied".
- Any restriction in accessing any of the three pillars of the triangulation during the audit will be reported in the audit questionnaire (i.e. restriction to one or more of the following pillars:



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confidential interviews with workers, documents review, access to one or more sections of the site/farm).

- YES, all triangulation pillars available
- NO: access denied to a section of the factory
- NO: access denied or non-compliant conditions for interviews
- NO: access denied to records and documents (partly or fully)
- NO: access denied to a section of the factory AND to interviews
- NO: access denied to a section of the factory AND to records and documents
- NO: access denied to interviews AND to records and documents
- NO: access denied to all three pillars of the triangulation (section of the factory AND records AND interviews)

Complaints raised by the factory

In case of complaints or appeals regarding the audit or the audit company, factories should contact the ICS member requesting the audit and if needed the ICS team at contact@ics-asso.org by detailing the issue. Were the factory to witness an unusual and unprofessional behavior from the auditors, it can ask the ICS Member to fill in the ICS Auditors' behavior checklist to start a detailed investigation.

Annex 1: Documentation review

Type	Document
OPERATION LICENSE	Business License
	Insurance policy/certificates (building)
	Building fire safety certificate
	Tax registration number
	Building structure safety certificate / legal real estate certificate
	Building approval plan / Building construction certificate
	Building layout plan
FACTORY RULES	Workers handbook
	Recruitment guidelines / policy / advertisement
	Contractors' agreement / agreement with recruitment agencies
	Written document outlining the employment terms
	Factory rules including disciplinary policy
	Accommodation rules (if applicable)
	Promotion system / record
	Complaint procedures and systems
	Organization chart
	Policies in the areas of child labour, forced labour, discrimination, disciplinary practices, harassment, abuse, freedom of association, work hours and overtime, remuneration and benefits, health and safety and anti-bribery
	Employment policy including maternity leave policy
HEALTH & SAFETY	Fire inspection report
	Fire drill program & records and fire evacuation plan & procedure
	First aider certificate
	Register and annual inspection certificate of boilers
	Register and annual inspection certificate of pressure vessels
	Machines' maintenance / repair plans and records
	Special equipment operator permit / certificate (including electrician)
	Accident and injury register & records/recurrence avoiding measures
	Firefighting equipment list and inspection record
	Training record (include occupational health and safety)
	Fire officer certificate
	Register and annual inspection certificate of elevators, forklifts, other special appliances



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	Test report of power generator
	Noise and temperature monitoring
	Regular potable water tests and certificates
	Special equipment registration / annual examination record
	Electrical installation inspection records
	Environment permit, pollution consents, legal environment related registers.
	Legal hygiene certificate of kitchen/canteen and staff health certificate
	Qualified certificate of doctor or nurse (depending of factory size and if legally required)
	List of operators authorized to handle the chemicals
	List of chemicals + MSDS (including hazardous material list if available)
	Regular pest killing records
	Occupational health check (if legally required)
WORKERS DOCUMENTS	Workers' list including different classifications e.g. apprentices, independent contractors, temporary workers
	Personnel files
	Copy of ID cards
	Juvenile workers list and programs applicable
	Labour contracts (all staff) including security staff including temporary workers (exhaustive list including all workers with any relationship with the factory)
	Legal official minimum wage document
	Disciplinary records
	Leave request notifications
	Resignation records
	Piece rate production records
	Timecards or attendance records (1 year)
	Comprehensive working hours system approval / extension of overtime hours application with approval
	Payment of social insurance, name list of social insurance, social insurance registration certificate/insured approval
	Wage list with workers signatures as verification
	Pay slips (1 year payroll journal) given to the workers and payment register
	Workers committee records
	Collective Bargaining Agreements (CBA)
	Meeting minutes of Unions / workers' representatives
	Labour union / Evidence of election of workers' representatives
	Working licenses for immigrants & migrants & recruitment agency staff
OTHER WORKFORCE	Subcontractors' list



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	Monitoring records on sub-contractors' social responsibilities performance
	Homeworkers' name list / monitoring records on homeworkers performance
MANAGEMENT SYSTEM	Social accountability policy / Management system / periodic internal audit records

Annex 2: Glossary

Apprenticeship / traineeship program	Refers to hiring and employment terms of apprentices, namely, if the apprenticeship scheme is legal, working hours, contracts, type of work, teacher supervision, etc. Apprentices / trainees can be above 18 years of age.
Best practice	A best practice is an issue which the auditor feels is over and above the sectorial standards and applicable law against which the site was audited. The report should also highlight any best practice observed. Best practice refers to areas where the site is exceeding requirements by providing additional benefits or managing issues in a particularly effective way.
Child	According to ILO Convention 182, the term shall apply to all persons under the age of 18. Young workers are still children but may be authorized to work from 15 to 18, according to local law.
Childcare factory	Any room in factory designated for non-working children.
Child Labour	Child labour consists of work by children that is economically exploitative or likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral, or social development. ILO defines "child labour" as work that "deprives children of their childhood, their potential and their dignity, and that is harmful to physical and mental development", and which refers to: a) Children aged 5-11 years (or 12 where consistent with ILO and national laws) in all forms of economic activity b) Children aged 12-14 years (or 13-15 where consistent with ILO and national laws) in all forms of economic activity except permissible "light" work c) Children aged 15-17 years in hazardous work. The specific types of employment or work constituting hazardous work are determined by national laws or regulations or by the competent authority. Hazardous work also includes children aged 15-17 working long hours, defined as more than 43 hours per week. d) Children aged 5-14 years performing household chores for at least 21 hours per week.
Classification	Status of the worker as per legal definition. Examples of classification are salaried, hourly, overtime exempt, trainee, apprentice, temporary, part-time, and intern.
Collective bargaining	Collective bargaining refers to a voluntary process or activity through which workers and employees discuss and negotiate their relations, in particular terms and conditions of work and the regulation of relations between employers, workers and their organizations. Participants in collective bargaining include employers themselves or their organizations, and trade unions or, in their absence, representatives freely designated by the workers.
Confidential Grievance Process	Grievance cannot be directly associated with the person bringing the grievance as the method of communication does not permit identification of the person, e.g., third party hotline, drop box without surveillance, trusted person who is responsible for

	maintaining secrecy. The response to anonymous grievances should be posted at locations that can be seen by all workers.
Contractor	Within the ICS framework, contractors are workers who are not directly employed by the factory but whose current working location is the audited factory in order to complete a service or a job. Contractors thus differs from subcontractors as the latter produces in its own premises, while the contractors works directly in the audited factory's premises, although not being directly employed by it. Examples of contractors are contracted electricians, maintenance, canteen, cleaning and security personnel, who can be contracted as individuals or through a company. Contractors may include temporary agency employment where a worker is employed by the temporary work agency, and then hired out to perform his/her work at (and under the supervision of) the factory. There is considered to be no direct employment relationship between the temporary agency worker and the factory, although there are legal obligations of the factory towards the temporary agency worker, especially with respect to health and safety. The relevant labour contract is of limited or unspecified duration with no guarantee of continuation.
Deductions	Values subtracted from the wage, the difference between the gross amount of worker earnings and the net amount they actually receive.
Discrimination in employment	Treating people differently or less favorably because of characteristics that are not related to their merit or the inherent requirements of the job.
Dormitories	Dormitories for any worker/manager used daily or occasionally should be assessed.
Equal pay for equal work	The principle of equal pay for work of equal value means that rates and types of remuneration should be based not on any discrimination base –see list above- but on an objective evaluation of the work performed. Disparities in remuneration that reflect differences in years of education and work experience are acceptable.
Emergency exit	Exit door or window identified as emergency exit in evacuation plan.
Emergency exit pathway	A continuous and unobstructed way of travel from any point in a building or structure to a public way (i.e. assembly point).
Emergency exit stairs	Stairs used for evacuation from building, according to the evacuation plot plan.
Emergency exit window	Windows identified as emergency exit in evacuation plan.
Employment terms	The conditions that an employer and worker agree upon for a job. Terms of employment include wage, benefits, working hours, job responsibilities, and probation periods.
Factory Profile	Questionnaire completed by the factory prior to the audit with data needed by the audit company to prepare for the audit. Factory profile includes data such as workforce profile, factory size, production processes, raw materials suppliers etc.

Falsification	Process of making, adapting, or imitating documents with the intent to deceive in order to appear in compliance with local laws, international standards or client's Code of Conduct. E.g. Falsified business license.
Foreign migrant	Workers who have entered the employment country from another country and do not hold a passport for the country of employment.
Freedom of association	Freedom of association implies respect for the right of employers and workers to freely and voluntarily establish and join organizations of their own choice, free from outside interference or monitoring.
Grievance	A statement of a complaint over something believed to be wrong or unfair.
Grievance Process	Formalized way to accept, assess and resolve complaints.
Homeworker	A homeworker is a person who for a fixed rate of remuneration (can be by piece) carries out work at his or her home for the factory and the factory is not the final consumer of the product or service provided.
Language understood by concerned workers	Local language or reported language(s) spoken by workers.
Language understood by majority of workers	Local language or reported language(s) spoken by more than 50% of workers.
Light work	ILO Minimum Age Convention No. 138 defines "light work" as work that is: a) not likely to be harmful to their health or development; and b) not such as to prejudice their attendance at school, their participation in vocational orientation or training programs approved by the competent authority or their capacity to benefit from the instruction received
Living Wage	The Global Living Wage Coalition has agreed to a succinct definition of living wage that incorporates the main ideas found in over 60 living wage descriptions and definitions from human rights declarations; national constitutions; NGO, multinational, and corporate codes of conduct; International Labour Organization (ILO) documents; and statements of major historical figures (Anker 2011). A living wage is: the remuneration received for a standard workweek by a worker in a particular place sufficient to afford a decent standard of living for the worker and her or his family. Elements of a decent standard of living include food, water, housing, education, health care, transportation, clothing, and other essential needs including provision for unexpected events. Source: Global Living Wage Coalition, https://www.globallivingwage.org/about/what-is-a-living-wage/ The 2024 ILO agreement further stated that "the concept of a living wage is: 1) the wage level that is necessary to afford a decent standard of living for workers and their families, taking into account the country circumstances and calculated for the work

	performed during the normal hours of work 2) calculated in accordance with the ILO's principles of estimating the living wage 3) to be achieved through the wage-setting process in line with ILO principles on wage setting. See: https://www.ilo.org/global/about-the-ilo/newsroom/news/WCMS_918717/lang--en/index.htm
Manipulation	Modification of data in the documentation using unfair means to serve one's purpose. E.g. Manipulation of time records to hide excessive working hours.
Migrant workers	Include both internal and foreign workers who have moved from their original home (in country or foreign) to a new home at the workplace.
Non-working children	Persons under the age of 18 that are present at the factory but not employed by the factory to perform work.
Overtime waiver	Document or authorization issued by local authorities or granted by any official body/framework e.g. collective agreement allowing the factory to work in excess of legal limit of working hours within a set period of time (e.g. per month or per year) as long as the hours worked are equal to or below the average allowable work hours for the entire period of the waiver (e.g. 6 months, 1 year etc.).
Permanent Obstruction	Access is obstructed by immovable machinery, items stuck to ground, etc.
Policy	A set of documented principles of action or rules and standards in writing that the factory and/or its workers must abide by.
Possibility to recover	The worker should have free access to these documents and does not have to go through a second party to access documents. The worker always has personal access to documents (e.g., a lock box that the worker has the key to and can access 24/7).
Prison employment	Prisoners used as part of the work force. Under prison labour arrangements, prisoners may be brought to the factory, or the production may occur in the prison facilities.
Procedure	A documented series of actions conducted in a certain order or manner.
Quota	A fixed amount of work (e.g., pieces of goods) that a worker or several workers are required to manufacture, produce, assemble, and/or work on during a specific time frame.
Retention tank	Industrial storage tanks are containers used for storage of gas, oil, water, waste, and chemical products, employed for industrial uses. They can be underground, horizontal, and vertical, and be made from concrete, stone, fiberglass, steel or plastic. Tanks covered by this exigence are built tanks where human intervention is required to ensure cleaning and maintenance.
Risk Assessment	A risk assessment is a systematic process of evaluating each process and job role and each location to identify the potential hazards, who could be harmed and under what circumstances and to define requirements to address these. This has to be done for each role, each job position, each machine and each category of

	worker etc. and is a proactive measure before hazards occur. The methodology used for vulnerable workers is the same but their special needs are to be considered.
Skilled worker	A skilled worker has special abilities, experience or/and training to do a particular job. It can include semi-skilled and highly skilled workers.
Subcontractor	2.11
Supplier	An entity who supplies goods to the factory. Components producers will be considered as suppliers of the factory. For example, company(ies) appointed by a factory to provide such kind of components have to be identified as suppliers (non-exhaustive list): yarn, cartons, tags, labels, fabric, zipper, buttons, lining, polybags, lining...
Temporary Obstruction	Access is obstructed by movable items, storage boxes, etc.
Time records	Time records should have at least the time when the workers arrived at the factory, left the factory and took breaks during the day etc. Local legislation is to be considered if it is stricter and requires more details in the time records.
Triangulation	Triangulation techniques are observation, documentation review, interviews.
Unskilled worker	Unskilled workers are people who have no particular work skills
Workers	Workers include both employees and employers, then a person working for a business enterprise independently of their function. Workers covered by the scope of the audit are all workers holding a job on the factory's site whatever their employment contract (permanent worker, temporary, contractors, apprentices...). Employers are workers who, working on their own account or with one or a few partners, in a self-employment job have engaged one or more persons to work for them in their business as employee(s) or workers more generally as described above.
Workers' organization	Any organization of workers for the purpose of furthering and defending the interests of workers with regard to working conditions and terms of employment.
Working children	A working child is under the age of 18 AND: • out of school and working either full-time or part time at home or elsewhere OR • still in school but working part-time at a homebased enterprise or a small workshop (either with income or without income as an apprentice) OR • still in school and helping a homemaker parent regularly, contributing significantly to the homeworkers' income
Young workers	<u>Workers below 18 years old</u> with a minimum age that should not be inferior to 15 years old. However, if the local legal minimum age is set at 14 years of age in accordance with ILO Convention 138 developing country exceptions, this lower age may apply.

Annex 3: ICS Social Audit Questions

ICS questions do not all have the same rating and the rating is automatically calculated by the ICS system.

Warning: be aware that auditors being requested to assess, through triangulation, any issue related to human and labor rights, and to report it to ICS members, the below question list shall not be considered as a limited scope.

CHAPTER 0: MANAGEMENT SYSTEM, TRANSPARENCY AND TRACEABILITY
Has the factory undergone inspections by local authorities on labour and health & safety related issues in the past 12 months?
Please comment the average time of employment of current workers in the factory and the turnover rate.
Please indicate the percentage of workers in each of the following categories (including homeworkers, workers via recruitment agency, piece rate workers, contractors, others etc.). - Permanent workers - Temporary workers - Piece rate workers - Homeworker - Contractors not recruited via recruitment agency - Workers via recruitment agency
Have all the reviewed documents been found free from any manipulation or falsification?
Does the information in the Factory Profile match the information reviewed during the audit?
Have requested documents been provided for review?
Have requested documents been found valid?
Has the factory set up a mechanism to remain up to date with applicable and related social compliance legal requirements?
Is a person of the management designated to coordinate social compliance in the factory?
Has the factory documented its objectives, targets and action plan to address the main social impacts?
Has the factory established policies in the areas of child labour, forced labour, discrimination, disciplinary practices, harassment, abuse, freedom of association, work hours and overtime, remuneration and benefits, health and safety ?
Does the factory have a documented system to annually review and modify factory's policies?
Are legally required labour-related notices clearly posted throughout the farm/site in language(s) understood by concerned workers?
Does the factory train workers and contractors on the factory's policies and legal requirements in the areas of labour and health and safety?
Does the factory have management personnel to implement the factory's policies and legal requirements in the areas of labour and health and safety?
Does the factory have documented policies and procedures defining how to manage bribery or business ethics related cases and risks?



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Does the factory conduct regular trainings in relation to anti-bribery and business ethics?
Has the factory implemented a mechanism to remain up to date with applicable chemicals and industrial processes legal restrictions?
Are workers aware of their employment terms?
Does the factory provide workers with a written document that outlines the employment terms in accordance with local law?
Is the written document that outlines the employment terms in a language understood by each respective worker?
Does the factory use workers via recruitment agencies?
If workers are recruited through a recruitment agency, is the agency licensed?
Are workers classified (e.g. apprentices, independent contractors, temporary workers) in accordance with local law?
Are worker probation periods in accordance with local law?
Does the factory maintain documentation that indicates workers' eligibility to work in accordance with local law?
Is termination of employment executed in accordance with local law?
Does the factory maintain termination records?
Does the factory use back-up and/or processes subcontractors?
Do the statements provided by the factory in the "products and the production processes" and "raw materials and components suppliers" section of the Factory profile seem to be accurate and reflect the reality observed during the factory visit?
Does the factory prescribe social performance standards and related expected level to be reached to its suppliers (e.g. suppliers of services, contractors, raw material suppliers) and assess their concrete implementation?
Does the factory use contractors?
Are applicable standards (e.g. legal, ICS Code of Conduct) communicated to factory's contractors?
Does the factory maintain accurate time records (e.g. timecards) for contractors?
Are contractors working regular and overtime working hours (daily, weekly, monthly, yearly, other) in accordance with local law and in accordance with existing waivers?
Are contractors working regular and overtime hours in compliance with ILO standards?
Do contractors receive days off and rest breaks according to the local law and the ILO convention?
Please indicate the maximum number of consecutive days worked in the factory
Does the factory maintain contractors' payroll records in accordance with local law?



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Is the time, frequency and payment method for contractors in accordance with local law?
Is overtime paid, for contractors, at the legal premium rate in accordance with local law?
Do contractors receive benefits, leave and social insurance coverage in accordance with local law?
Does the factory use homeworkers?
Is client informed of homeworker use?
Is the factory in possession of legally required permits related to the employment of homeworkers?
Does the factory maintain legally required records for homeworkers?
Does the factory monitor homeworker use?
Does the factory use migrant workers?
Are labour contracts of migrant workers in accordance with local law?

1. MINIMUM AGE, CHILD LABOUR AND YOUNG WORKERS

What is the minimum legal work age?
What are the legal requirements on working conditions (e.g. type of work, tasks, working hours) for young workers (under the age of 18)?
What is the factory's minimum hiring age?
Are there any young workers in the factory?
Does the factory currently employ only workers above the age of 15 or the legal working age?
Did the factory always employ workers above the age of 15 or the legal working age at the time of hiring?
Is the factory free from non-working children (under the age of 15 or legal working age)?
If any, are they located in the childcare room?
Does the factory request legal documentation to verify worker's age at the time of hire?
Does the factory keep copies of legal documentation to verify worker's age?
Are identified apprenticeship / traineeship programs in accordance with local law?
Are working conditions (e.g., type of work, tasks, working hours) for young workers (under the age of 18) in accordance with local law?

Are legally required medical tests before and during employment conducted for young workers (under the age of 18)?
Does the factory maintain records (e.g., permits, licenses, parental consent forms, and other documents) related to the employment of apprentices, trainees and young workers (under the age of 18) in accordance with local law?

2. FORCED LABOUR
Is there objective evidence that factory does not retain any document (e.g. passport, work permit, birth certification, official ID card, driver's license) without written agreement and without the possibility to recover them?
Does the factory avoid withholding wages during the employment relationship?
Are workers free of any cost associated with worker recruitment and placement?
Are workers guaranteed freedom of movement during working hours?
Are workers guaranteed freedom of movement after working hours?
Are workers free from daily production quota requirements prior to leaving the factory?
Is overtime voluntary?
Are workers informed about and understand overtime obligations prior to employment and prior to working the overtime shift?
Are workers free to resign from their current employment in accordance with local law?
Are prisoners' workers working within the factory premises?
Is the factory free from any prisoner employment?
Are the prisoners employed in conditions respecting ILO conventions C29 and C105 on forced labour?
Is the client informed of prisoner employment use?
Is the factory free from any forced use of stores or services operated by the employer?
If the factory provides stores or services, are workers free from any excessive costs of stores, services, food, transport and accommodation operated by the employer?
Is the factory free from any other form of forced labour that would not be addressed by the other questions of the audit?
Is the factory free from any form of forced or bonded labour (including one or more of the above listed forms) for any holder/management/workers' family members?

3. DISCRIMINATION
What are the legal requirements on women's employment during pregnancy, maternity leave and return from maternity leave?
Are workers free from discrimination in terms of hiring, compensation, access to training, promotion, termination, or retirement?
Does the factory maintain procedures to prohibit and prevent discriminatory practices?
Are workers hired and maintained in employment regardless of pregnancy status?
Does the factory follow provisions on women's employment terms during pregnancy, maternity leave and return from maternity leave in accordance with local law?
Do workers have equal opportunities to work overtime in accordance with local law?

4. DISCIPLINARY PRACTICES, HARASSMENT AND ABUSE
What are the disciplinary measures and penalties imposed in the factory?
Are workers free from any form of harassment, mental, physical and/or verbal abuse, and corporal punishment?
Are disciplinary measures implemented by the factory legal and non-excessive?
Does the disciplinary procedure comply with local law?
Does management staff receive training on implementing disciplinary procedures?
Does the factory keep records of implemented disciplinary actions?
Are factory's security practices non abusive?

5. FREEDOM OF ASSOCIATION AND GRIEVANCE MECHANISMS
What are the legal provisions on workers' rights to form / join independent labour unions and/or workers' associations?
Any specific legal requirements allowing the factory not to form trade unions / workers' organizations due to type and/or size of the factory?
Are workers members of a trade union?
Is a union representative located at the factory?
What is the date of the latest trade union elections?



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Are workers members of a workers' organization?
Is a representative from a workers' organization located at the factory?
What is the date of latest elections of workers' organization ?
Has the factory had any public labour disputes (e.g. strike, demonstration) in the last 2 years?
Are workers subject to a collective bargaining agreement?
Are workers free to associate and collectively bargain?
Are workers free to form/join independent trade unions?
Where the ability to associate and collectively bargain is legally restricted, do workers have access to alternative means?
Are workers representatives' elections required by local law ?
Are worker representatives elected without interference by the factory and as required by law?
Are there regular meetings between worker representatives and management as required by law?
Are the meetings' minutes recorded and communicated to the workers?
Are workers free from discrimination on the basis of trade union affiliation or non-affiliation in terms of hiring, compensation, access to training, promotion, termination, or retirement?
Does the factory have a procedure by which workers can freely and confidentially raise grievances to management?
Does the factory record and track reported grievances?
Does the factory communicate the grievance review progress to workers and individuals responsible for reviewing reported grievances?

6. WORKING HOURS AND OVERTIME

What are the legal requirements for days off?
What are the maximum number of consecutive days worked permitted by applicable local law (# number)?
What are the legal requirements for rest breaks?
What are the legal requirements allowing to exceed the maximum number of working hours (e.g. during peak season) (# hours)?
What are the legal requirements for overtime waiver?
What are the regular working hours permitted under applicable local law (day, week, month, other) (# hours)?



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What are the number of overtime hours (OT) permitted under applicable local law (day, week, month, other) (# hours)?
What are the regular working hours per week at the factory (# hours)?
What are the highest number of overtime hours per week worked at the factory (# hours)?
What are the working hours permitted under local law per week for regular hours/overtime hours/automated sum of regular and overtime hours?
What are the maximum number of hours allowed in the ILO Conventions on working time for regular/overtime/automated sum of regular and overtime hours ?
What is the maximum total number of hours worked over three consecutive weeks (# hours)?
What is the average number of hours worked over three consecutive weeks (# hours)?
What is the maximum total number of <u>regular</u> hours worked per <u>day</u> / Maximum total number of <u>overtime</u> hours worked per <u>day</u> ?
What is the maximum total number of <u>regular</u> hours worked per <u>month</u> / Maximum total number of <u>overtime</u> hours worked per <u>month</u> ?
What is the maximum total number of <u>regular</u> hours worked per <u>year</u> / Maximum total number of <u>overtime</u> hours worked per <u>year</u> ?
What are the number and duration of breaks during workday (# number / duration)?
Are workers working regular working hours (daily, weekly, monthly, yearly, other) in accordance with local law?
Are workers working regular hours in compliance with ILO standards?
Does the factory maintain time records (e.g. timecards)?
Are time records accurate?
Are overtime hours tracked separately?
Are workers working overtime hours (daily, weekly, monthly, yearly, other) in accordance with local law?
Are workers working overtime in compliance with ILO standards?
Does the factory have an overtime waiver?
Is factory's overtime waiver legal?
Does the factory maintain the overtime hours within the limits of the overtime waiver (if any)?
Do workers receive rest breaks during the day in accordance with local law?
Do workers receive days off according to the local law?
Do workers receive at least 1 day off (24 consecutive hours) within 7 days period according to the ILO convention?
Please indicate the maximum number of consecutive days worked in the factory

7. REMUNERATION AND BENEFITS
What is the minimum legal wage for regular working hours (day, week, month, other) applicable to the factory?
What is the minimum legal overtime wage (day, week, month, other)?
What types of benefits and insurance do workers receive in accordance with local law?
What are the legal requirements for remuneration of public holidays?
What are the legal requirements for remuneration of annual leave?
How does the factory calculate time-based wages (by hour, day, week, month etc.)?
How does the factory calculate piece rate based wages?
What is the method of recording production output?
How are homeworkers paid (if applicable)?
What is the lowest monthly gross wage paid by the factory?
What is the lowest monthly net wage paid by the factory?
What is the highest monthly gross wage paid by the factory?
What is the highest monthly net wage paid by the factory?
What is the monthly gross living wage?
What is the monthly net living wage?
What is the methodology used to calculate the living wage?
What is the wage gap in terms of value and percentage between the current lowest monthly gross remuneration paid to workers by the factory and the estimated gross living wage?
What is the wage gap in terms of value and percentage between the current lowest monthly net remuneration paid to workers by the factory and the estimated net living wage?
Is the legal minimum wage guaranteed to workers in accordance with local law?
Does the factory maintain payroll records?

Are payroll records maintained in accordance with local law?
Is the payment method in accordance with local law?
Is the time and frequency of payment in accordance with local law?
If the time and frequency of payment is not compliant, are workers paid within the next deadline for payment?
Are apprentices / trainees paid wages in accordance with local law?
Are new workers during probation period paid wages in accordance with local law?
Does the factory provide workers with an understandable wage slip that, at minimum, include regular and overtime hours worked, regular and overtime pay, and deductions in accordance with local law?
Are workers paid for "down time" in accordance with local law?
Does the factory use piece rate workers?
Does the factory maintain production records if piece rate workers are present?
Is overtime paid?
Is overtime paid at a legal premium rate?
Is overtime paid for piece rate workers and for identified classification of workers?
Is overtime paid for piece rate workers and for identified classification of workers at a legal premium rate?
Do workers receive benefits and allowances in accordance with local law?
Are workers covered by the legal social insurances?
Do workers benefit from the payments done by the factory for the legal social insurances (either through public or private system)?
Are leaves and public holidays paid in accordance with local law?
Is parental leave paid in accordance with local law?
Do workers receive additional remuneration (e.g., bonuses, incentives) in accordance with local law?
Are deductions in compliance with local law?

8. HEALTH AND SAFETY
Which local regulations were referenced during the assessment of the following health and safety categories: - Health and safety documentation (licenses, permits, certifications, reports of inspections) - Building structure - Factory management and trainings - Accident and emergency plans and procedures - Fire safety (emergency paths and exits, fire equipment) - Electrical equipment
Which documents did the factory provide as proof of compliance with health and safety regulations (licenses, permits, certifications, reports of inspection)?
What are the general conditions of the factory?
What are the general conditions in the factory regarding the floors, the noise, the temperature and the air pollution levels observed at the factory?
Has the factory participated in a fire safety program in the past 12 months?
Has the factory undergone health and safety inspections by local authorities in the past 12 months?
What is the type of building? Is the assessed factory in a shared building? If so, what other activities are present per floor of the building and which floor does the assessed factory occupy?
Is there a food preparation and/or canteen factory on the factory premises?
Which hazardous, flammable or combustible materials are reported or observed to be used and/or stored at the assessed factory?
Is the factory legally/by CBA required to provide transportation or compensation for transportation to workers?
Is there satisfactory evidence that the location of the social facilities or housing was chosen to ensure users are not exposed to natural hazards or affected by the operational impacts of the worksite (for example noise, vibrations, emissions, dust)?
Is there any dormitory, housing or accommodation present in the factory?
Does the factory have non-expired documentation of compliance with building safety requirements issued by local authority in accordance with local law?
Does the factory have non-expired fire safety documentation issued by the local fire authority in accordance with local law?
Does the factory operate in a building matching the authorized purpose?
Are there residential accommodations located within factory buildings where hazardous materials are stored or hazardous work is conducted?
Based on observation, is the factory free from any visible crack on the walls, on any building or premises?
Does the number of floors in the existing building match with the original number of floors on the building plan or certificate?
Does the factory have documentation of safety inspections for the building and the machineries issued by any third-party (government and/or private third-party) in accordance with local law?



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Does the factory have documentation of safety inspections for the mobile equipment issued by any third-party (government and/or private third-party) according to local law?
Does the factory conduct a risk assessment at least once per year to identify health and safety risks that include fire safety?
Does the factory record and track preventive or corrective action in response to risk assessments?
Does the factory have a Health and Safety Committee that addresses safety of machinery/ equipment; personal protective equipment (PPE); hazardous, flammable and combustible materials; and fire safety?
Is the health and safety committee comprised of management and worker representatives?
Does the Health and Safety Committee meet periodically?
Are Health and Safety Committee meetings documented?
Does the factory conduct internal inspections/ audits for health and safety?
Does the factory provide occupational health check-ups according to local law?
Does the factory conduct health and safety training for new workers?
Does the factory conduct health and safety training for existing workers?
Are health and safety trainings documented?
Does health and safety training include, at minimum: general workplace safety, fire safety, evacuation procedures, handling and maintenance of machinery and equipment, handling of hazardous, flammable and combustible materials (where applicable), use of PPE and accident prevention?
Does the factory have a trained fire team in accordance with local law?
Are emergency response personnel trained, at minimum, on: notification of workers in event of fire or emergency, reporting fire or emergency to local authority, use of fire extinguishers, evacuation procedures, and first aid?
Does the factory conduct fire drills on a regular basis (if not defined by law, at least once per year) for all floors and shifts?
Are fire drills documented with, at minimum: date, announced/ unannounced, number of participants, and time it took to evacuate?
Does the factory document occurrence and cause of workplace accidents and diseases?
Does the factory report workplace accidents and diseases to local authorities?
Does the factory post emergency contact information on every floor?
Is there an evacuation plot plan posted on every floor of the factory?
Is the evacuation plot plan in a language understood by workers?
Can fire department vehicles and fire fighters access the factory?



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Are there at least two emergency exits on every floor of the factory?
If there are less than two emergency exits on every floor, does the number of emergency exits comply with local requirements?
Are emergency exits located on each side of the working area?
If the factory is located above the ground floor or occupies multiple floors, are there at least two sets of stairs to use as emergency exit paths?
Is the factory compliant with applicable local law regarding stairs to use as emergency exit paths?
Are emergency exit paths designated with visible path markings?
Are emergency exit paths accessible and unobstructed?
If the emergency exit paths are inaccessible and/or obstructed, is the blockage temporary?
Are emergency exits designated with visible signs?
Are emergency exits unobstructed and unlocked?
Do emergency exit doors comply with local requirements?
When the emergency exit doors do not comply with legal requirements, has the factory implemented measures to ensure workers' security and ability to exit the production site in case of emergency?
Are emergency exit windows in compliance with local law?
Do emergency exit stairs have handrails or guards and are in compliance with local law?
Is emergency lighting and all emergency equipment connected to a secondary power source?
Do emergency paths lead towards emergency exits and therefore away from the building?
Is the assembly point or public way unobstructed and located away from the factory?
If required by local law, does the factory have an official document/certificate stipulating if the site requires a fire alarm and if yes, which type of fire alarm (e.g. manual or automated)?
Is there a fire alarm present at the factory?
If there is a manual fire alarm present at the factory, is it designated or clearly visible?
If there is a manual fire alarm, is it unobstructed?
If there is no fire alarm, has the factory implemented other types of alerts according to local law?
If there is a fire alarm, is it audible and different from lunch/ break bell?
If the factory is located in a shared building, do other factories in the building have fire alarms?



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If there are alarms present in the shared building, are these alarms interconnected?
Does the factory have notification lighting in areas where noise levels are above ambient?
Has the factory put fire detection measures in place where hazardous waste is stored?
Are there fire extinguishers on every floor of the factory?
Are fire extinguishers present along emergency exit path?
Are fire extinguishers designated, clearly visible and accessible?
Do fire extinguishers comply with legal requirements?
Are fire extinguishers inspected by factory personnel according to local law?
Are fire extinguishers inspected by specialized companies on a regular basis (if not defined by law, at least once per year)?
Are there smoke or fire detectors in the factory according to local law?
Are fire extinguishers adapted to products used and stored installed within reasonable distance?
If there are smoke detectors or fire detectors present at the factory, does the factory conduct their inspections every month and legally required inspections?
Are there fully functional fire hydrants or sprinklers or hose pipes in the factory according to local law?
If there is a fire hydrant, a sprinkler system, hose pipes or any other equipment in place at the factory, is it inspected, tested and maintained every three months and according to legally required inspections (confirming they are in good working order)?
Can factory management point to a water source, be it private or municipal, that supplies water for fire hydrant, hose pipe or sprinkler system?
Are electrical panels, wires and outlets protected?
Are electrical panels labelled?
Are electrical panels, wires and outlets inspected regularly by certified staff (if not defined by law, at least once per year)?
In case of the presence of a generator in the factory or its vicinity, is it in a confined area away from working areas in accordance with local law?
Are production and process equipment as well as machinery safe to use?
Do all production and process machinery have an emergency switch off button and easily accessible?
Are materials labeled as hazardous, flammable or combustible stored away from sources of ignition?
Are materials labeled as hazardous, flammable or combustible stored in a separated dedicated storage closed off area(s) away from production area?
Does the factory maintain a Material Safety Data Sheet (MSDS) in a language understood by workers, available and accessible to all workers close to the areas where chemicals are used and stored?

Are workers working with materials labeled hazardous, flammable or combustible familiar with the Material Safety Data Sheet (MSDS) at the factory?
Are all the chemical containers labelled with the name in local language and the corresponding hazard symbol (for hazardous chemicals)?
Does the factory maintain a reliable and complete chemical inventory with the following basic information: area of use, chemical name, CAS Numbers of the chemical components, chemical supplier, MSDS availability and quantities stored?
Does the factory maintain an inventory of the waste types and quantities generated on-site?
Does the factory separate hazardous wastes from non-hazardous waste streams?
According to the local regulation for waste (including sludge) handling, storage, treatment, or disposal, is a waste management procedure in place for waste collection and temporary storage?
Does the factory make sure that the workers who handle wastes are aware and are trained to the requirements on waste management (segregation, storage, labelling and disposal)?
In case chemicals are stored in retention tanks, are all chemicals at reach for workers without needing to enter the retention tanks?
In case of hazardous, flammable or combustible materials use, is the eye wash station accessible and unobstructed?
Is there an eye wash station located within 6 meters of the chemical storage area and connected to a water source?
Has any legally prohibited chemicals been found in the factory?
Is any legally prohibited production process currently in use in the factory?
Where necessary, do workers have access to personal protective equipment (PPE) free of charge?
Is use of personal protective equipment (PPE) required and enforced by factory management?
Do workers need to enter tanks for maintenance-related tasks?
Are workers duly trained to enter tanks?
Are all necessary PPEs for entering tanks freely provided and duly maintained?
Is there a written procedure for entering tanks?
Do workers have access to gender-specific, clean and private toilet facilities?
Are all washing and toilet areas equipped with soap?
Do toilet facilities have washing installations with running water?
Do workers have a free access to potable water?
If the factory provides a food preparation, eating area or canteen for workers, is the area clean?
Is there a valid first aid kit present in every working area?

Does the factory provide a care room for workers?
Does the factory have a signed agreement with an emergency unit in the vicinity of the factory in case of a serious accident?
Does the factory have sufficient trained workers to administer medical care?
If legally required, does the factory provide a childcare room for workers?
Is the workplace and working conditions ergonomic according to local law?
Does the factory provide or mandate transport for workers to and from the employment site and if yes, based on workers' interviews, how is transportation perceived by workers?
Are the vehicle(s) used for the transport to and from the factory safe and suitable, in good sanitary condition, not overcrowded and compliant with applicable local legal requirements?
Does the factory ensure transport and traffic safety across the workplace?

DORMITORIES, HOUSING OR ACCOMMODATION	
Which local regulations were referenced during the assessment of dormitories?	
Is the dormitory owned or managed by the factory management?	
Is the dormitory attached to the factory or inside the factory premises?	
How many workers are reported to occupy the dormitory?	
How many workers occupy each room/ sleeping area of the dormitory?	
What is the average number of sqm ² per person in the dormitory rooms (sqm ² of the room/number of occupied beds in the room)?	
Does every worker have his/her own assigned bed in the dormitory?	
What are the general conditions of the dormitory?	
Are rooms/ sleeping areas separated by gender?	
Do workers have access to gender-specific clean and private toilet facilities at the dormitory?	
Do workers have access to gender-specific private shower facilities at the dormitory?	
Do workers have access to potable water at the dormitory?	
Are workers free to enter and leave the dormitories at any time?	
Does the factory conduct fire drills on a regular basis (if not defined by law, at least once per year) for all floors of the dormitory?	



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Are fire drills documented with, at minimum: date, announced/ unannounced, number of participants, and time it took to evacuate? Date format required: DD/MM/YYYY
Is the dormitory located outside the production building / warehouse?
Is the dormitory not located next to hazardous material storage or production building where hazardous work is performed?
Is there an evacuation plot plan posted on every floor of the dormitory?
Are there at least two emergency exits on every floor of the factory?
If there are less than two emergency exits on every floor, does the number of emergency exits comply with local requirements?
Are emergency exits located on each side of the dormitory?
Are emergency exit paths accessible and unobstructed?
If the emergency exit paths are inaccessible and/or obstructed, is the blockage temporary?
Are emergency exits designated with visible signs?
Are emergency exits unobstructed and unlocked?
Do emergency exit doors comply with local requirements?
When the emergency exit doors do not comply with legal requirements, has the factory implemented measures to ensure workers' security and ability to exit the dormitory in case of emergency?
Are emergency exit windows in compliance with local law?
Do emergency exit stairs have handrails or guards?
Are emergency exit paths, exits and stairs lit?
Do emergency paths lead towards emergency exits and therefore away from the building?
Is the assembly point or public way unobstructed and located away from the factory?
Is there a fire alarm present at the dormitory?
If there is a manual fire alarm present at the dormitory, is it designated or clearly visible near exits, unobstructed and audible?
Are there fire extinguishers on every floor of the dormitory?
Are fire extinguishers present along emergency exit path?
Are fire extinguishers accessible?

Are fire extinguishers inspected by factory personnel according to local law?
Are fire extinguishers inspected by specialized companies on a regular basis (if not defined by law, at least once per year)?
Is there a first aid kit available at the dormitory?

Annex 4: Compliance and Sustainability: binding and non-binding reference texts (non-exhaustive)

Compliance and Sustainability **binding and non-binding reference texts (non-exhaustive)**

You'll find below the international and national major documents regarding business and human, workers and environment rights.

The Responsible business conduct framework

1968	Club of Rome, The Limits to Growth (World Watch Institute n.d.)
1976, 2016, 2018, 2022	OECD Guidelines for Multinational Enterprises ("MNE Guidelines") OECD-FAO Guidance for Responsible Agricultural Supply Chain OECD Due Diligence Guidance for Responsible Business Conduct OECD Background note on Regulatory Developments concerning Due Diligence for Responsible Conduct (The role of Sustainability initiatives in mandatory due diligence)
1977	ILO Tripartite Declaration of Principles concerning Multinational Enterprises and Social Policy ("MNE Declaration")
1992, 1997	Rio Earth Summit, Kyoto Protocol
1998, 2019	ILO Declaration on Fundamental Principles and Rights at Work Labour Standards in Global Supply Chain, how to meet them to become more competitive and sustainable (training)
2000, 2015	UN Global Compact, Guide To Corporate Sustainability
2004	UN "Who Cares Wins" Report (ESG)
2011	UN Guiding Principles on Business and Human Rights
2015	UN Sustainable Development Goals (SDGs)
2015	UN Climate Change Conference (COP21), Paris Agreement (GW<1,5°C)
2023	UN Understanding Voluntary Sustainability Standards, a strengths, weaknesses, opportunities, and threat analysis

ILO Fundamental Conventions

1930, 2014	Forced Labour Convention (No. 29) and its protocol
1948	Freedom of Association and Protection of the Right to Organise Convention (No. 87)
1949	Right to Organise and Collective Bargaining Convention (No. 98)
1951	Equal Remuneration Convention (No. 100)

1957	Abolition of Forced Labour Convention (No. 105)
1958	Discrimination (Employment and Occupation) Convention (No. 111)
1973	Minimum Age Convention (No. 138)
1981	Occupational Safety and Health Convention (No. 155)
1999	Worst Forms of Child Labour Convention (No. 182)
2006	Promotional Framework for Occupational Safety and Health Convention (No. 187)

RIGHTS AND PROHIBITIONS INCLUDED IN INTERNATIONAL HUMAN RIGHTS INSTRUMENTS

The right to life	Article 6(1) of the International Covenant on Civil and Political Rights. This includes, but is not restricted to, private or public security guards protecting the company's resources, facilities or personnel causing death of a person due to a lack of instruction or control by the company;
The prohibition of torture, cruel, inhuman or degrading treatment	Article 7 of the International Covenant on Civil and Political Rights. This includes, but is not restricted to, private or public security guards protecting the company's resources, facilities or personnel subjecting a person to torture or cruel, inhuman or degrading treatment due to a lack of instruction or control by the company;
The right to liberty and security	Article 9(1) of the International Covenant on Civil and Political Rights
The prohibition of arbitrary or unlawful interference with a person's privacy, family, home or correspondence and unlawful attacks on their honour or reputation	Article 17 of the International Covenant on Civil and Political Rights
The prohibition of interference with the freedom of thought, conscience and religion	Article 18 of the International Covenant on Civil and Political Rights
The right to enjoy just and favourable conditions of work, including a fair wage and an adequate living wage for employed workers and an adequate living income for self-employed workers and smallholders, which they earn in return from their work and production, a decent living, safe and healthy working conditions and reasonable limitation of working hours	Article 7 and 11 of the International Covenant on Economic, Social and Cultural Rights
The prohibition to restrict workers' access to adequate housing, if the workforce is housed in accommodation provided by the company, and to restrict workers' access to adequate food, clothing, and water and sanitation in the workplace	Article 11 of the International Covenant on Economic, Social and Cultural Rights
The right of the child to the highest attainable standard of health	Article 24 of the Convention on the Rights of the Child

The right to education	Article 28 of the Convention on the Rights of the Child
The right to an adequate standard of living	Article 27 of the Convention on the Rights of the Child
The right of the child to be protected from economic exploitation and from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical, mental, spiritual, moral or social development	Article 32 of the Convention on the Rights of the Child
The right of the child to be protected from all forms of sexual exploitation and sexual abuse and to be protected from being abducted, sold or moved illegally to a different place in or outside their country for the purpose of exploitation	Articles 34 and 35 of the Convention of the Rights of the Child
The prohibition of the employment of a child under the age at which compulsory schooling is completed and, in any case, is not less than 15 years, except where the law of the place of employment	Article 2(4) of the International Labour Organization Minimum Age Convention, 1973 (No. 138), interpreted in line with Articles 4 to 8 of the International Labour Organization Minimum Age Convention, 1973
The prohibition of the worst forms of child labour (persons below the age of 18 years)	Article 3 of the International Labour Organization Worst Forms of Child Labour Convention, 1999 (No. 182)
The prohibition of forced or compulsory labour, which means all work or service that is exacted from any person under the menace of any penalty and for which the said person has not offered himself or herself voluntarily, for example as a result of debt bondage or trafficking in human beings	Article 2(1) of the International Labour Organization Forced Labour Convention, 1930 (No. 29)
The prohibition of all forms of slavery and slave-trade, including practices akin to slavery, serfdom or other forms of domination or oppression in the workplace, such as extreme economic or sexual exploitation and humiliation, or human trafficking,	Article 8 of the International Covenant on Civil and Political Rights
The right to freedom of association, assembly, the rights to organise and collective bargaining	Articles 21 and 22 of the International Covenant on 5893/24 MVG/DS/PB/cb 124 COMPET.2 LIMITE EN Civil and Political Rights, Article 8 of the International Covenant on Economic, Social and Cultural Rights, the International Labour Organization Freedom of Association and Protection of the Right to Organise Convention, 1948 (No. 87), and the International Labour Organization Right to Organise and Collective Bargaining Convention, 1949 (No. 98)
The prohibition of unequal treatment in employment, unless this is justified by the	Articles 2 and 3 of the International Labour Organisation Equal Remuneration Convention,

requirements of the employment	1951 (No. 100), Articles 1 and 2 of the International Labour Organisation Discrimination (Employment and Occupation) Convention, 1958 (No. 111), and Article 7 of the International Covenant on Economic, Social and Cultural Rights
The prohibition of causing any measurable environmental degradation, such as harmful soil change, water or air pollution, harmful emissions, excessive water consumption, degradation of land, or other impact on natural resources, such as deforestation	Article 6(1) of the International Covenant on Civil and Political Rights and Articles 11 and 12 of the International Covenant on Economic, Social and Cultural Rights

PROHIBITIONS AND OBLIGATIONS INCLUDED IN ENVIRONMENTAL INSTRUMENTS

The obligation to avoid or minimise adverse impacts on biological diversity	Article 10(b) of the 1992 Convention on Biological Diversity and applicable law in the relevant jurisdiction, including the obligations of the Cartagena Protocol on the development, handling, transport, use, transfer and release of living modified organisms and of the Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity of 12 October 2014
The prohibition to import, export, re-export or introduce from the sea any specimen included in the Appendices I to III of the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) of 3 March 1973 without a permit, interpreted in line with Articles III, IV and V of the Convention	
The prohibition of the manufacture, import and export of mercury-added products listed in Annex A Part I of the Minamata Convention on Mercury of 10 October 2013 (Minamata Convention), interpreted in line with Article 4(1) of the Convention	
The prohibition of the use of mercury or mercury compounds in the manufacturing processes listed in Annex B Part I of the Minamata Convention after the phase-out date specified in the Convention for the individual processes, interpreted in line with Article 5(2) of the Convention	
The prohibition of the unlawful treatment of mercury waste	Article 11(3) of the Minamata Convention and Article 13 of Regulation (EU) 2017/852 of the European Parliament and of the Council

The prohibition of the production and use of chemicals listed in Annex A of the Stockholm Convention of 22 May 2001 on Persistent Organic Pollutants (POPs Convention)	Article 3(1)(a), point (i) of the Convention and Regulation (EU) 2019/1021 of the European Parliament and of the Council
The prohibition of the unlawful handling, collection, storage and disposal of waste	Article 6(1)(d), points (i) and (ii) of the POPs Convention and Article 7 of Regulation (EU) 2019/1021
The prohibition of importing or exporting a chemical listed in Annex III of the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (UNEP/FAO) of 10 September 1998	in line with Articles 10(1), 11(1)(b) and 11(2) of the Convention and indication by the importing or exporting Party to the Convention in line with the Prior Informed Consent (PIC) Procedure
he obligation to avoid or minimise adverse impacts on the properties delineated as natural heritage	Article 2 of the Convention Concerning the Protection of the World Cultural and Natural Heritage of 16 November 1972 (the World Heritage Convention), interpreted in line with Article 5(d) of the World Heritage Convention and applicable law in the relevant jurisdiction
The obligation to avoid or minimise adverse impacts on wetlands	Article 1 of the Convention on Wetlands of International Importance especially as Waterfowl Habitat of 2 February 1971 (Ramsar Convention), interpreted in line with Article 4(1) of the Ramsar Convention and applicable law in the relevant jurisdiction;
The obligation to prevent the pollution from ships	The International Convention for the Prevention of Pollution from Ships of 2 November 1973, as amended by the Protocol of 1978 (MARPOL 73/78).
The obligation to prevent, reduce and control pollution of the marine environment by dumping	Article 210 of the United Nations Convention on the Law of the Sea of 10 December 1982 (UNCLOS) and applicable law in the relevant jurisdiction.