



SMETA Implementation Guide for the Mango Industry



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Section 1

Introduction



The ETI Code

The Ethical Trading Initiative, (ETI) is an alliance of companies, trade unions, and volunteer organizations created in 1998 in the United Kingdom, which aims to work together to improve the lives of workers around the world. It emerged in response to accounts and harsh reports on the exploitation of people in clothing, footwear, and other products of globally recognized brands in the mid-1990s.

The ETI Base Code is an internationally recognized set of labour standards to drive improvements in working conditions around the world. It is based on the conventions of: The International Labour Organization (ILO):

- The provisions of that code constitute minimum, not maximum standards: The Code does not prevent companies from exceeding these standards.
- Companies implementing the ETI Basic Code must comply with national laws and other applicable laws.
- Where the legal provisions and the Basic Code address the same issues, companies shall apply the provision providing for greater protection.

The ETI Basic Code is based on nine principles:

1. Employment will be freely chosen.
2. Freedom of association and the right to negotiation will be respected.
3. Working conditions will be safe and hygienic.
4. No child labour will be employed.
5. A living wage will be paid.
6. Working hours will not be excessive.
7. There will be no discrimination.
8. Regular work will be provided.
9. Inhumane or severe treatment will not be allowed.



What is SEDEX? What is the SMETA audit?

Supplier Ethical Data Exchange (SEDEX) is the name of the non-profit membership organization that aims to provide business best practices for accountability and ethics in the global supply chain.

SEDEX was founded in 2001 with the aim of achieving convergence of social audit standards and monitoring practices, facilitating the exchange of audit reports and driving improvements in supply chain standards.

In order to provide a centralized protocol that can be reliably shared, SEDEX members and the associated group of auditors created the SMETA (SEDEX Members Ethical Trade Audit) methodology and audit of SEDEX Members, which uses the ETI Base Code and local law as monitoring standards.

SEDEX is the organization that created the SMETA audit protocol based on the ETI code. Important aspects according to measurement criteria:

- Human Rights
- Management Systems
- Health and Safety
- Child Labour and Young Workers
- Wages and Benefits
- Hours of Work
- Discrimination
- Environment
- Benefits for the Community

Section 2

Implementation of the Social Responsibility System



Step 1. Assignment of a Member of Management for the Social Responsibility Project

Ideally, it would be having a management manager who is in charge of authorizing, managing, or facilitating those necessary physical adaptations or in the management system to obtain the best results in the SMETA audit. He/she must have the authority to make decisions and be responsible for monitoring the project. This does not mean that the person in charge will be responsible for the results obtained, as that depends on many factors and even many situations and people. In addition, he/she should be the one who demonstrates the commitment of senior management to support the social responsibility project

As a Project Leader, you will be responsible for the following:

1. Organize a social responsibility committee.
2. Follow up on the preparation of the social responsibility manual.
3. Support and manage on-site adequacy.
4. Support to committee members to carry out their activities.



Step 2. Having a Social Responsibility Committee

The Social Responsibility Committee is a multidisciplinary group of people in charge of the areas of human rights, health and safety, and the environment. Each area can be run by one or more people depending proportionally on the number of workers in the company. It is recommended that it consists of at least one worker at the intermediate level (supervisor, manager, foreman) and a worker related to the area of preference chosen by the staff.

The manager should have training and/or experience in the area to address the issues appropriately. Recommended members to be part of the social responsibility committee may include: human resources-related personnel, legal or judicial adviser, payroll manager, supervisor/operations manager, supervisor/production manager, purchasing manager, warehouse manager, among others. This list of posts is not intended to be exhaustive, consider the staff indispensable to support the development of risk analysis in social responsibility.

The social responsibility committee must meet frequently according to the needs of the company in order to monitor working conditions and seek the well-being of workers. The group will be in charge of developing social responsibility risk analysis and internal social responsibility audits, in addition to area-specific responsibilities.



SOCIAL RESPONSIBILITY COMMITTEE:

Human Rights Committee

Health and Safety Committee

Environment Committee

Area	General Responsibilities	Specific Responsibilities
Human Rights Area		<ul style="list-style-type: none">• Complaint Management System
Health and Safety Area	<ul style="list-style-type: none">• Risk analysis in SR• Internal SR audits	<ul style="list-style-type: none">• Health and Safety training• Drills• Emergency exits
Environment Area		<ul style="list-style-type: none">• Environmental Monitoring



Step 3. Risk Assessment in Social Practices

Risk assessment is a very important part of the social responsibility system that is implemented. The procedures, practices, habits, and processes that are being carried out daily will be identified and will seek to reinforce good practices. Those that pose a risk of non-compliance with the responsibility of the company to its workers should be prevented and finally if there are practices or situations in which the rights of workers are not met, they must be corrected or remedied.

The following are recommended steps for performing the risk analysis:

- 1.** Take into account that the analysis must be carried out as a team, so it is advisable to do it in the presence of all the members of the previously constituted social responsibility committee, some expert or consultant in the field of social responsibility, and, if applicable, a representative of the workers.
- 2.** Use a risk assessment template, such as the one appended to this manual. A flowchart of your process and the facility map will ensure that we are evaluating all worker activities and all spatial areas of the company.
 - a.** The information of the position profiles, organization chart, and a list of employees where we can identify the gender, age, and position will provide information to carry out the evaluation.
 - b.** The map of the facilities should include equipment, machinery, emergency exits, meeting point, places where fire extinguishers are located, among others. Include surrounding areas and what activities they are engaged in.
- 3.** Start assessing the risks in each phase. Consider the following:
 - a.** Discuss the consequences if these risks are not controlled. These consequences are known as the severity of risk and can range from controllable damage to death.
 - b.** At the same time, analyze the probability of occurrence of risk occurring according to current practices, procedures, and policies.
 - c.** The magnitude of the risk will be the result of the sum of severity and probability. Place the result in the column of the same name.
 - d.** The risk characterization column will indicate the action to be taken. It will be a corrective action (CA) if the result is greater than 6 and a preventive action (PA) if it is less than 6.
- 4.** Perform this same analysis for each of the phases.

The phases to be evaluated in the risk analysis are: human rights, health and safety, and the environment. In each of them, we can start from an overview to the particular risks. For example, in the area of health and safety we can begin to classify in general those related to machinery and equipment, and as particular risks: wounds or cuts, burns, entrapment, hit-and-run, fire, etc.



The risk assessment template serves as a model for facilitating analysis. Remember that each company must work its risk analysis according to its operations. Here are some examples of how to develop the risk assessment:

Area: Human Rights

Risk: Discrimination

Causes:

- Ignorance of HR rules or laws (lack of information).
- Personal ideologies (prejudices).
- Nepotism, socioeconomic reasons (conveniences).
- Fear.

Actions:

- Training, policies, and information to workers.
- Timely detection and reconciliation with the aggressor. Call for attention and take necessary administrative action.
- Change in procedures within the company to prevent it.



Area: Human Rights

Risk: Child Labour

Causes:

- Ignorance of rules and laws.
- Do not request documentation for recruitment.
- Delivery of false documentation.
- Poverty or unmet economic needs.
- Lack of education.

Actions:

- Training and policy implementation.
- Change in recruitment and recruitment procedure.
- Request for supporting and matching documents with original.
- Corrective action would be the remediation of child labour such as shift changes, schedule, schooling, tutor letter, etc.
- Manage and channel the child and his/her family to the competence of government or NGOs that could help the economic situation.

Area: Human Rights

Risk: Assignment of positions not suited to capacities

Causes:

- Ignorance about difficulties in workers' abilities by weight, age, body size, pathological history of physical deformities, or abilities-limiting injuries.

Actions:

- Performance of a medical examination.
- Evaluation of position profiles.

Area: Human Rights

Risk: Disclosure of personal data

Causes:

- Ignorance about confidentiality rules and disclosure of information.

Actions:

- Publication of the confidentiality agreement and non-disclosure of information.



Area: Worker Health and Safety

Risks: Burns

Causes:

- Identify and name a particular process where a flame is ignited to provide heat, drying, heating, among others.
- Inappropriate use of work tools.

Actions:

- Training staff including preventive measures such as: using appropriate protective clothing such as thermal gloves, aprons, mittens, eye protection, hats, non-slip soles, etc. Doing cleaning of equipment when cold; orienting work tools away or out of the heat source, checking the temperature before handling them; not dropping objects into hot liquids; not filling containers up with hot liquids, place lids on when possible, etc.
- First aid training, immediate actions to be taken and proper use of the medicine cabinet in case of burns.
- Installation of sufficient healing material and kits for the personnel and activities that are carried out.

Area: Worker Health and Safety

Risks: Fire

Causes:

- Gas tank explosion (from hose wear, line malfunction, leakage, etc.).
- Electrical fire (cables in bad condition, overheating of cables due to overuse, lack of power regulator, lack of proper maintenance to machinery or electrical system).
- Friction (lack of lubrication to machinery).
- Mechanical sparks (carelessness of machinery).
- Flammable liquids (incorrect storage, poorly closed containers, incorrect temperature that generates vapors, no knowledge in the combination of liquids).
- Cigarettes and matches (lack of care and order).
- Cutting and welding (sparks generated by the same activity).
- Hot surfaces.

Actions:

- Preventive or corrective maintenance of gas lines. Keep evidence of this.
- Review electrical equipment and lines, maintenance, and prevention.
- Proper lubrication and maintenance of machinery.
- Correct storage, order, and cleaning in the chemical warehouse. Check that the temperatures are correct and follow the instructions given by the manufacturer and safety sheets.



- Strengthen workers' technical/practical training to reduce risky unintentional behaviors such as haste, frustration, fatigue, or overconfidence.
- When cutting and welding activities are carried out, check that the space is safe, outside of operating hours, and with the necessary protective equipment.
- Evacuation drills.
- Fire extinguishers and medicine cabinet.
- Training staff on the use of fire extinguishers, medicine cabinet, and fire alarm.

Area: Worker Health and Safety

Risks: Fall of elevated objects

Causes:

- Load dropped from forklift.
- Cargo dropped from the receiving or boarding truck.

Actions:

- Restriction of forklift use only to trained and authorized personnel.
- Control of entrances and exits of the receiving or boarding trucks.
- Cautionary signage in areas of risk or prohibition in necessary areas.
- Signage of safe routes for the transit of personnel.





Area: Worker Health and Safety

Risks: Entrapment or hit-and-run

Causes:

- Mis-handling of the forklift or truck.
- Lack of signage of forklift, truck, or mobile equipment transit areas.
- Driver carelessness.

Actions:

- Training in the use of forklifts or other mobile equipment.
- Only authorized and trained personnel (certified if applicable) can make use of machines such as forklifts, truck, etc.
- Strengthen workers' technical/practical training to reduce risky unintended behaviors such as haste, frustration, fatigue, or overconfidence.

Area: Worker Health and Safety

Risks: Wounds, cuts, injuries, or amputations

Causes:

- Mis-handling or neglect in the use of equipment
- Entrapment on rollers: clothing, accessories, or hair.
- Defects in equipment, machinery, or work tools.
- Poor condition of equipment, machinery, or work tools.
- Incorrect placement of materials or products in work areas.
- Lack of cleanliness and order in work areas.
- Personal protective equipment not used or unsuitable.
- Operate equipment without training and/or without authorization.
- Cleaning, repairing, or greasing of equipment without safety measures.

Actions:

- Training on the use of equipment and authorization for its use.
- Regulation on the use of appropriate clothing for work (uniform, if applicable) including safety measures for workers operating machinery or equipment.
- Review of the operation and maintenance suitable for equipment and machinery.
- Monitoring of compliance with safety regulations by employees.
- Cleaning and ordering in work areas.
- Implementation and monitoring of the "lock and label" safety procedure to ensure that hazardous machines shut down properly and cannot be re-started before completing maintenance or repair work.
- Placing security guards on computers when they are not in operation.
- Verification of the use of personal protective equipment by the staff, which is appropriate and correct for the risk.



Area: Worker Health and Safety

Risks: Facilities

Causes:

- Exceed permissible levels and noise exposure times during the workday.
- Exceed levels and maximum permissible time of extreme thermal conditions.
- Do not adhere to the lighting requirements necessary for the activity.

Actions:

- Conducting a study to identify the noise, lighting, and temperature levels at which each workstation is exposed.
- Include periodic air conditioning review in the facility maintenance plan.
- Use of activity-appropriate personal protective equipment to reduce exposure to such risks.

Area: Worker Health and Safety

Risks: Ergonomic

Causes:

- Loading and unloading boxes.
- Handling heavy objects.
- Incorrect and/or static postures during work activities.
- Improper use or misuse of tools or equipment at work.
- Furniture not properly maintained, in poor condition or not suitable for the activity that is carried out.

Actions:

- Conduct a study to identify the noise, lighting, and temperature levels at which each workstation is exposed.
- Include periodic air conditioning review in the facility maintenance plan.
- Use of activity-appropriate personal protective equipment to reduce exposure to such risks.
- Training on postures, exercises, and breaks for work activity in particular.
- Maintenance suitable for working tools and furniture.
- Acquisition of suitable and ergonomic furniture for activities.



Area: Worker Health and Safety

Risks: Vulnerable Personnel

Alteration of the health of pregnant women or fetuses, nursing women, who have recently given birth, elderly staff, or with chronic degenerative diseases.

Causes:

- Postures held more than 3 hours in a row.
- Night shifts, overtime, or irregular shifts.
- Handling heavy objects.
- Exposure to hazardous chemicals.

Actions:

- Postural changes with control of scheduled breaks and breaks.
- Ask personnel at risk for proof of medical supervision.
- Integration into the rules of procedure prohibiting vulnerable personnel from working night shifts, overtime or irregular shifts, handling heavy objects, or performing activities where they are exposed to hazardous chemicals.

Area: Worker Health and Safety

Risks: Chemical poisoning

Causes:

- Bad storage.
- Misuse of the chemical.
- Lack of training.

Actions:

- Technical data sheets and chemical safety sheets used in the installation.
- Order, cleaning, and entry restriction to the chemical warehouse.
- Training to personnel handling chemicals and restricted handling by authorized personnel.
- Use of proper PPE.



Step 4. Social Responsibility Folder

The social responsibility folder will make it easier to display the practices, procedures, formats, and documentation that validate the management system in terms of social responsibility implemented. The auditor will check whether these practices are being carried out through physical observation and interviews with workers.

The folder can carry physical, digital, or both types of documents. It is important that the designated person who receives the auditor knows the location and use of each document. If you find it convenient, you can include an index at the beginning of the folder.

It can be sorted according to the criterion or phase to which the document belongs or the type of document to which we refer, for example:

- **Procedures**
 - It refers to the methods or procedures we follow in certain activities; these must be written and customized. Remember to follow the golden rule for procedures: "I write what I do, I do what I write."
- **Formats.**
 - It is an instrument or tool with the steps or data that we must collect from one or more activities. It has blanks to fill out at the time of the activity.
 - The blank format becomes a record when you complete it when performing the activity. Usually, records must be retained or archived for 2 years.
 - The example formats can be placed in the social responsibility folder. However, remember to keep them on hand at the right places and times so that the staff responsible for filling them out are available.
- **Documents**
 - Includes policies, agreements, and other documents that are neither formats nor procedures.
- **Annexes**
 - In this section we can place certificates, minutes, maps, inspections, permits, or any other document specific to the company.



Section 3

SMETA Audit



SMETA Audit

The SMETA audit can be divided into the following stages: request, preparation, execution, results, and follow-up.

Request

1. Purchase your SEDEX Membership

On the SEDEX homepage (<https://www.SEDEx.com/>) you can find important information about the type of membership you need. Depending on the activities your company performs, there are three types: A (buyer), B (supplier) or AB (buyer/supplier). Most mango producers fall into the supplier category. Follow the steps on the page to sign up and pay. Log in and explore the platform's features.

2. Select the auditor

You can choose the auditor of your choice; take into account that he/she should preferably be certified in a recognized quality management system or have experience in the SMETA audit criteria.

3. Request for audit

Link your company to the auditor on the SEDEX platform and then select the audit date. Remember, audits must be performed during peak season when the site is in full operation.





Preparation

Reúna a su comité de responsabilidad social para comenzar los preparativos para la auditoría.

Gather your social responsibility committee to begin preparations for the audit. During the meeting, determine the necessary adequacy and divide responsibilities to follow up and resolve what is necessary until compliance.

The auditor will conduct interviews with the administration and workers to confirm the practices of the site. You could conduct the interview individually or as a group. The auditor shall select workers in a balanced and proportionate manner. You will also be responsible for protecting the confidentiality of the worker during and after interviews.

The physical tour of the facilities is another tool that the auditor will use to verify compliance with the commitments he has made with his workers.

See the documents developed by SEDEX: Best Practices Guide and Measurement Criteria. You can also make use of the “**Sedex Self-Assessment Questionnaire (SAQ)**” provided as a complement to this guide. The corrective action plan resulting from the risk assessment shall be in progress or completed.





Preparation

4. Document preparation

The auditor will send a list of documents that the site must have available on the day of the audit. This list usually includes:

- The standard or code based on which the site will be audited: ETI code, SMETA guidelines, customer guidelines (Wal-Mart, COSTCO, etc.).
- The scope of the audit agreed in terms of companies, sites, and buildings.
- Documentary list: building plan, employment contracts and written employment agreements, terms and conditions of employment, list of all chemicals and solvents used, training records, health inspections, structural safety, environmental compliance, evacuation plan, payroll records from the last 12 months, social security receipts, minutes of joint occupational health and safety committee meetings, and site policies: child labour, wages and hours of work, discipline, discrimination and harassment, among others.
- Code of business ethics of the auditor or auditing house.
- Audit program and the procedure for raising issues.
- Communication materials for the site to provide workers with clear information about the audit, explaining the purpose of the visit and the process.

5. Physical and Personnel Preparation

For the preparation of workers and facilities, please note the following:

- Internal communications. Inform managers, workers, employment agencies and workers' representatives to ensure that they understand the purpose of the audit and what is required of each of them.
- Remember to inform workers of the interviews that the auditor will conduct, reserve a quiet place free of interruptions and noise for the auditor.
- Review national or local rules or regulations and assess your level of compliance.
- In the case of Mexico, the following are a list of official Mexican standards (NOMs) of mandatory application in the national territory.



Application	Category	Number of NOMs	Title of the standard	
Compulsory	Safety Standards	NOM-001-STPS-2008	Buildings, premises, and facilities	
		NOM-002-STPS-2010	Fire prevention and protection	
		NOM-001-STPS-1999	Machinery safety systems and devices	
		NOM-001-STPS-1998	Handling, transporting, and storing hazardous substances	
		NOM-001-STPS-2014	Handling and storing materials	
		NOM-001-STPS-2011	High-altitude jobs	
		NOM-001-STPS-2011	Pressure vessels and boilers	
		NOM-001-STPS-2008	Static electricity	
		NOM-001-STPS-2015	Static electricity	
		NOM-001-STPS-2008	Welding and cutting	
		NOM-001-STPS-2011	Maintenance of electrical installations	
		NOM-001-STPS-2015	Work in confined spaces	
		NOM-001-STPS-2016	Access and development of activities of workers with disabilities	
		Health standards	NOM-001-STPS-1999	Chemical contaminants
	NOM-001-STPS-2014		Agentes químicos contaminantes del ambiente laboral	
	NOM-001-STPS-2001		Noise	
	NOM-001-STPS-2012		Ionizing radiation	
	NOM-001-STPS-1993		Non-ionizing radiation	
	NOM-001-STPS-2000		Abnormal environmental pressures	
	NOM-001-STPS-2001		High or low thermal conditions	
	NOM-001-STPS-2001		Vibrations	
	NOM-001-STPS-2008		Lighting	
	NOM-001-STPS-2018		Psychosocial risk factors	
	NOM-001-STPS-2018		Ergonomic risk factors. Part 1: Manual handling of loads	
	Organization Standards	NOM-001-STPS-2008	Personal protective equipment	
		NOM-001-STPS-2000	Identifying hazards and hazards by chemicals	
		NOM-001-STPS-2015	Hazards and hazards from hazardous chemicals	
		NOM-001-STPS-2011	Safety and hygiene commissions	
		NOM-001-STPS-2008	Colors and safety signs	
		NOM-001-STPS-2012	Safety in processes and equipment with chemicals	
		NOM-001-STPS-2009	Preventive health and safety services	
	Mandatory in companies with specific activities referred to in such rules.	Specific rules	NOM-001-STPS-1999	Pesticides and fertilizers
			NOM-001-STPS-2000	Agricultural facilities, machinery, equipment and tools
NOM-001-STPS-2013			Timber forestry	
NOM-001-STPS-2001			Operation and maintenance of railways	
NOM-001-STPS-2012			Work in underground and open pit mines	
NOM-001-STPS-2011			Construction	
NOM-001-STPS-2008			Underground coal mines	



6. Filling out the SEDEX Self-Assessment Questionnaire (SAQ) and Risk Assessment

The Self-Assessment Questionnaire (SAQ) is available to SEDEX members within the platform. The SAQ covers the same audit criteria and is a tool that supports the auditor prior to his visit to focus on the areas to be addressed on the day of the audit. The customer will obtain an inherent risk indication from their supplier from filling out the SAQ and the supplier can identify the areas of opportunity, in sufficient time to be able to correct them before the auditor's visit.

Therefore, the site or provider must make the SAQ visible to its customer and auditor once it has been completed. If it is not completed 15 days before the audit, the audit may not be carried out or may result in a high-risk non-compliance.

Execution

7. SMETA Audit

The objective of an SMETA audit is to assess the company's compliance with the labour standard of the ETI Base Code, the country's labour laws and the policies and procedures with which it is committed. The result of an SMETA audit is not a certification, nor is it an approving or critical rating. The result is a site performance level report.

Audit execution usually takes 1 or 2 days depending on site size and sequential steps are usually:

1. Opening meeting.
2. Work site tour.
3. Interviews with management and employees.
4. Documentary review.
5. Pre-closing meeting (preparation of the SMETA Audit Report and the SMETA Corrective Action Plan (CAPR)).
6. Closing meeting and summary of finding.

Please note that falsification or incomplete disclosure of documentation makes the audit ineffective and such actions may be considered a serious breach, on the other hand, if the site has been transparent about its problems, the auditor may record a minor breach.

Results

8. The SMETA Corrective Action Plan Report (CAPR)

The SMETA Corrective Action Plan Report (CAPR) has been designed for the site, with the purpose of providing a structure to the non-compliances encountered by the audit team, conducting an analysis of the originating cause, helping the site develop a practical action plan during the closing meeting, and establishing an appropriate time limit to comply with it.

The auditor will provide information on the possible cause(s) of the problem and how to change the management system or implement processes to minimize the risk that the same non-compliance will occur again. It is important to avoid making "fast" arrangements rather than a lasting solution.



Follow-up

9. Follow-up

Based on the results of the initial audit, a follow-up audit may be required. There are three types of tracking audits: full, partial, or desktop. Tracking audits are used to check progress against issues encountered in the initial audit and demonstrate the improvement process. Follow-up audits have a shorter duration and use the CAPR agreed in the previous audit as the basis.

The site enters SEDEX Advance and forwards all necessary documentary evidence to the auditing company. The auditor will review and be able to respond to the evidence with a: rejection, progress made, pending follow-up or verification. The site will then be able to view the response, and, if necessary, you will need to contact the auditing company for verification.

Buyer members typically require sites to follow "audit cycles" according to their risk category:

- High risk - annual audit.
- Medium risk - audit every 2 years.
- Low risk - at the discretion of the customer.



Section 4

SMETA Measurement Criteria



The objective of this section is to explain in a timely and simple manner the different criteria addressed by the SMETA audit.

At the end of each criterion is a list of specific documents required and editable templates that you can customize for your company.

Human Rights

Businesses must have a policy that expresses their commitment and respect for human rights, signed and approved by senior management and communicated to all stakeholders: employees, HR agencies, suppliers, communities of interest, among others.

The business must have a person responsible from human rights to implement and monitor compliance with that policy. It is advisable to hold an assembly in senior administration where a responsible person is appointed for each of the following areas: human rights, health and safety, and environmental issues. **This team is known as the Social Responsibility Committee.**

The assembly requires as registration an act where the responsibilities of each manager are listed and accepted, authority is granted to deal with situations autonomously, and how they will be held accountable for their committee. Those responsible must have training, experience or in some way have preparation, to carry out said commission (know the laws, applicable rules, and stay up to date).

The company must also have a transparent system so that employees can report confidentially without risk of retaliation about situations of vulnerability or abuse of their human rights. All employees should know the system, have confidence in its operation and know how to make use of it.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

1. 0A1. Human rights policy.

2. 0A2. Social Responsibility Committee.

- The Social Responsibility Committee document includes an act or document reflecting the assembly that was held.
- A responsible person shall be appointed for each of the following areas: human rights, health and safety, and environmental matters.
- When the assembly of the constitution of the committee must be taken, name and signature of the attendees in a meeting format (0A5).



3. Documentation that validates the preparation, experience, and/or updating of the human rights officer (also applies to each area manager(s)).

- Example: Training in human rights, diploma or postgraduate issues in human rights, bachelor's or career related to human rights, among others.
- Documentation covering their experience and/or training in the field should be included for each of the managers in each area. All these documents must be appended to the personal file of each person in charge.

4. 0A3. Complaint Management Procedure.

- **0A3.1 Employee Complaint Format.** This format must be available in a complaint mailbox(s) for employees to fill out when they deem it necessary.
- **0A3.2 Complaint Management Format.** The human rights officer must follow up the complaint until its solution, recording the steps in this format.
- Remember that no matter what complaint management system you have, it is important that it is effective and that workers trust it. The auditor will review the effectiveness of the system and one of the evidences to prove it, is that there are complaints and evidence of work in their resolution.
- It is recommended that a workers' commissioner be included throughout the process to provide validity of the complaint management system.

5. 0A4. Working Agreement for Human Rights.

- In this document, your company communicates its commitment to human rights and commits its collaborating companies (customers or suppliers) to follow these same principles. *[This point is good practice and not mandatory]*

6. 0A6. Data protection and privacy procedure

- The procedure requires the **Employee Privacy and Data Protection Notice**, this notice is given to the worker for reading and authorization to use your personal data and information.





The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good examples and good practices

- The company performs an evaluation or analysis to identify whether it has a positive/negative impact on the community.
- The company has developed an action plan to address and remedy the identified negative impacts.
- The results of the evaluation are communicated to employees and the actions to be taken.
- It is shown that the complaints or complaints system has a positive and robust level of response and evidence of situation resolution is available.
- The company monitors its impact or advances continuously.
- There are procedures in place to protect workers' privacy.
- Workers' privacy and data privacy procedure.
- Notice of data protection and privacy.





Management Systems

The company is expected to have a way to review and update whether or not it is complying with the laws and codes to which it has committed: local, national/international laws, the ETI codebase and the requirements of its customers (Walmart, COSTCO, etc.). The company must have a person from management in charge of fulfilling the commitments in which it is involved. The person(s) in charge must carry out internal reviews on an ongoing basis at an established frequency.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you must customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

1. OB1. Internal Audit Procedure.

- Monitoring indicators such as: rotation rates, absenteeism, complaints, among others.
- Whether there are mechanisms for amending or updating procedures based on audit results (continuous improvement).
- Included is the **Internal Audit Nonconformance Report (OB4)** format, where corrective actions must be tracked.

2. OB2. Commitment Letter of Social Responsibility.

3. OB3. Due Diligence Procedure for the Acquisition of Land.

- The site must have documents proving ownership or lease of the land: title, certificate, deeds, lease agreement, or any other written evidence.
- The template of the procedure that we make available includes the policy on the legal acquisition of the land.

4. Reference documents: Federal Labour Law, ETI Code, policies and requirements of its customers (e.g., Walmart, Costco, etc.), site certifications (e.g., ISO 14000, ISO 9000), licenses and/or permits to operate, fines or claims for non-compliance with rules/laws, deeds, title, or lease of the company's land, among others.

- These documents should be included in the attachments section of the "master folder". Only as reference documents.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good examples and good practices

- All those practices, improvements, or activities in social responsibility management systems that the company may show that exceed the legal requirements or required by the ETI code.



1. Freely Chosen Employment

The company must have a policy prohibiting forced labour and a system or procedure to confirm that no original workers' documents are retained and returned in a timely manner. Findings will be sought to see if there is any type of forced, involuntary, or somehow compulsory work that the company imposes on its employees. The company must not obtain its labor because it has identification documents or any form of deposit (financial or loans, intellectual, property, identity) of the workers. Workers should be free to leave employment freely following reasonable notice procedures and time, i.e., the company must have a procedure for employees to resign freely, employees must know and know how to make use of it. The calculation of the final salary or settlement must be done in accordance with national or local law and transparently for the worker.

In those companies where there is a fund for loans, a written procedure must also be in place. The format must be signed by the worker, and the company and the terms, conditions, and method of payment established. Payments should be reviewed as realistic and do not cause the salary to fall below the minimum wage.

The auditor will also seek to know if there are deductions in wages outside the law and of which are legal (taxes, social security), the worker must be aware.

- Deductions must be worker-signed, detailed, and should not reduce pay below the minimum.
- If any agreed hold exists, the hold must be returned to the worker accordingly.
- If deductions are disciplinary action, the auditor will review without legal action.
- No deposits or payment should be made for essential items for work (e.g., personal protective equipment).
- Deposits should not be a condition for getting the job done.
- If the accommodation is charged, it must be priced fairly, and the worker is free to choose whether to stay or not.

Overtime should be voluntary, i.e., it may be rejectable and there must be a control system.

In interviews, the auditor will look at whether there is any sign of physical abuse, threats to workers or their families, psychological abuse, intimidation, or advice of their responses.

REMEMBER: Even if you have all the procedures that this manual mention, it is vital that these are being implemented, that is, they are carried out in all the daily activities of the orchard or packaging plant. Workers should be aware of the policies and procedures, since the only way in which the auditor can know if they are carried out is through direct interviews and thus know that what is written is fulfilled.



The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

1. 1.1 Free Choice Employment Policy.

2. 1.2 Recruitment, waiver, and settlement procedure.

- In the section "1. Recruitment of personnel" mentions the **Anti-Bribery and Corruption Policy**. As good practice, companies are advised to have signs of this policy in the announcement of the vacancy, during interviews, or in any other way communicate it to candidates.
- In the section "Labour rules" note that the use of **special clothing and protective equipment** is mentioned in subparagraph (c), the company will provide this, and **no deductions or withholdings will be made for these items that are well maintained.**

3. 2.1 Acknowledgement of receipt of documentation. This document describes the delivery or return of the worker's original documentation.

4. 2.2 Exit interview. This interview will be conducted to the worker who terminates the employment relationship with the company in order to identify the worker's motives and make improvements to their policies, processes, and, among others, to retain their workers.

5. 2.3 Organization chart and position profile. A position profile is included to make the recruitment process a fair, transparent, and equitable process. You can include your own organization chart and position profile. This is an example if you don't have any of them.

6. 2.4 Internal Labour Regulations. Whether you have a regulation or use the one proposed in the templates, make sure it is approved by the Secretary of Labor and Social Security-STPS (in the case of Mexico) or if necessary, by a government entity as applicable in your country.

7. 3.0 Confidentiality and Non-Disclosure Agreement.

- This agreement is displayed in a visible location for all workers, suppliers, customers, and stakeholders.

8. 4.0 Loan Application Procedure.

- Includes template **4.1 Personal Loan Format.**

9. Employment contract.

- Review the employment contract you are currently using and verify that it includes the following: worker rights and obligations, disciplinary action, and working hours.
- If you need any changes it is recommended to consult with your legal advisor to make the relevant changes.



The following policies/documents are not part of the "Free Choice Employment" criterion but do apply to other audit criteria. They will be explained and further developed in the criterion with which they are mostly related, below are mentioned:

a) 5.1 Deductions and Withholdings Policy.

- You will find it in the criterion "Wages and benefits".

b) 6.1 Overtime Procedure.

- You will find it in the criterion "Hours of work".

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good examples and good practices

- Training is provided to managers and labor suppliers (employment agencies) on issues related to free-choice employment: overtime, deductions, loans, liquidation calculations, federal labour law, among others.
- The company shows an open position to the auditor and shows examples of how previous issues have been dealt with.
- A risk assessment has been carried out with respect to free-choice employment and a plan has been developed to address the identified risks.





2. Freedom of Association

Companies must have a policy on the right of association and procedures to manage the right of association of workers, in addition to making them known directly. Workers may form or join a representation or trade unions of their own choice and have the right to bargain collectively. In the event that such workers' committees or groups do not exist, the ETI code does not require that they be formed, only that the company permits its training and that workers know that they have such freedom; where such formal representation does not exist, the auditor shall review that workers have access to the direct supervisor, the effectiveness of the system for raising claims or complaints, and whether workers perceive being heard and supported.

The company will take an open and tolerant attitude to these activities, provide the time necessary for workers who serve as representatives to perform their duties and protect them from discrimination. The auditor will also review that workers' representatives are freely and voluntarily elected. There should be a right of association procedure stating: the process for the election of representatives that is fair, free and voluntary, forms of communication and collective bargaining (% of covered personnel), responsibilities of the committee, if the company makes deductions for membership fees, terms, and conditions. The auditor will review whether workers know the committee and feel effectively represented, the committee's communications with workers, i.e., whether agreements and meetings are communicated - publications and whether the administration demonstrates evidence of responding to concerns or proposals raised at meetings. It will be reviewed whether there are dismissals for attempting to form any workers' committees or dismissals to union members and circumstances, whether there is evidence of discrimination against union members, whether representatives are free to choose, whether they have frequent meetings, whether there has been a strike, and what the circumstances were.



The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure that they meet the minimum requirements that the criterion requires.

Documents or templates:

- 1. 2.1 Association Law Policy.**
- 2. 2.2 Free Association Procedure.**

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good examples and good practices

- The company trains workers on the benefits and importance of a workers' committee.
- Managers and supervisors are trained on skills to listen to and communicate worker complaints.
- The union is invited to visit the site on a regular basis and allows workers to choose freely.



3. Health and Safety

The company or site **should** conduct a risk analysis and take **preventive measures to reduce them**, including the use of personal protective equipment where required, regular training of personnel on hazards and how to act before them for current personnel such as new entries, provide workers with clean, safe, sanitary facilities with access to safe drinking water and regular fire drills.

The company must have a **representative of the management in charge of the health and safety affairs of the workers** with the appropriate knowledge: experience and / or training, in addition to the authority necessary for decision-making in this area. Workers should know the representative and have channels to deal with health and safety issues with the representative.

Risk assessment or inspection should include at least:

- Work environment.
- Machinery, chemicals, and other hazards.
- Workers in hazardous functions.
- Vulnerable workers (disabilities, young people, pregnant women, among others.)
- Personal protective equipment.
- Facilities and resources for workers.
- Fire hazards, emergency exits, and evacuation routes.
- Accidents and injuries.
- In addition, access to restricted areas.

The auditor will request records of accidents, injuries or illnesses, certifications or training on first aid, machinery management, and safety: evidence of local or government inspections of fires, hazardous substances or gas emissions, among others. During the visit, the auditor will observe if there are fire evacuation plans, noise levels, if there is compromise of the structure or installation, that the fire control equipment is sufficient and maintained regularly, that workers have free access to the bathrooms and these are clean and hygienic, among other safety issues.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.



Documents or templates:

1. 3.1 Health Policy and Security.

2. Health and Safety Representative(s).

- The "Human Rights" criterion mentions the "Social Responsibility Committee" template. In the event that the auditor asks you about your manager, this template mentions the appointment and responsibilities. Remember that the 25 person responsible for each area must have the appropriate experience, training, knowledge, or preparation to perform that role. Minutes of meetings of the Social Responsibility Committee and evidence of follow-up of actions taken should be available.

3. 3.2 Health, safety, and worker welfare procedure.

- Blood policy and control of needles and blades.
- Fire safety plan.

4. 3.7 Working environment-monitoring procedure (noise, dust, and lighting).

The company must ensure that noise, ventilation, dust, light, temperature levels comply with local laws and are suitable for worker safety.



5. 3.5 Training Calendar.

- **3.5.1 Registration of trainings.**Format to complete when training is performed. These records should be filed together with evidence of training.
- Training on topics such as:
 - i. First Aid.
 - ii. Heavy machinery handling.
 - iii. Handling PPE (Personal Protective Equipment).
 - iv. Chemical removal.
 - v. Proper cleaning of equipment (standard SSOP sanitation operating procedures).
 - vi. Company policies (induction).

6. 3.3 Risk Assessment.

This tool will allow identifying the specific risks of the social practices of the installation. Those that pose a risk should be eliminated or take action plans to reduce or remedy them.

7. 3.6 Incident/Accident Report.

A record of incidents or accidents at work with the objective of identifying the causes and then implement corrective actions to reduce or eliminate them.

It is suggested to keep a day count without accidents, visible and with specific goals that everyone knows. The main objective is to motivate workers to comply with standards, use protective equipment, and maintain appropriate procedures.

8. Health and safety documents (records):

- Inspections carried out by civil protection (government).
 - i. Fire inspection.
 - ii. Structural security.
- Accident log figures for the last twelve months.
- Permissions and approval of the construction of the corresponding instances. o Inspection and maintenance of machinery.
- Evidence of fire drills in all shifts.
- Hazardous waste disposal inspections.
- Maintenance of the supply of first aid materials.
- Analysis of drinking water.
- Pest control records.
- Registration of the distribution of PPE.
- Hazardous chemicals data sheets used.
- Training records in the individual records of the worker.
- Records of actions for breaches of health and safety standards.
- Environmental monitoring records.
- Maintenance of fire control equipment and if sufficient.



9. Physical observations to be sought by the auditor:

- Clean, sufficient bathrooms, free access and separated by gender.
- Machines are operated with the correct safety protections.
- Electrical installations have plugs, wiring, and suitable conditions.
- In the event that the company handles chemicals in its process, it must have a hazardous chemical warehouse, the auditor shall check whether they are labelled and with appropriate signage.
- Fire alarms and notifications should be sufficient to alert all workers and be connected to an alternative power source.
- Suitable medical facilities, depending on the size of the company and the number of workers
 - i. You have a doctor or nurse at the company or trained first aid personnel.
- Evacuation routes and meeting areas marked, delimited, and sufficient. Those workers know their use and use them properly.
- If applicable, clean facilities to store workers' food.
- If there is a shuttle service, it must be suitable, safe, and operated by competent personnel.
- If childcare is available, it is legal and complies with the required law.
- If there are bedrooms provided by the company, they comply with emergency exits, fire equipment, and structural safety certificates.

10. 3.4 Emergency phones.

- This document should be on the company's whiteboard or information board where all workers can view it and make use of these phones when needed.

11. 3.8 Installation map. In order to display safety elements in the facilities for the knowledge of all workers.

12. 3.9 Flow diagram. At the beginning of the audit, the auditor will request a flowchart of the process to be able to carry out the tour and based on the activities set out there make the evaluation.

- If you have your flowchart, you can attach it in the manual.

13. 9.2 Disciplinary rules and actions procedure, you will find it in the criterion "Inhumane or severe treatment is not allowed".

- The audit assesses whether there are penalties for non-compliance with health and safety standards.



The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- Training in topics of well-being, nutrition, stress management, among others, with a holistic approach to occupational health.
- Trainings are workshops where workers can participate or demonstrate the knowledge acquired.
- The company offers different brands, shapes, and sizes of the same PPE. This ensures they are comfortable and easy to use for workers.
- The trainings of the most responsible personnel in terms of health and safety responsibility receive incentives to take such trainings and bonuses for the fulfillment of their activities in the company.





4. Child Labour and Young Workers

This section will review that the company has written control policies and procedures in place to avoid or prevent the recruitment of child labour. In those countries where the law allows the recruitment of young people, it will be reviewed that the functions, day, rest hours, among others, are within the framework of local legality. Children and young people cannot work in night shifts, hazardous work (dangerous chemicals or heavy machinery).

In the case of young workers, they can work if they comply with local law, parental or guardian consent, registration with authority, contract indicating the limitations of their work, and have records of medical examinations as required by law (in the case of Mexico, see federal labour law).

There should be no new recruitment of children and if there is, a remediation procedure for child labour must be available such as: a record or letter indicating that the child no longer works in the company; a method to keep the child safe and protected without obligation to work; the possible reassignment of work to an older family member or education programs for the child.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.





Documents or templates:

1. 4.1 Child Labour Policy.
2. 4.2 Child Labour Remediation Procedure.

The auditor will review:

- Que la política de trabajo infantil este publicada en un lugar visible y todos los
- That child labour policy is published in a visible place and all workers know it.
- That in recruitment processes, precautions be taken to avoid hiring child labour.
- The records of each worker in which there must be a document proving the age of the worker.
- Records to check for layoffs during the last 12 months of young workers prior to the audit and whether the site performed any remediation.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- The company provides scholarships to low-income children or families in the community so that children can study.
- The company offers a recognized or affiliated apprenticeship or internship program to a reliable organization.
- The site is part of an association where the elimination of child labour is sought.





5. Wages and Benefits

All workers must receive a living wage and sufficient to meet basic needs plus a discretionary income, details about their wages, pay periods and workers must know conditions of employment before starting the employment relationship. Deductions of pay are not allowed as disciplinary measures or any other that is not provided for by law and a record of disciplinary measures that apply to workers must be kept track. The wage deductions must have written evidence where the worker is aware of them.

The company will need to conduct a regular review to verify that its workers' salaries are fair and meet the needs of its workers.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

1. 5.1 Compensation and Benefits Policy.
2. 5.2 Deductions and Withholdings Policy.
3. Wage Evaluation Procedure.
 - a. This procedure is within the template of "0B.1 Internal Audit Procedure" of the Management Systems criteria, it must be carried out on a quarterly basis.
4. 6.1 Overtime procedure.
 - a. This procedure is found in the "Working Hours" criterion.
5. 1.2 Recruitment, resignation, and settlement procedure
 - a. It is developed and explained in the criterion of "Free Choice Employment"
6. 8.0 Employment procedure through agencies
 - a. This template is located in "Regular Employment" and for purposes of the Wages and Benefits criteria; the company that hires an employment agency must make agreements indicating individual responsibilities.
 - b. The main company that hires the agency must be aware of the agreements between workers and agencies.
7. Auxiliary formats in case you do not already have them:
 - a. 5.3 Bonus Formats.
 - b. 5.4 Pay receipt list per day.
 - c. 5.5 Payment receipt list per week.



These last two payment receipt formats include the legend: "BY SIGNING THIS DOCUMENT, I AGREE TO HAVE RECEIVED THE FULL PAYMENT OF MY WORK DONE DURING THE WEEK AND THAT THE COMPANY HAS NO DEBT WITH ME". This legend represents the conformity of the worker who received your payment.



The auditor will review:

- That the wages received correspond to the hours worked recorded.
- If benefits such as Social Security are delivered.
- That workers have contracts specifying terms and conditions of the position, duration of the contract and that it is in force, its functions, normal hours and days of work, salary, method of payment, and disciplinary measures.
- That the contract contains a legend or some record where the worker signs that he/she received a copy of it.
- If the payroll receipt specifies the following deductions if they apply: accommodation, trade union, food or common fees. In addition, if they are paid on time to the agency involved (e.g., government, union).
- Let all workers know how their wages are calculated.
- The percentage of the workforce affected with a wage less than the minimum.
- A minimum of 3 payment periods, for example: last or current period, high season, and random low season.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- The site offers additional benefits more than required by law such as free breakfasts or meals, sports facilities, transportation to the place, among others.
- Wages are based on the basic needs or living costs based on some assessment from a reliable and credible source.
- The salary is well above the minimum.
- The company issues guaranteed annual bonuses to its workers.
- The company helps its workers open bank accounts instead of cash management.
- Training is provided on the proper management of personal finances.



6. Hours of Work

Hours of work must comply with applicable national law or agreements that provide greater protection to the worker, must be embodied in the contract and must not exceed 48 hours per week (not including overtime, this is counted separately). Rest days will be 1 day for every 7 days worked or 2 days for 14-day periods as required by local law.

Overtime will be voluntary and used in a responsible manner, i.e., justified taking into account the scope, frequency, and hours worked by the workforce as a whole. Overtime will not be used to replace regular work. Payment must be equal to or greater than 125% of the regular salary.

The number of total hours per week should not exceed a total of 60 hours, with the exception of if it meets all of the following conditions: national law allows it; if a collective agreement is reached with workers and most of them agree; if appropriate measures are taken to protect the health and safety of workers or if the employer demonstrates exceptional circumstances (emergencies, accidents, peak production, etc.)

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

1. 6.1 Overtime Procedure.

- This template specifies how to determine whether overtime is required.

2. 6.1.1 Overtime Authorization Format.

- This format helps the company to justify overtime and keep track separately from regular hour lists.

3. Special terms and conditions for young workers, pregnant women and nursing mothers can be found at:

- 7.2 Procedure for handling vulnerable employees in the "Discrimination" criterion. o
- 4.2 Procedure for the remediation of child labour in the criterion of "Child labour".

4. 6.2 Holiday and Permit Application Procedure.

- 6.2.2 Permission Application Format.
- 6.2.3 Holiday Application Format.

The auditor will review:

- That the working day is determined as the law dictates.
- The contract specifies normal working hours and days, mandatory rest days, official holidays, and the right to permits.
- If the contract mentions deductions for lack of punctuality, to make the sanctions mentioned.



- If there is a method of recording normal hours worked: you can display your attendance list, checker logs, control cards, electronic scanning, or any other method you use to record hours worked. The auditor may want to check them to see if there are inconsistencies or forgery of records, double books, etc.
- Records of contracted or normal worked hours must be distinguished from overtime.
- To help all workers understand how their wages are calculated based on their normal hours worked and overtime.
- If the overtime payment is less than 125%, it will be marked as non-conforming in the audit in order to maintain the visibility of this situation in the SEDEX system, even if it is legal in the country, the company may contact the buyer or customer and agree on an acceptable corrective action.
- If there is evidence that overtime is to compensate for lack of labor. This is an incorrect practice and the auditor will decide how to deal with this matter. In case you are not able to hire more workers, the auditor will check if you are looking for options for overtime to be minimized.
- Records of 12 months of hours and salaries, or a 12-month cycle for temporary work.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- If the site allows workers to volunteer for overtime, it is a good practice.
- The rate or value paid for overtime exceeds the local or national average.
- The company manages or administers the production flow in such a way that overtime is not common or when workers are needed, they are notified well in advance (3 business days or more).
- Flexibility on rest days for workers.





7. Discrimination

The site should have policies that prevent discrimination in its own processes and activities such as hiring, compensation, promotions, quitting, retirement on the basis of race, caste, nationality, religion, age, disability, gender, marital status, sexual orientation, type of contract (temporary, fixed, migrant), membership in trade unions or political groups.

Procedures must be in place for workers to report nonconformities or cases of discrimination that can be through a suggestion or complaint mailbox or anonymous line. These systems should ensure the protection of the identity and data of the informant and take measures to prevent retaliation against him/her.

The auditor will review whether there is discrimination in the following processes: recruitment, professional development systems, termination practices, worker payments, worker claims or complaints, and worker composition. To determine this, you will review documentation, interviews with workers, and policies/procedures such as:

- Communications that are appropriate at the level of literacy and language.
- Recruitment and contract procedures and practices.
- Payment, payroll, or remuneration records.
- Access to training or education.
- Promotions, benefits, and pay raises.
- Termination of employment relationship by resignation, dismissal, retirement, or pension.



The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

- 1. 7.1 Non-discrimination policy.**
- 2. 7.2 Procedure for handling vulnerable employees.**
- 3. 1.2 Recruitment, waiver, and settlement procedure in the criterion of "Free Choice Employment".**
- 4. 9.2 Procedure of disciplinary rules and actions in the criterion of "Inhumane or severe treatment is not allowed".**
 - a. In this procedure, disciplinary actions can be determined for any area, in this case for those who perform acts of hatred, harassment, discrimination, etc.
- 5. 1.1 Free-choice employment policy in the "Free choice employment" criterion.**
 - a. It shows that workers without discrimination have access to equal benefits and a level playing field in their employment.
- 6. 0A.3 Employee complaint management procedure in the "Human Rights" criterion.**
 - a. The same channel, determined in the complaint management procedure, manages all complaints about any type of discrimination, of any nature in all the procedures and activities of the company.
- 7. 7.3 Worker List Format.**
 - a. If you have any other list of workers you can include it, make sure you have the list data we propose in the template, as it will require this information for filling out the SAQ or the auditor may request it to determine the composition of the workforce.

The auditor will review:

- That the policies established in the company are actually complied with.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- Staff of all levels are made up of approximately 50% men and 50% women.
- The company encourages and delivers integration events that bring unity to its workers.
- The disabled are hired and adjustments are made for their accessibility.



8. Regular Employment

The site must demonstrate a recognized working relationship that complies with local law. Obligations to provide regular work and social security through outsourcing, home office, temporary contracts or any other form depriving the worker of benefits from regular and secure work shall not be avoided.

The auditor will look for evidence of outsourcing, temporary contracts frequency, duration of contracts, and name of employers in workers' contracts.

The company's procurement behaviors will be compared with high or low production periods. For low production periods, regular redundancies, payment policies during these periods and overtime pay policies in high seasons will be examined. It is acceptable that redundancies exist during periods of low production as long as they are justified by documentary evidence.

Recruitment processes must be free of charge. It will be verified that in recruitment processes there are no payments by means of which one obtains work, that they sign blank sheets or evidence that the contract was replaced or changed without the knowledge of the worker.

Contracts must have all of the following points:

- Each worker has a contract duly signed by himself and the employer; and has a copy of it.
- The contract details the terms of the employment relationship, rights and obligations, and procedures for notices or claims.
- It must be in the language used by the worker.
- Contracts comply with local legal requirements.
- They must be archived in a safe place.
- If there are interns, the applicable legal terms are established in the contract.
- If the probationary periods are very long.
- Abuse of the use of temporary contracts rather than indefinite contracts.
- Evidence of payments for: vacation, medical licenses, payments, benefits, among others will be reviewed.

The same points will apply if contractors, employment agency, etc., are contracted for external labor. Moreover, the documentation will be reviewed directly from either the company or the external service on the day of the audit, so you should be prepared to have it available for inspection. The site must have access to policies, procedures, and other documentation regarding employees such as contracts, service level agreements, payments, benefits, etc., as well as a management system to monitor all practices that agencies perform with employees and that they comply with current labor laws.

If you do not have access to this information, the auditor will raise a non-compliance of the site under "management systems to monitor agencies".



When the auditor comes to review this point, he will have already covered much of the requirements of other criteria, that is, he will have already reviewed contracts, payroll records, and therefore has already had the opportunity to find evidence of whether there are practices showing that the site meets its obligations to its workers or tries to avoid them. The documents, records, or procedures in this section are intended to cover those aspects that are not covered or not requested in other criteria and which the auditor will necessarily review exclusively in this criterion.





The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure that they meet the minimum requirements that the criterion requires.

Documents or templates:

1. 8.0 Employment procedure through agencies.

- a. This procedure shows the "Low Period Payment Policy".
- b. It shows how the main company ensures that agencies comply with legal requirements.

2. 1.2 Recruitment, waiver, and settlement procedure is found in the criterion of "Free choice employment".

- a. In this procedure, you may find that the procedure applies to all workers including migrants and apprentices.

The auditor will review:

- That procurement through labour-supplier agencies comply with the provisions of the law.
- If the company is aware of the entire recruitment process of external labour agencies or services.
- If external workers have contracts and benefits set by law.
- That there are no extended probationary periods or multiple short probationary contracts in the contracts.
- If apprentices or interns are provided with all legal requirements set by law.
- Holiday payment records are available.
- If contracts are available between the company and the agency(s) or labor suppliers.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- External workers are also represented on the workers' committee,
- Temporary workers are paid more than the legal requirement and offered a payment to retain them when there is no work.
- The site offers plant contracts to temporary or external workers.



8A. Outsourcing and Home office

There should be no outsourcing without prior agreement with the primary customer and systems and processes must be implemented to manage outsourcing, home office, and external processing.

The site must have policies of outsourcing, home office, and external processing. If there is this type of work, the customer must be informed and agree. There is documentary evidence as well as the site must be aware of where they make their products and have systems to monitor suppliers.

The auditor will record the level of information available and the systems available to the site to ensure that workers have good working conditions.

Some of the practices that the site should perform are:

- Disseminate your code of conduct and have evidence of this communication.
- All suppliers are identified by name; it is advisable to make a list.
- If these are intermediaries, list by contractor, subcontractor, or sub-subcontractor.
- Random reviews of units to ensure that basic working conditions are acceptable.

Where it is stated that there is no outsourced work, at home or external processing, the auditor shall ensure this by:

- Review production records against orders to establish whether the site has the ability to produce the ordered quantities.
- Review of production records to verify that the product is manufactured on the site.
- Review quality records to identify signs of external work.
- Physical review using the tour that all production processes are performed on the site.
- Production review in high season months and if there are enough workers on board.
- Review of the entry and egress of goods (raw material, packaging, machinery, finished product, etc.) to establish whether work or part of work is performed off-site.

It will be noted as non-compliance if there is outsourcing without the express permission of the customers involved.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.



Documents or templates:

1. 8a.1 Outsourcing and work from home.

- a. The procedure includes checks on the subcontracted company to monitor workers' working conditions.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- Systems that provide support and guidance to workers from home that go beyond job requirements, such as health or finance training.
- It benefits workers from home according to their level of competence and skills.
- The site shares its best practices and collaborates with its suppliers to achieve the standards of the main site.
- All workers in the subcontracted company have a plant or permanent contract.





9. No Harsh or Inhumane Treatment is Allowed

The ETI code prohibits physical, verbal, mental, sexual, or other intimidation or harassment.

Members of the health and safety committee and areas/persons responsible for carrying out discipline activities or monitoring the complaint management system should have adequate training on topics such as humane treatment, eradication/prevention of violence, prevention and sanction of torture, etc.

Did you know that? In 2017, the General Law to prevent, investigate and punish the torturer and other punishing harassments and degrading and inhumane treatments was issued in Mexico; in addition, currently there is a National Mechanism to Prevent Torture attached to National Commission of Human Rights.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

- 1. 9.1 No Harsh or Inhumane Treatment is Allowed and Non-Retaliatio n Policies**
- 2. 9.2 Disciplinary Rules and Actions Procedures**
 - a. The auxiliary formats to this procedure are employee breach and administrative minutes format. If you have an administrative record, you can continue to make use of it.
 - b. The auditor will request these discipline records.
 - c. Of the wage deductions for disciplinary purposes, the auditor will review whether the law allows it and that the amount does not reduce the wage below the legal minimum.
- 3. 1.2.3 Organizational chart or organizational structure.**
 - a. It must be documented, verify that it draws a clear line of responsibility/authority.
- 4. 0A.3 Employee complaint management procedure is found in the "Human Rights" criterion.**
 - a. Workers know the system; they know it is anonymous, confidential, and retaliatory-free.



5. Training workers to prevent abuse, harassment or intimidation

- a. This training is included in the "3.5 Training Schedule" in the Health and Safety criterion.
- b. Employees should also be aware of policies and procedures; this is done at the time of entry into induction training.



The following documents are optional in nature and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- The site may display examples of good practices regarding this criterion such as rewarding or benefiting staff who are respectful of their peers.



10. Right to Work

This criterion is the legal right of employees to work or be used by a provider or employment agency. It refers to foreign workers, those who are not citizens or residents of the country where the facility is physically located. The auditor will review the arrangements they made with the worker to travel from their place of origin, their employees' work permits to work in the country, and identification documents, in addition to whether the site knows immigration laws to employ immigrants, foreigners, or exchange students.





10B2. Environment 2-Pillar

The auditor will not carry out a full assessment of this area, but a review of the basic management systems. That is, site providers comply with local environmental law and are aware of the standards and codes of their end customers.

The following documents are mandatory to comply with this criterion. You can make use of the following templates by taking into account that you need to customize them with the name and practices that are carried out in your company. If you have any of the documents listed, make sure they meet the minimum requirements that the criterion requires.

Documents or templates:

1. 10B2.1 Environmental policy.
2. 10B2.2 Waste Management Procedure.
 - Includes the waste disposal format template (10B2.2.1).
3. In charge of environmental issues, it was appointed to the social responsibility committee in the "Human Rights "criterion.
4. 10B2.3 Inventory of chemicals.
 - List all chemicals used on the site in the template. Alternatively, use the listing you usually use.
 - Gather and maintain a file of the technical sheets of the chemicals listed.
5. Environmental documents (registrations). All these documents can be appended to the end of the "master manual":
 - Requirements of your customer(s) in environmental matters
 - Certification(s) related to customer requirements
 - Government inspections: give details of legal actions, claims, or recommendations that have been made to the company.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- The site has an internal competition program to dispose of waste between areas.
- The company has an annual water use reduction program.
- New employees take an environmental management course.



10B2. Environment 4-Pillar

Full environmental assessment is only performed when a 4-pillar audit is requested. Investigate whether your client requires this type of audit before requesting it, as it has an additional cost.

The following documents are mandatory to comply with this criterion. These templates are not provided in the manual, as this requirement is additional.

List of documents, records, procedures, and policies

Compliance criteria cover the following:

1. Have an environmental policy clearly communicated to relevant suppliers and parties.
2. Designate personnel responsible for coordinating the environmental area.
 - Training relevant personnel on: actions to be taken when the law is broken, knowledge of the policies and procedures of the site, minimize waste of resources (turn off lights or machines, etc.)
3. Comply with national laws or environmental standards
 - Have a copy in reference documents of the "master manual" or in digital.
4. Have the current permits of: operation, use and disposal of waste, water use, land use, etc.
5. Include records of demands, recommendations and inspections of local agencies and follow-up actions.
6. Know the environmental standards and policies of the end customer and have a system to monitor that these requirements are met.
7. Complete the section in the SAQ corresponding to the audit of 4-pillars, and make it available to the auditor.
8. The company's suppliers should be aware of its environmental impact.
9. Continuously and continuously measure its environmental impact, record and review its consumption of water, electricity, fuels or energy, etc. in order to improve its behavior.
 - The auditor will review the regularity of the records, and if there is an "environmental impact reduction" program.
 - Employees should know about the program and, how they contribute with it according to their roles.



10. Submit environmental certifications or documentation of environmental management systems.

- For example, ISO 14001, the auditor will record reference numbers, due date, or renewal.
- On the other hand, environmental certificates such as the forest conservation council, marine conservation council, etc.

11. Records of the legal appropriation of the land.

- It will be reviewed if there are lawsuits, open disputes, fines, or claims for land rights.

12. Policies and procedures to avoid damage to high-carbon forests or high conservation values (HCVs, natural habitats with biological, ecological, social, or cultural values of exceptional importance).

13. Policies and procedures on nature conservation and deforestation.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- The company demonstrates that it has researched new ways of working to reduce the amount of chemicals in its processes.
- The company has changed production techniques to prevent the use of polluting chemicals.
- The company has received awards from external organizations due to its management of chemicals, water, or energy.
- Annual water or electric light consumption has been significantly reduced.
- The company is concerned with sharing its best practices by reducing the environmental impact on the supply chain.
- Investment in green technologies is demonstrated.
- The company supports the environment in the community by financing regeneration of green areas.





10C. Business Ethics

This criterion is evaluated more broadly when the audit is 4-pillar mode. However, the auditor will review certain points in short form in the 2-pillar audit.

The following documents are mandatory to comply with this criterion. These templates are not provided, as this requirement is additional.

List of documents, records, procedures and policies

Included in templates:

1. 10C.1 Business Ethics Policy on bribery and corruption.
 - a. It must be communicated to the supply chain (suppliers and customers).
2. 10C.2 Code of Conduct.

Not included in templates, as they are part of the 4-pillar audit:

3. Person responsible for implementing "Business Ethics" standards.
 - a. You should be aware of local and national standards on business ethics.
4. Records of fines or claims for non-compliance with the Business Ethics standards and action plans that are being implemented.
5. Legal licenses and permissions for business operations.
6. It is checked if the company knows the ethical standards of its customers.
7. Training staff on Business Ethics matters
8. Procedures or discipline system for unethical employee practices.
 - a. It is checked if workers are aware of the measures.

The following documents are optional and demonstrate that the company complies beyond what is required in the audit.

Good Examples and Good Practices

- The person responsible of Business Ethics Policy trains providers.
- The company retains an open attitude towards the auditor and can explain how they have dealt with previous issues.
- On-site training includes all employees.



11. Benefits to the Community

In this section, the auditor will look for the benefits that the site provides to its staff and the community in general: sports or health centers, hospitals, schools, markets, shops, cancer programs, environmental protection, among others.



Section 5

Templates



We are including only the first page of templates for educational purposes, for a complete consultation and free download in editable format please visit:

www.mangofoodsafety.org/SMETA.

0A. Human Rights

LOGO	Company Name Address Complaint Form	Revision	
		Approval	
		code	

Instructions: Fill out the entire form with the required information.
 Frequency: Every time that you have a complaint related to human rights or any kind.

COMPLAINT

Describe in detail below: **Current date:** _____

FOR THE EXCLUSIVE USE OF HUMAN RESOURCE MANAGER

All the information provided will be kept confidential, without retaliation of any kind to the issuer.

Indicate the reception mechanism (mailbox, personal interview, etc.): _____ Open date: _____ Deadline: _____

LOGO	Business Name Address Complaint Form	Revision	
		Approval	
		Code	

Instructions: Fill out the entire form with the required information.
 Frequency: Every time that you have a complaint related to human rights or any kind.

COMPLAINT

Describe in detail below: **Current date:** _____

FOR THE EXCLUSIVE USE OF MANAGEMENT

All the information provided will be kept confidential, without retaliation of any kind to the issuer.

Indicate the reception mechanism (mailbox, personal interview, etc.): _____ Opening date: _____ Deadline: _____



0A. Human Rights

LOGO	Company Name	Revision	
	Address	Approval	
	Complaint management	Code	

Instructions: Register in the event of a complaint by any worker (attach documentation by which the complaint was received).

Frequency: When a complaint / comment occurs.

GENERAL DATA	
DATE AND TIME OF COMPLAINT	
RECEPTION MECHANISM	Mailbox, interview, visual, other (specify)
MANAGEMENT OPENING DATE	
MANAGEMENT CLOSURE DATE	
CONCLUSIONS AND RECOMMENDATIONS (DETERMINATION OF THE CAUSE)	

ACTION PLAN (CORRECTIVE ACTIONS)				
Activity	Person in charge	Deadline	Date of completion	Comments

Feedback/ Answer	

Name of who carried out the management and monitoring	Signature
--	------------------

Name of the Management Representative	Signature
--	------------------

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0A. Human Rights

LOGO	Company name	Revision	
	Address	Approval	
	Human Rights Working Agreement	Code	

HUMAN RIGHTS WORKING AGREEMENT

COMPANY NAME supports, respects, and contributes to the protection of internationally recognized fundamental human rights, ensuring that it is not complicit in any form of abuse or violation of them, including employees, suppliers, contractors, collaborators, partners, competitors, and society at large.

COMPANY NAME is committed to respecting the human rights and public freedoms recognized in the United Nations Universal Declaration of Human Rights.

COMPANY NAME is committed to supporting and defending the compliance and protection of human rights, as well as to promoting the adoption of these principles and values in those companies in which it participates, even without having control, as well as among its suppliers, contractors, and collaborators.

Therefore, through this working agreement for human rights, the company **NAME OF THE COMPANY** and the collaborating company, supplier, or contractor in complying with those principles that the company NAME OF THE COMPANY has expressly stated in its social responsibility policy that both will perform due diligence with the aim of not violating and respecting the rights of third parties and mitigating the negative consequences of such activities, in addition to having the systems and procedures of detection, reporting, filing of claims, protection, and suppression of actions or behaviors contrary to basic social rights and established ethical principles.

COMPANY NAME

COLLABORATING COMPANY



0A. Human Rights

LOGO	Company Name	Revision		
		Approval		
	Address	Code		
			Meetings	

Instructions: Record team meetings and topics discussed to keep track of progress. It can include other relevant company topics.

Frequency: Every time a meeting is held. Meetings should be at least quarterly frequency relevant to the company.

DATE (MM/DD/YY)	
MEETING TOPICS	

NAME	POSITION /ACTIVITY	SIGNATURE

CONCLUSIONS AND COMMITMENTS



0A. Human Rights

LOGO	Company name	Revision	
	Address	Approval	
	Data Protection and Privacy Procedure	Code	

Objective

Inform employees who have provided their personal data to the company about the policy of processing personal information and allow the holders of such data to exercise their Habeas Data right, establishing the necessary procedure that they must follow if they wish to know, update, and rectify the data found in the Company's databases.

Introduction

It is a fundamental right of the individual, through which the individual can exercise a set of controls on his personal data when they are in the possession of other instances (public and private). This right allows the data subject to know and control what of his personal data have been collected, for what purpose or reason, what will be the specific use that will be given to them, what will be the validity of their use, and who is responsible for their processing (collection, integration, safeguarding).

Definition:

Personal data. - This is all information that relates to our person and that identifies us or makes us identifiable. They give us identity, describe us, and require: Age, address, telephone number, personal email, academic, labor, or professional trajectory, heritage, social security number, CURP, among others.

Sensitive personal data. - **Data such as racial or ethnic origin, present and future state of health, genetic information, religious, philosophical and moral beliefs, trade union membership, political opinions, sexual preference;** affecting the most intimate sphere of the person are considered sensitive.

Habeas Data. - is the right of all people to know, update, and rectify the information that has been collected about them in data banks and in files of public and private entities.

Holder: The natural person to whom the personal data correspond.

Data Controller or Processor: Natural or legal person, public or private, who by itself or in association with others, decides on the basis of data and/or the processing of the data. In this case, the Company.

Processing: Any operation or set of operations on personal data, such as collection, storage, use, circulation, or deletion.

Responsibility

Responsible for Human Resources. - You will be responsible for the processing of the Personal Data of the workers of the protection of the information in any medium either in databases and / or files.

It also applies to all involved who have access to sensitive information or information that the company defines as confidential.

Procedure

The Human Resources department collects Personal Data through the documents required for the hiring of employees.

1. The Personal Data collected by the Company are stored in the personal records of each employee and / or electronic files or databases.



0A. Human Rights

LOGO	Company name	Review	
	Address	Approval	
	Notice Data Protection and Privacy	Code	

NOTICE OF DATA PROTECTION AND PRIVACY FOR EMPLOYED

COMPANY NAME, domiciled in (pointing to the address) in accordance with the provisions of the Federal Law on the Protection of Personal Data held by individuals makes this Privacy **Notice known to its employees**

1.- On the processing of your personal employee data:

We collect your personal data and sensitive personal data for the purposes mentioned in this Privacy Notice. In this sense, we make it known that your personal data will be processed and safeguarded based on the principles of lawfulness, quality, consent, information, purpose, loyalty, proportionality, and responsibility, enshrined in the Federal Law on the Protection of Personal Data in Possession of Individuals.

2.- Purpose in the processing of your personal data:

We collect your personal data and sensitive personal data so we ask for your consent through this Privacy Notice in order to use it for the following purposes:

- a) To consider your job application.
- b) Labor management (payroll, social security, occupational risk prevention, human resources in general).
- c) Tax management (application of withholdings, bonuses, etc.).
- d) Administrative management (permits, holidays, disabilities, etc.).
- e) Management of training programs.
- f) Management with service providers (internet services, logistics, managers and tax and accounting advice, etc.).
- g) To identify you as an employee of **COMPANY NAME**.

3.- Means to limit the use or disclosure of your personal data:

We make it known that your personal data and sensitive personal data will be protected under strict administrative, technical and physical security measures which have been implemented in order to protect your personal data against damage, loss, alteration, destruction or unauthorized use, access or processing.

The data of third parties that you have provided (spouse, children, parents, etc.) will not be transferred or communicated to third parties except by legal obligation, the company being solely responsible for its treatment and custody.

4.- Means for the exercise of your rights as the owner of personal data:

As the owner of the personal data subject to this Privacy Notice you may exercise your rights of access, rectification, cancellation, or opposition (ARCO Rights), which are enshrined in the Federal Law on the Protection of Personal Data in Possession of Individuals. Thus, you can revoke the consent granted for the use of your personal data by means of a written document, provided that it is not prevented by a legal or contractual provision.

5.- Transfer of personal data:

COMPANY NAME

Page 1 2



0A. Human Rights

LOGO	Company name	Revision	
	Address	Approval	
	Human Rights Policy	Code	

COMPANY NAME supports, respects and contributes to the protection of internationally recognized fundamental human rights, ensuring that it is not complicit in any form of abuse or violation of them, including employees, suppliers, contractors, collaborators, partners, competitors, and society at large.

COMPANY NAME is committed to respecting the human rights and public freedoms recognized in the United Nations Universal Declaration of Human Rights.

COMPANY NAME rejects any manifestation of physical, psychological, or moral harassment, or abuse of authority, or any other conduct that intimidates or offends the rights of individuals. It also promotes respect for human rights among those societies and communities in which it operates and promotes worthy and respectful treatment of all people internally and externally.

Name
General Manager
Date: MM/DD/YYYY

COMPANY NAME

Page 1 of 1



0A. Human Rights

LOGO	Company name	Revision	
	Address	Approval	
	Social Responsibility Committee	Code	

Attach staff data that are part of the company's social responsibility committee (request from the Advisor), include those responsible for Human Rights, Health and Safety of the worker and environment:

GENERAL MANAGER

- Number:
- Cell phone:
- Alternate:

ASSIGNMENTS

AREA	REPRESENTATIVE
Human Rights	
Health and Safety	
Environmental Issues	

Frequency

Meetings of the Social Responsibility Committee should be held at least every start of the season and with three months of follow-up. Attendees and topics covered shall be indicated in the register.



0A. Human Rights

LOGO	Company name	Revision	
	Address	Approval	
	Complaint Management Procedure	Code	

Objective

Establish a transparent system for the handling and care of human rights complaints, discrimination claims, nonconformities, among others. The procedure explains the steps to continue ensuring confidentiality in the process and no retaliation for the informant.

Introduction

Complaints, when properly handled, are an important component for continuous improvement, and in the case of those related to human rights, inhuman or severe treatment, or discrimination allow to resolve situations that are an obstacle to compliance with policies of protection of human rights and social responsibility towards workers of the company and to an adequate working environment.

Responsibility

- The head of the human rights area in conjunction with a workers' representative: must identify, document, and follow up on the complaint, as well as the effectiveness of the corrective action implemented.
- Address: They must manage the human, time, and financial resources necessary for effective management of the complaint. As well as effectively delegate the tasks set out in this procedure.

Procedure

1. Management will ensure that complaint mailboxes are placed in strategic locations, and will ensure that forms and pens are available next to them so that employees can expose their nonconformities anonymously.
2. Employees will be made aware through information campaigns of the mechanisms to file complaints anonymously and how they will be served in the company.
3. Complaint mailboxes will be kept locked and only the human rights manager will have access to them.
4. The person responsible for the human rights area and a representative of the workers (may be a commissioner chosen by themselves) will manage or carry out all necessary arrangements, negotiations or actions with the persons indicated and taking into account the nature of the complaint in order to resolve it. The date and end of the complaint must be recorded.
5. The head of the human rights area and the commissioner representative of the workers shall submit the conclusions of their investigation to the Directorate, together with their recommendation on proceeding to resolve it.

Frequency

Be sure to record, track, and close each complaint that is filed.

RELATED DOCUMENTS

- Human Rights Policy
- Complaint management format
- Complaint format



0B. Management System

LOGO	Company name	Revision	
	Address	Approval	
	Internal Audit Procedure	Code	

Objective

Establish the guidelines to be followed to carry out internal audits of social responsibility, define the frequency of their execution, and the persons authorized to carry them out. Ensure the implementation of social responsibility policies and procedures and review that human capital providers, if available, also have similar systems in operation.

Introduction

The implementation of social responsibility systems requires the support of a documentary system with the proper infrastructure and uniformity of information, so that they are a useful reference when establishing the correct policies and indicate the correct procedures, as well as facilitate their consultation.

Responsibility

- The Social Responsibility Advisor is responsible for the development and modifications of this document.
- The Social Responsibility Committee is directly responsible for appointing an internal or external auditor according to the needs of the company to carry out internal audits, to save the results, and to follow up on corrective actions.
- The Social Responsibility Committee shall appoint a responsible person among its members to complete the self-assessment of the SEDEX platform.

Procedure

1. Internal audits

Internal audits shall be carried out under the following inspection order:

1. Appointment and registration of the auditor. Deliver to auditor:
 - a. The SEDEX document – Ethical Trade Audit of SEDEX Members (SMETA) – Measurement Criteria- v 6.1 and the social responsibility policies implemented by the company should be used.
2. Opening meeting (presentation and interview).
3. Documentary inspection (policies, manuals, procedures, registrations, logs, contracts, nominations, trainings, internal labour regulations, among others) will be carried out in the areas corresponding to human resources, legal, administrative and/or any other related to:
 - a. Human rights, management systems, free-choice employment, association law, health and safety, child labour, wages and benefits, hours of work, discrimination, regular employment, inhuman or severe treatment, and the environment.
4. Inspection of internal and external infrastructure of the facilities.
5. Trap inspection.
6. Inspection of sanitary facilities, food consumption area, personal items area, general warehouse and cleaning products and tools warehouse.
7. Inspection of chemical/agrochemical warehouses, receiving, cleaning, packaging, and process areas.
8. Documentary inspection and product identification (technical data sheets and safety sheets).
9. At the end of the inspection, the auditor meets with the Social Responsibility Committee to discuss the findings found which are documented in the audit report.
10. Closing meeting (comments and conclusions).

COMPANY NAME

Page 1 of 3



0B. Management System

LOGO	Company name	Review	
	Address	Approval	
	Charter Commitment to Social Responsibility	Code	

LETTER COMMITMENT OF SOCIAL RESPONSIBILITY

In (**Company Name**), we are committed to our customers, seeking to meet their needs meeting their requirements and policies, working to grow our business with ethical practices and full transparency, carrying out our activities fulfilling the necessary supplies and trainings in a timely manner so as not to put our employees at risk.

This, always protecting the human rights of all with which we have a relationship, including our employees and their families, positively impacting the economic, social and environmental aspects, in order to achieve the sustainability of the company.

Develop emergency plans to anticipate and mitigate accidental damage to the environment, safety or health.

We respect the freedoms of our employees, including association and do not discriminate against anyone, regardless of sex, religion, sexual preferences, race, socioeconomic or national status.

We also seek to promote a food safety culture to protect the health of consumers of our product.

The company will keep the lines of communication open to listen to your requests, complaints and concerns with your employees, customers and suppliers.

Name and Signature of General Manager

COMPANY NAME

Page 1 1



0B. Management System

LOGO	Company name	Revision	
	Address	Approval	
	Due Diligence Procedure for Land Acquisition	Code	

OBJECTIVE

Establish appropriate procedures and legal land acquisition, know and respect land rights based on informed and free prior consent (FPIC).

INTRODUCTION

Have the necessary research process before contracting or carrying out any kind of commitment or financial investment of importance, to assess the risks of the land being acquired.

POLICY OF THE ILLEGAL POSITION OF THE LAND

At the COMPANY NAME we totally disagree with the illegal acquisition of a piece of property, so all the facilities of the company are with the legal procedures and the free, prior, and informed consent.

RESPONSIBILITY

Those responsible will be responsible for verifying that the land that is acquired meets the needs for the company and that it has all the legal requirements.

PROCEDURE

- 1. Initial Information.** - Perform an analysis and study of the terrain, check the location and know the classification and use of the terrain.
- 2. Consultation of legal information.** - Verify that the land has deeds in the Public Registry of the Property. If the land is a collective land, consult in units such as the Agrarian Attorney's Office, check that the owner is in the census of the National Agricultural Register.
- 3. Request for documentation.** - Documentation and/or information must be provided through the most suitable means and media, it can be through a list of documentation, through interviews, either face-to-face or telephone.
- 4. Provision of documentation.** - Once having the documentation, this will lead to its analysis and order the legal review process for decision-making regarding the purchase or lease of the land.

On the other hand, the terms of land rights will be applied and respected on the basis of informed and free prior consent:

Free, prior and informed consent: It is a framework that aims to ensure that the rights of indigenous peoples are guaranteed in any decision that may affect their lands, territories, or livelihoods. It consists of four elements:

- **Consent:** The right of indigenous peoples to give or deny their consent to any decision affecting their lands, territories, resources, and livelihoods.
- **Free:** Free from coercion, intimidation, manipulation, threat, or bribery.



0B. Management System

LOGO	Company Name	Revision	
		Approval	
	Address	Code	
	Internal Audit Nonconformity Report Form		

Instructions: For internal auditor use, record in case of finding evidence of one or more nonconformities.

Frequency: Every time or whenever there is a finding of any non-conformity.

GENERAL DATA		
COMPANY NAME		
SCHEME OR TOPIC TO BE AUDITED		
DATE OF THE INTERNAL AUDIT		
AUDITOR'S NAME		
ACTION PLAN (CORRECTIVE ACTIONS)		
Question Num.	Criteria	Summary of Non-Conformities

Your signature below is the acceptance of the Non-Conformities documented in this form.

Auditee's signature	Auditor's signature



1. Freely Chosen Employment

LOGO	Company name	Revision	
	Address	Approval	
	Free Election Employment Policy	Code	

COMPANY NAME respects that every person has the right to work and the free choice of his work, to a level playing field, and satisfactory working conditions, to protection against unemployment, everyone has the right without discrimination, equal pay for equal work, to equal, equitable, and satisfactory remuneration, social protection, and the right to found trade unions.

COMPANY NAME rejects forced, compulsory, or involuntary labor, for workers to make deposits in cash, in kind, or documents in exchange for obtaining or retaining employment. Workers may leave employment freely with a reasonable period of notice.

Name General Manager
Date: MM/DD/YYYY



1. Freely Chosen Employment

LOGO	Company name	Revision	
	Address	Approval	
	Contracting, Resignation, and Settlement Procedure	Code	

OBJECTIVE

Establish general procedures that are effective, transparent, and allow to obtain the sequence of steps to be taken for recruitment, selection, and contracting staff. Similarly, establish administrative guidelines for cases that conclude industrial relations with the worker.

INTRODUCTION

The implementation of clear policies and practices, with equitable and transparent procedures, is an indispensable tool not only to create reliable and stable mechanisms, but to promote accountability in the effective management and use of worker recruitment and outsourcing, allowing to contribute to the rights and obligations of each of the participants.

RESPONSIBILITIES

- a. Employees and supervisory staff are responsible for faithfully complying with these policies and procedures.
- b. The Human Resources department is responsible for ensuring the correct application of the same.

PROCEDURE

3. Recruitment of staff

The process of selecting and hiring staff, as well as employee promotions, should be oriented to the existence of vacancies or the creation of new places, which are generated by the following reasons: staff upgrades, resignation, abandonment of work, dismissal of personnel, death of the employee, or needs of the company.

Personal Definitions

- Internal employee- Staff contracted directly by the company or site.
- Migrant- Who arrives in a country or region other than his place of origin to settle in it temporarily or definitively.
- Apprentices- A beginner in a given technique.

Definitions of time

- Temporary - Staff hired for a specified period of time
- Plant - Staff hired with an undetermined time

This procedure applies to both plant, **temporary, apprentice, migrant and intern candidates:**

1. The department where the vacant position has been generated communicates and requests through the Human Resources department (check with the site if they use any format for the staff request) to reposition the position.
2. The Human Resources department will start with the publication of the requested vacancy, complying with the company's policies, through the channels that the company uses.
 - a. **Anti-bribery and corruption** policy: **THE COMPANY** does not request any fees or accept deposits of any kind as bribery in any of its activities and industrial relations.



1. Freely Chosen Employment

LOGO	Company Name	Revision	
	Address	Approval	
	Acknowledgement of Receipt of Documentation	Code	

Instructions: Register the process or procedure for which the original documentation was used, register the documents that are delivered to the interested party and sign at the bottom of the acknowledgment.

Frequency: Every time original documents are used and delivered.

Date (MM/DD/YYYY)	
-------------------	--

ACKNOWLEDGEMENT OF RECEIPT OF ORIGINAL DOCUMENTATION
--

I received from the Business Name the following original documentation that I submitted as a request to carry out the name of the procedure (hiring process, Social Security Registration, service provision contract, etc.)

Documentation received:

Official ID	
Proof of Address	
Social Security Registration	
Birth Certificate	

NAME AND SIGNATURE OF THE INTERESTED PARTY	NAME AND SIGNATURE OF THE COMPANY REPRESENTATIVE



1. Freely Chosen Employment

LOGO	Company name	Revision	
	Address	Approval	
	Exit Interview	Code	

Objective

This type of interview will help us locate possible points of improvement in our organization that will prevent talent from abandoning us. In the interviews we conduct today, we collect the timely information to improve, in the future, our company. At no time are they done with the intention of judging or persuading the worker to reconsider his decision.

Please answer these questions with the greatest sincerity, to help us improve in those aspects that you consider.

- I've been thinking about leaving the company for a while.

- Reasons why you want to leave employment (wages, demotion, more attractive offer, working climate, problems with colleagues or supervisors, change of residence, professional reorientation).

- What is the degree of satisfaction during the development of your work in the company?
____ Very dissatisfied ____ Dissatisfied ____ A little dissatisfied
____ Very satisfied ____ Satisfied ____ A little satisfied
- Would you recommend this organization to someone else to work? ____ Si ____ No
- What you would recommend to the company?

- What points do you consider to be strengths and weaknesses of the organization?
Strengths

Weaknesses

- As you would describe the relation among your peers and superiors in the company.
Among colleagues: ____ Good ____ Regular ____ Bad

COMPANY NAME

Page 1 of 2



1. Freely Chosen Employment

LOGO	Company name	Revision	
	Address	Approval	
	Organization Chart and Position Profile	Code	

FARM/PACKAGING/PROCESS ORGANIZATION CHART

Annex the organization chart

The appointment of **Name of the Manager** as **Head of Social Responsibility** of the company, **Name of the Company** is hereby noted.

Manager's Name
Date

COMPANY NAME

Page 1 of 5



1. Freely Chosen Employment

LOGO	Company name	Revision	
	Address	Approval	
	Internal Labor Regulations	Code	

Objective

Ensure adherence to Good [Agricultural Practices \(GAP\)](#)/Good [Manufacturing Practices \(GMP\)](#) in operations, complying with safety standards for our products, in accordance with the regulations, regulatory bodies, and requirements of our customers.

Include the regulations according to the installation and review with the Advisor specific issues to the company, to add or eliminate issues and adapt to your needs.

Field Regulations

A. For all staff:

- The passage of any unauthorized person, as well as minors looking to work in the field, is prohibited.
- No person should show up to work with symptoms of any disease, or under the influence of alcohol or any drug. Anyone who has symptoms of any infectious disease must inform their immediate boss to be removed from their duties.
- It is necessary to respect the safety and hygiene signs of the facilities.
- Perform your work with order and respect for your bosses and colleagues, as well as for flora and fauna.
- Staff should wash their hands properly before and after going to the bathroom or eating food, before entering their work area and whenever necessary, as well as drying with paper towels.
- Always disinfect your hands after washing them.
- Respect hygiene recommendations in bathrooms:
 - a. Care and keep sanitary facilities clean.
 - b. Any uniform must be removed before entering the bathroom and placed in the assigned place for this purpose.
 - c. Wash your hands before and after going to the bathroom or eating food, as well as after any of the following situations:
 - Sneeze or cough in your hands.
 - Touch contaminated objects or unhygienic surfaces.
 - Touch or scratch any part of the body.
 - d. Throw the paper in the trash.
 - e. Lower the toilet lever after use.
 - f. Open doors with your body, not your hands.
 - g. Do not throw water on the floor, dry your hands with paper towels.
 - h. Take care of the use of sanitary paper, hand paper, soap, and disinfectant.
- Do not eat, drink, smoke, and chew gum inside the workplace.
- Find an appropriate place and time for your food intake.
- Do not drink water from the irrigation system as it can cause ills in the body.
- It is forbidden to introduce agrochemical containers to the facilities.
- Take care of yourself and your colleagues of any risk, as well as cross the streets with caution and avoid throwing objects of any kind as they can cause an accident.
- Stay at an adequate distance from working machinery, as well as areas where fertilizers and agrochemicals are being applied.
- Make proper use of tools, equipment, and work machinery.

COMPANY NAME

Page 1 of 4



1. Freely Chosen Employment

LOGO	Company name	Revision	
	Address	Approval	
	Confidentiality Agreement and Non-Disclosure of Information	Code	

CONFIDENTIALITY AND NON-DISCLOSURE OF INFORMATION AGREEMENT

COMPANY NAME contributes to the protection, confidentiality, and non-disclosure of any form of information that workers, suppliers, and customers provide, either orally, graphically, or in writing and, in the latter two cases, whether contained in any type of document, in order to make known their identity, address, age, marital status, and other documentation requested by the company in order to extend a contract to him/her or create any relationship of an employment nature, grant him/her some provision or any other formality specific to the company.

COMPANY NAME will only use the information provided for the purpose mentioned in the above stipulation, committing to maintain the strictest confidentiality with respect to such information, warning of such duty of confidentiality and secrecy to other employees, associates, and any person who, because of their relationship with the company, must have access to such information for the correct fulfillment of the company's obligations to the employee, supplier, and customer.

COMPANY NAME, the persons representing it and/or those in charge of safeguarding such information, may not reproduce, modify, make public, or disclose to third parties the information subject to this agreement without prior written and express authorization from the issuer.

COMPANY NAME shall take with respect to the information referred to in this agreement the same security measures that it would normally take with respect to its own confidential information, avoiding as far as possible its loss, theft, or abduction.

The obligation of confidentiality shall not apply in the following cases:

- Where the information is in the public domain at the time of its provision to the company or, once the information is provided, the company enters the public domain without breach of any of the provisions of this Agreement.
- Where the information is already in the company's knowledge prior to the signing of this agreement and without obligation to keep confidentiality.
- Where applicable law or an injunction requires disclosure. In that case, the company will notify the issuer of such an eventuality and will make every effort to ensure that the information is treated confidentially.



1. Freely Chosen Employment

LOGO	Company name	Revision	
	Address	Approval	
	Loan Application Procedure	Code	

OBJECTIVE

Establish policies, criteria and procedures for lending or advancing wages to workers.

INTRODUCTION

The provision of personal loans and/or application for a wage advance is in order to provide financial support to workers that allows them to meet personal commitments.

- A personal loan is when the worker receives a certain amount of money, which will be settled within a certain period of time.
- A wage advance is when the worker receives money in advance on account of his weekly or fortnightly payment.

RESPONSIBILITIES

- a. The Directorate-General is responsible for the authorization of the loan or advance requested by the workers.
- b. Employees and supervisory staff are responsible for faithfully complying with these policies and procedures.

POLICIES

Every worker can be credited with a personal loan or a wage advance.

Wage advances.

- Wage advances are justified by necessity.
- The Director shall be the sole power to authorise the granting of advances in salaries.
- The worker who requires a salary advance must submit his official application to the Directorate-General, and once authorized must await one's turn in the Human Resources department.
- The advance in salary granted to a worker shall be equivalent to 100% of his weekly/fortnightly salary.
- Advances granted to the worker shall be deducted by payroll in the immediate week/fortnight following the fact raised.
- The worker shall be entitled to three advances in wages per semester and where the worker is not debited and has a minimum time of six months working in the company.
- Advances in wages granted to the worker shall not accrue interest.
- Advances to wages shall be granted provided that the undertaking has sound finances and resources are available for this purpose.
- When requesting a wage advance, the worker must grant the conformity, by signing it in the respective document for the corresponding discount to be made via payroll.
- In the event that the worker resigns or is separated from his employment, he must immediately reinstitute or discount it at his end, as appropriate, the amount of the outstanding advance to be covered.
- Failure to discount by mistake or omission does not relieve the debtor of their responsibility to pay the wage advance in full.



1. Freely Chosen Employment

LOGO	Company Name		Revision	
	Address		Approval	
	Personal Loan Form		Code	
Instructions: Completely fill out the requested form.				
Frequency: By event				
Loan Type	Salary advance	<input type="checkbox"/>	Personal Loan	<input type="checkbox"/>
				Folio #: _____
Applicant details				
Applicant full name:				
Date:				
Reason for the loan request:				
Amount solicited:		\$		
Liquidate in:		() fortnights () weeks		
Amount to deduct from payroll:		\$		
Payment commitment date:				
A copy of the last payroll receipt is attached:		__ Yes __ No		
Name and signature of the worker:				
Name and signature of the person who authorizes:				
Name and signature of the person in charge of Human Resources				



2. Freedom of Association

LOGO	Company name	Revision	
	Address	Approval	
	Right of Association Policy	Code	

COMPANY NAME recognizes freedom of association as a human right consisting of the power to join and form groups, associations, or organizations with lawful objectives, as well as withdraw from them. The company allows its employees to exercise this free right, without coercion to belong, stop belonging or participate in associations for lawful purposes. This is without prejudice to their work functions in any way.

Name
General Manager
Date: DD/MM/YYYY



2. Freedom of Association

LOGO	Company name	Revision	
	Address	Approval	
	Free Association Procedure	Code	

OBJECTIVE

Have a procedure that allows workers to know their rights to form or join organizations with total freedom.

INTRODUCTION

Freedom of association, trade-union freedom and freedom to collective bargain, is a right that allows workers to unite to better protect not only their own economic interests, but also their civil liberties, such as the right to life, security, integrity, and personal and collective freedom.

There are two main figures, the trade union committee and the staff representative. Both constitute the representation of employees, but in the case of committees more than 50 workers are required, delegates may be elected for companies under this figure. In the case of companies of between 6 and 49 workers, they may choose from one to three delegates. There may also be a staff delegate in those companies or centres with between 6 and 10 workers, if they so choose by a majority.

RESPONSIBILITY

The controller must ensure that all provisions are complied with and respected, so that workers feel confident and free for the association.

PROCEDURE

Steps to take to choose a staff representative.

1. Election.

- a. Staff delegates are elected directly by workers, by personal, direct, free, and secret ballot.
- b. All workers of the undertaking or workplace over the age of sixteen and who have at least one month of employment in the company can be elected, workers who are eighteen years of age and older in the company six months or more may also be eligible, unless the collective agreement indicates a lower age.

2. Vote for delegates.

- a. The act of voting shall be carried out in the centre or workplace and during the working day.
- b. The employer shall provide the precise means for the normal development of the vote and the entire electoral process.
- c. The vote will be free, secret, personal, and direct, depositing the ballots, which in size, color, printing, and paper quality will be of equal characteristics.
- d. Immediately after the vote, ballot votes will be counted publicly, aloud.
- e. The result will be recorded which will include the incidents and protests that have taken place where appropriate. Once the minutes have been drawn up, they shall be signed by the interveners and the representative of the employer, if any.
- f. A copy of the minutes will be provided to the employer and the elected representative.
- g. The result of the vote will be published on the bulletin boards.

Steps to be taken to form a workers' union (If employees decide to set up a trade union, they must go to the competent authorities to manage their application).

COMPANY NAME

Page 1 of 2



3. Health and Safety

LOGO	Company name	Revision	
	Address	Approval	
	Health and Safety Policy	Code	

In COMPANY NAME the well-being of our employees, contractors, and visitors is a priority, and we are committed to managing our operations to ensure their safety and occupational health. Therefore, we establish that:

Safety is an integral part of the responsibility of each job.

We seek to eliminate fatalities, injuries, and disabilities caused by accidents at work.

We seek to create a safe working environment, including providing the necessary protective equipment to prevent illness and occupational injuries.

We will provide the systems, controls, procedures, standards, materials, and teams, as well as the necessary training, to keep all processes in optimal safety, and staff must demonstrate the understanding and skills to perform the work assigned to them safely.

We will develop and implement audits for security monitoring to promote continuous improvement in workplace risk detection, elimination, and control processes.

We consider the participation and involvement in occupational health, safety and well-being to be part of the day-to-day work of all staff, as well as contributing to the fulfilment of safety objectives and applicable government safety laws and regulations.

Anyone entering our facility as a contractor or visitor shall know and comply with the safety rules, regulations, and procedures applicable to the performance of their duties within the organization.

Name
General Manager
Date: DD/MM/YYYY



3. Health and Safety

LOGO	Company name	Revision	
	Address	Approval	
	Worker Health, Safety, and Welfare Procedure	Code	

OBJECTIVE

Provide the right conditions, taking care of, and protecting the integrity, as well as ensuring the well-being of the workers of the company.

INTRODUCTION

Occupational safety and health are regulated by various precepts contained in the ETI Base Code, the National Political Constitution, the Organic Law of the Federal Public Administration, the Federal Labour Law and the Federal Regulations on Occupational Safety and Health, as well as by the official norms of YOUR COUNTRY matter, among other regulations.

RESPONSIBILITY

- The Head of Safety and Hygiene shall review this document and provide feedback, if any changes are made. In addition to being responsible for overseeing that all staff comply with the regulations and policies of hygiene and safety of workers.
- Assigned and properly trained personnel should follow up on first aid and emergencies arising, as well as monitor the medicine cabinet correctly.
- All staff will be responsible for the implementation of this SOP.

PROCEDURE

The following important points should be taken into account in compliance with this procedure at all times:

- There must be an accessible medicine cabinet that covers all personnel in the company.
- The necessary documentation should be provided as risk factors, such as safety sheets and chemical data sheets used.
- It must be ensured that all personnel working in the company whether internal, temporary, or subcontracted, comply with the internal labour regulations.
- Monitor at all times the work activities carried out by the staff during each of the processes, to detect in a timely manner absences or incorrect use of machinery, equipment, or personal protective equipment.
- Ensure that staff are constantly trained in topics of: First Aid, Detection of Infectious Diseases, Management of Poisonous Insect Bites, Good Use and Management of Chemicals, Good Safety Practices, Health, and Worker Hygiene.
- Monitor the implementation of preventive maintenance programs and the proper execution of corrective maintenance, when necessary.
- Clear and understandable signage on safety conditions.
- Assess the need for extinguisher placement, if there is any flammable risk.

Medicine cabinet

1. The medicine cabinet must be in an easily accessible location, with the staff trained for its handling, and an assortment of necessary supplies, and ready to use.
2. Easy to transport, it is identifiable with a visible red cross, not too heavy, without padlocks or devices that hinder access to its contents, and with an updated inventory.
3. That it is in a cool and dry place, the instruments are clean, the bottles are closed and preferably t plastic, with non-expired and ordered material.



3. Health and Safety

LOGO	Company Name Address Risks Evaluation	Revision Approval Code									
Severity parameters: HIGH = H (3) (Death) MEDIUM = M (2) (Hospitalization) LOW = L (1) (Controllable symptoms) Corrective Action CA / Preventive Action PA: Result greater than 6 = CA Result less than or equal to 6 = PA											
RISKS EVALUATION		TECHNICAL PLAN									
PHASE	PHASE DESCRIPTION	RISKS	CAUSE	EXPOSURE EVALUATION		RISK CHARACTERIZATION	CORRECTIVE AND / OR PREVENTIVE	METHOD	INDICATOR	CRITERIA	REFERENCES
				RISK	SEVERITY						
HUMAN RIGHTS	INHUMAN OR SEVERE TREATMENT DISCRIMINATION										
CHILD LABOUR											
WORKER HEALTH AND SAFETY	WORK ENVIRONMENT										
	MACHINERY AND EQUIPMENT										
	HAZARDOUS CHEMICALS										
	WORKERS IN DANGEROUS JOBS										
ENVIRONMENT	VULNERABLE WORKERS										
	PPE										
	RISKS OF FIRE, EMERGENCY EXITS AND EVACUATION ROUTES										
	ACCIDENTS AND INJURIES										
	FACILITIES AND RESOURCES FOR WORKERS										



3. Health and Safety

LOGO	Company name	Revision	
	Address	Approval	
	Emergency Phones	Code	

Specific area care phones may be included, if any, ask the Advisor.

Identification	Phone
Emergency	911
Office	(222) 222 22 22
ANY INTOXICATION FEDERAL NUMBER	800 009 28 00

CNDH National Human Rights Commission

<https://www.cndh.org.mx/contacto>

01 (800) 715 2000

State Attorney General's Office

(222) 222 2222

**PROFEPA
Federal Environmental Protection Attorney's Office**

01 (800) 776 3372

COMPANY NAME

Page 1 of 1



3. Health and Safety

LOGO	<b style="color: red;">COMPANY NAME Address Training Calendar	Revision Approval Code
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Define the calendar in conjunction with the company, an example of its filling is reflected.

TOPIC	TRAINER	MATERIAL			FREQUENCY	CALENDAR																		
		BROCHURE	VISUAL	PRACTICE		JAN	FEB	MAR	APR	MAY	JUN	JUL	AGU	SEP	OCT	NOV	DEC							
First Aids	External assessor				Bimonthly																			
Safe handling of heavy machinery	Online course				Monthly																			
Handling PPE (Personal Protective Equipment)	Government resources				Annually																			
Good practices, storage and handling of chemicals	Consultor				New employees training																			
SOPS	Specialist trainer																							
Company policy training (induction)																								
Drills and fire safety																								
Human Rights																								
Harassment, abuse and intimidation prevention																								
Refusal of discrimination																								
Environmental care																								
Waste management, disposal and recycling																								
Sewage discharges																								

NAME OF THE RESPONSIBLE PARTY	APPROVED BY
SIGNATURE OF THE RESPONSIBLE PARTY	SIGNATURE



3. Health and Safety

LOGO	Company Name	Revision	
		Approval	
	Address	Code	
	Training Record		

Instructions: Record all trainings, even if they are informal and quick.
Frequency: Every time a training is held, formal or informal.

DATE AND PLACE (DD/MM/YY)	
COURSE NAME	
TOPICS COVERED	
RELATED DOCUMENT	
DELIVERED MATERIAL	
INSTRUCTOR'S NAME	

ATTENDEE'S NAME	POSITION OR ACTIVITY	ATTENDANCE SIGNATURE

OBSERVATIONS	INSTRUCTOR'S SIGNATURE

BY SIGNING THIS DOCUMENT I CONFIRM THAT I HAVE RECEIVED TRAINING. I AGREE TO FOLLOW THE GUIDELINES OF WHICH I WAS INFORMED IN MATTERS OF FOOD SAFETY, BIOSECURITY, LABOR SAFETY, AND PROTECTION OF THE ENVIRONMENT.



3. Health and Safety

LOGO	Company name	Revision	
	Address	Approval	
	Incident/Work Accident Report	Code	

1. GENERAL DATA

Worker's Name: _____

Identification: _____ Age: _____

Time in Company: _____ Occupation: _____

Experience in this job: _____

2. DESCRIPTION OF THE INCIDENT/ACCIDENT

Date: _____ Time: _____ Shift: _____

Location: _____ What activity was being performed?:

3. DESCRIPTION OF THE FACTS (Where did it happen? How did it happen?)

COMPANY NAME

Page 1 of 4



3. Health and Safety

LOGO	Company name	Revision	
	Address	Approval	
	Workplace monitoring procedure	Code	

OBJECTIVE

Promote and maintain the highest degree of physical, mental, and social well-being of workers in all activities; avoid the deterioration of health caused by working conditions; protect them in their occupations from the risks resulting from harmful agents; place and maintain workers appropriately to their physiological and psychological skills.

INTRODUCTION

Its origin is in the different elements of the workplace environment. Heat, cold, noise, lighting, etc., can cause damage to workers. Working conditions play a key role in the performance of the worker's activities, as the conditions have both psychological and physical affects, jeopardizing their integrity.

RESPONSIBILITY

- The Social Responsibility Officer shall review this document and provide feedback, if any changes are made. In addition to being responsible for overseeing that all staff comply with the regulations and policies of hygiene and safety of workers.
- The General Manager shall be responsible for the annual approval and verification.
- The assigned and duly trained personnel shall follow up on compliance with the requirements detailed in the process, and all staff shall be responsible for the implementation of this SOO.

PROCEDURE

Every day workers carry out their activities in the workplace, so they are exposed to one or more factors capable of modifying the conditions of the environment, and that by their properties, concentration, level and time of exposure or action can alter their health. The following procedure is therefore established:

1. **Tour and recognition:** An initial tour of all areas of the work center where workers perform their tasks should be carried out, and, where appropriate, consideration of the reports and comments of the workers, to identify those areas to be monitored with respect to noise, temperature, and lighting conditions. The purpose of recognition is to identify those areas of the workplace and the visual tasks associated with the jobs, as well as identify those points where it is necessary to evaluate. It is important that this tour and recognition take place during the first season continuously to identify measurement points according to changes in lighting and weather during the working season.
2. **Registration:** In order to determine the visual areas and tasks of the jobs, information on the recognition of the conditions of the work areas, as well as the areas where a deficiency may exist and, subsequently, as the characteristics of the work environment or the conditions of the work area are changed.
3. **Monitoring:** The conditions of the work area should be monitored with specific equipment and compared with the tables for temperature, noise, and lighting to which the staff are exposed.
4. **Quota:** Adjustments necessary for compliance with applicable regulations will be made.



3. Health and Safety

LOGO	Company name	Revision	
	Address	Approval	
	Installation Map	Code	

Insert the installation map(s), the map should include the crop areas identified as they are on site, showing evacuation routes, meeting points, emergency exits, fire extinguishers and kits, installed machinery, etc.

It must be published on the premises in broad format and visible enough for workers to know these safety elements in case of emergency.



4. Child Labour

LOGO	Company name	Revision	
	Address	Approval	
	Child Labor Policy	Code	

In **COMPANY NAME**, it will not be accepted or tolerated in that **children under 18 years of age** work in activities on a remunerated basis and, neither, in agricultural or industrial activities supporting family members or individuals in general, when such work and activities prove to be dangerous and detrimental to the physical, mental, or moral well-being of the child and/or that interfere with his/her school education.

To achieve this purpose, it is intended to use as the basis for confirmation of age for the recruitment of employees the **voter's credential with photograph (ANY other official identification with photograph that indicates the birth date)**; or, if not, the passport and/or migration card, both documents specifying the date of birth.

It shall be communicated in a clear and periodic manner to all field and administrative employees, as well as to suppliers, that child and youth work outside the limits permitted by law is unacceptable and will be subject to unappealable penalties and definitive suspension of any employment or commercial relationship with offenders.

It is the responsibility of **COMPANY NAME** to establish a supervising and monitoring mechanism, in addition to a protocol of procedures and sanctions, leading to the implementation of this policy.

Child Labor Remediation Policy

This policy is effective as of the **DAY of the MONTH OF THE YEAR**. All minors that were working in field activities will be relocated to work that the Act does not classify as dangerous.

In addition, **COMPANY NAME** will seek to work with all the means at its disposal in the education of these minors, as a way to guarantee their due process of affective, emotional, and intellectual maturation, and to take them away at the same time from the fields. This is done through a reintegration plan that will be worked on with each of the cases at the individual level.

Name
General Manager
Date: MM/DD/YYYY



4. Child Labour

LOGO	Company name	Revision	
	Address	Approval	
	Child Labor Policy	Code	

In **COMPANY NAME**, it will not be accepted or tolerated in that **children under 18 years of age** work in activities on a remunerated basis and, neither, in agricultural or industrial activities supporting family members or individuals in general, when such work and activities prove to be dangerous and detrimental to the physical, mental, or moral well-being of the child and/or that interfere with his/her school education.

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Name
General Manager
Date: MM/DD/YYYY



5. Wages and Benefits

LOGO	Company name	Revision	
	Address	Approval	
	Compensation and Benefits Policy	Code	

Compensation and Benefits Policy

COMPANY NAME All workers of the company have the right to have all the benefits that the law mandates (vacation, bonus payment, rest days, enjoyment of holidays, among others) and will not be negotiable. Workers according to their performance and meeting the productivity goals set by the company, may be entitled to other benefits and compensations that will be determined by the company when required.

Name
General Manager
Date: MM/DD/YYYY



5. Wages and Benefits

LOGO	Company name	Revision	
	Address	Approval	
	Withholdings and Deductions Policy	Code	

Withholdings and Deductions Policy

COMPANY NAME Workers must be informed of the deductions and withholdings that apply to them on their payroll receipt, such as Social Security fees, IRS withholdings and which are themselves applied under the Law. Where a loan exists, the employee must also be informed of the deductions to be applied to him. This information assures the worker that no discounts are being applied to him outside of what is mandated by the Law.

Name

General Manager

Date: MM/DD/YYYY



5. Wages and Benefits

LOGO	Company Name	Revision	
	Address	Approval	
	Bonus form	Code	
Instructions: Detail and fill in the required information. Frequency: Every time a bonus is awarded.			
BONUS			
PRODUCTIVITY <input type="checkbox"/>	GRATIFICATION <input type="checkbox"/>	PUNTUALITY <input type="checkbox"/>	OTHER <input type="checkbox"/>
NAME OF THE BENEFICIARY:	_____		
QUANTITY	_____		
PAYMENT PERIOD:	_____		
COMMENTS	_____		
_____	_____		
Name and Signature of the Beneficiary	Name and Signature of Authorizer		



5. Wages and Benefits

LOGO	Company Name	Revision	
	Address	Approval	
	Payment per Day Receipt	Code	

Instructions: Record the payment of a working day when it has been settled.

Frequency: Every time a payment is made per working day.

DATE (MM/DD/YYYY)	
--------------------------	--

EMPLOYEE NAME	QUANTITY	SIGNATURE

BY SIGNING THIS DOCUMENT, I AGREE TO HAVE RECEIVED TOTAL PAYMENT FOR MY WORK DURING THIS DAY AND THAT THE COMPANY DOES NOT HAVE ANY DEBT WITH ME.



5. Wages and Benefits

LOGO	Company Name	Revision	
	Address	Approval	
	Weekly Payroll Receipt	Code	

Instructions: The weekly payment of the workers must be registered, with the information of the week worked.
Weekly frequency

	EMPLOYEE NAME	DAYS WORKED	SALARY	FULL PAYMENT	PAYMENT DATE MM/DD/YYYY	SIGNATURE OF AGREEMENT
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						

BY SIGNING THIS DOCUMENT, I AGREE TO HAVE RECEIVED TOTAL PAYMENT FOR MY WORK DURING THE WEEK AND THAT THE COMPANY DOES NOT HAVE ANY DEBT WITH ME.



6. Hours of Work

LOGO	Company name	Revision	
	Address	Approval	
	Overtime Procedure	Code	

OBJECTIVE

Establish general criteria and mechanisms to approve the correct application of the norms and regulatory provisions in force, for the authorization and payment of overtime to personnel who, for operational needs, have to work overtime after the end of their corresponding working day.

INTRODUCTION

Proper overtime management will help employees better balance their work and personal lives, and protect the company, by delineating policies to comply with applicable legal provisions.

RESPONSIBILITIES

- Directors and Managers
Managers must manage the human, time, and financial resources needed for effective overtime management. As well as effectively delegate the tasks set out in this procedure.
- Supervisors
Supervisors should ensure that they follow the lines of this procedure and ensure that overtime allocation is carried out in accordance with this procedure.

PROCEDURE

Supervisors should ensure that they follow the lines of this procedure and ensure that overtime allocation is carried out in accordance with this procedure.

Workers' will to work overtime must be ensured and respected.

1. The number of overtime hours that a worker may work shall not exceed three hours per day, or three consecutive times per week and, in order to proceed with the payment procedure, there must be prior justification and authorization from the worker's supervisor.
2. Supervisors who authorize overtime should verify that these are exceptional cases as operational, service, care, and operation needs of the areas are fully justified.
3. For the authorization to work overtime, the immediate head must requisition the application in the corresponding format which shall contain the requirements set out in these guidelines as they are:
 - a) The immediate boss's written request to the worker.
 - b) The signed acceptance by the worker.
 - c) Description of the activities carried out.
 - d) Authorization of the Immediate Chief Superior to the petitioner.
4. The worker may work overtime if it is provided that he has the respective authorization, it cannot be left in his personal discretion to exceed his ordinary working day.
5. If the worker accepts and sign to work overtime and if for any justified reason, he will not be able to provide his extraordinary service, the worker is obliged to inform in advance that he will not be able to stay to work, so that the manager can take the necessary measures to meet the needs of the company.



6. Hours of Work

LOGO	Company Name			Revision		
	Address			Approval		
	Overtime Request Form			Code		
<p>Instructions: Properly complete the data indicated in the format. Frequency: Whenever it is necessary to perform overtime by employees.</p>						
Overtime request						
Date:						
Name of the Head of the Requesting Department:						
Applicant department and / or area:						
Reasons for requesting overtime						
For supervisor use						
Employee number	Check in time	Rest Start	Rest End	Check out time	Total Hours	Employee signature
Total overtime hours worked						
Name and Signature of Authorizer						
<p>Once the section of hours of use of the supervisor has been completed, turn over to the Human Resources department to record the hours of each employee and the corresponding payment.</p>						



6. Hours of Work

LOGO	Company name	Revision	
	Address	Approval	
	Holiday and Permit Application Procedure	Code	

OBJECTIVE

Establish the necessary procedures for applying for leave with and without pay, as well as workers' holidays. Comply with the right of the holiday period and the payment of the corresponding premium as indicated by the current regulations.

INTRODUCTION

Employees are entitled to vacation periods, as well as to apply for permits, as required by Federal Labor Law. These benefits have positive effects for both workers and the company.

RESPONSIBILITIES

- a) Employees and supervisory staff are responsible for faithfully complying with these policies and procedures.
- b) The Human Resources department is responsible for ensuring the correct application of the same.

PROCEDURE

This procedure applies to plant employees as well as temporary:

I.- Holiday Application

1. 1.- Collaborators may enjoy their holidays after the end of the working year, in one or two maximum periods according to the needs of the company and taking into account the opinion of the collaborator. In addition, they will have the right to enjoy them according to the following table, on the understanding that these increase two days every year until they reach 12 and after the 4th. year two more days for every 5 years of service, as stipulated in the Act. **(Customize according to local or Laboral laws in your country)**

Working period	Holidays
1 Year	6 Days
2 Years	8 Days
3 Years	10 Days
4 years	12 Days
5, 6, 7, 8, 9 Years	14 Days
10, 11, 12, 13, 14 Years	16 Days
15, 16, 17, 18, 19 Years	18 Days

2. Holidays that are not enjoyed by the collaborator expire if they are not taken within one year of being exercised in accordance with the provisions of the Law, and without the right to have them remunerated.
3. The authorization of the holiday enjoyment is granted by the immediate boss and applied by the Human Resources area.
4. The power to authorize early leave shall be borne by the immediate head in conjunction with the responsible person of Human Resources based on the record of attendance and punctuality.

COMPANY NAME

Page 1 of 3



6. Hours of Work

LOGO	Company Name	Revision	
	Address	Approval	
	Permit Request Form	Code	
<p>Instructions: Select the option of the requested permission. Frequency: Every time a permit is requested.</p>			
Applicant Details			
Full name			
Position			
Department:			
Permit Type			
Personal Matter	<input type="checkbox"/>	Disease	<input type="checkbox"/>
		Civil Marriage	<input type="checkbox"/>
Birth of a Child	<input type="checkbox"/>	Death of a Family Member	<input type="checkbox"/>
		Other	<input type="checkbox"/>
Indicate another reason: _____			
Permit Period:			
Date: _____	Number of the days	<input type="text"/>	Hours: <input type="text"/>
		From: _____	To: _____
With Pay	<input type="checkbox"/>	Without Pay	<input type="checkbox"/>
Observations: _____			
_____ Name and Signature of the Applicant	_____ Name and Signature of the Immediate Chief	_____ Name and Signature of Human Resources	



6. Hours of Work

LOGO	Company Name	Revision	
	Address	Approval	
	Vacation Request Form	Code	
Instructions: Fill out the entire form with the required information. Frequency: Every time vacation days are requested.			
VACATION REQUEST			
		Date:	_____
FULL NAME:	_____		
DEPARTMENT:	_____		
POSITION:	_____		
NUMBER OF DAYS AND DATES REQUESTED:	_____		
PERIOD TO WHICH IT APPLIES	_____		
DAYS REMAINING:	_____		
OBSERVATIONS:	_____		

The approval of the vacation period is subject to the availability of the company and either its approval or any relevant change will be notified to the interested party.			
_____		_____	
Signature of the Applicant		Name and Signature of Authorizer	



7. Discrimination

LOGO	Company Name	Revision	
	Address	Approval	
	Non-discrimination Policy	Code	

COMPANY NAME does not accept any discrimination based on age, race, color, sex, religion, political opinion, national ancestry, sexual orientation, social origin, or disability.

There is no discrimination in hiring, compensation, access to training, promotion, disengagement or retirement by race, caste, nationality, religion, age, disability, gender, marital status, sexual orientation, union participation, or political affiliation.

Name
General Manager
Date: MM/DD/YYYY

COMPANY NAME

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7. Discrimination

LOGO	Company name	Revision	
	Address	Approval	
	Vulnerable Employee Management Procedure	Code	

OBJECTIVE

Provide the right conditions, taking care and protection of the integrity and well-being of vulnerable workers of the company.

INTRODUCTION

The company will respect the human rights of vulnerable groups and protect them from situations of discrimination. It is necessary to offer free access to the different spaces where vulnerable workers can make use of resources just like any other worker in the company. This procedure is based on the provisions contained in the ETI Base Code, **the Federal Labor Law, as well as official Mexican standards of the matter**, among other laws.

(Customize according to local laws in your country)

DEFINITION. Vulnerable groups: Group of people belonging to minority groups or with a long-term deficiency, whether physical, mental, or sensory.

RESPONSIBILITY

- The Social Responsibility Committee should review this document and provide feedback, if any changes are applied.
- The Human Rights Manager will ensure that all personnel comply with the regulations and policies of the management of vulnerable workers.
- All staff will be responsible for the implementation of this SOO.

PROCEDURE

The following important points should be taken into account in compliance with this procedure at all times:

- Treat them with naturalness and respect for their dignity.
- In general, a natural and simple way of speaking will be adopted, avoiding technical or complex language, using direct and well-constructed phrases. Greet and say goodbye to them normally as is the case with anyone else.
- Persons in situations of vulnerability due to gender, age, race, sexual orientation, different capacities, membership of an indigenous ethnicity or people, pregnancy conditions, disease (AIDS), among others, will be included in all the activities of the company.
- Resolve your questions, doubts, and concerns with patience and understanding.
- Except for intellectual issues, treat them according to their age.
- Limit support to what is necessary, trying to ensure that they develop as independently as possible in their activities; avoiding overprotection and prejudices.
- Facilitate the relationship with others.
- The company will take action to protect human rights and prevent discrimination against its workers belonging to vulnerable groups.

People with physical disabilities

- Focus on a person's abilities and not their limitations. A disability is not an incapacity. The Social Responsibility Committee in conjunction with the General Manager and/or the human resources department will seek the most appropriate role or position where the person can perform properly with the highest possible level of autonomy.



7. Discrimination

LOGO	Company Name		Revision
	Address		Approval
Worker List Form			Code

Instructions: Register all workers, who are or have worked in packing.
Frequency: Every time new staff join.

Employee Number	Name	Ethnic or social group	Position or Activity	Date of Birth MM/DD/YYYY	Gender		Date of Admission	Plant or seasonal worker	Salary	Age on Admission	Date of Exit MM/DD/YYYY
					M	F					



8. Regular Employment

LOGO	Company name	Revision	
	Address	Approval	
	Employment Procedure through Agencies	Code	

OBJECTIVE

Establish procedures to regulate precisely and comprehensively the functioning of the recruitment of agency services for the placement of workers.

INTRODUCTION

The implementation of specific mechanisms and strategies aimed at labour service providers will provide better labour intermediation, as it has the integration of the bases on which the operation of the service will take place and will allow execution, control, and monitoring to be effective, complying with all labour standards established by law.

RESPONSIBILITIES

- a) Service providers and supervisory staff are responsible for faithfully complying with these policies and procedures.
- b) The Human Resources department will ensure the correct application of this procedure.

Personnel Definitions

- Indirect or external employment- Personnel hired through agencies, subcontracted or work from home.
- Migrant- Who arrives in a country or region other than his place of origin to settle in it temporarily or definitively.
- Apprentices- A beginner in a given technique.

Definitions of time

- Temporary - Staff hired for a specified period of time.
- Plant - Staff hired with an undetermined time.

RECRUITMENT THROUGH AGENCY

Process to be used if the company determines that the recruitment of workers must be through labor service providers.

The recruitment of indirect workers whether temporary or permanent, migrants and/or apprentices shall be governed by all the terms and conditions set out in the Law.

Workers shall have the right to have all the benefits marked by law, such as: Social Security, the right to apply for permits, the right to leave, etc.

The company must be aware of the procedure that the service provider uses for the recruitment of labor.



8A. Outsourcing and Work from Home (Home office)

LOGO	Company name	Revision	
	Address	Approval	
	Outsourcing and Work from Home Procedure	Code	

OBJECTIVE

Establish guidelines and procedures that allow outsourcing to be adequate and that all legal, environmental and human resources requirements are met. Likewise, one can identify which positions or activities within the organization can be taken through a job from home.

INTRODUCTION

The implementation of systems and processes will allow the administration to have the most information necessary to determine whether outsourcing and/or work from home will be effective and that can be met with all the requirements that abide by the law.

RESPONSIBILITIES

The management and direct heads will be responsible for determining whether it is applicable and functional to carry out the outsourcing and whether work from home will be effective for the activities to be carried out.

PROCEDURE

1. Outsourcing

Before initiating any outsourcing procedure, it will be necessary to carry out a study of the resources and means available to the company, as well as all external determinants.

The first thing to value is the ability of the company itself to do the work, which parts of it is able to execute, based on its resources and which will be outsourced. This must be defined by the management of the company, although it is recommended to analyze at all levels and make the comments and suggestions that are deemed appropriate.

The main customer must be informed that the transaction will be carried out by means of outsourcing.

-All those parts of the work to be outsourced must be governed by a contract between the company and the outsourcing one. This must be drafted in accordance with current regulations. In addition, the contracting company, prior to the signing of the contract, must ensure the following:

- The requirements required are defined.
- Possible differences between the outsourcer and the company have been resolved.
- The outsourcer has the ability to fulfill the contract.

The only valid basis for an outsourcing procedure is the contract that is established between the company and the outsourcer. The controller should review it and verify that it includes all the basic obligations arising from the outsourcing act. Similarly, the contract must agree on the control procedures by the contracting company in the face of the actions of the outsourcing company.



9. No Harsh or Inhumane Treatment is Allowed

LOGO	Company name	Revision	
	Address	Approval	
	Inhumane and Severe Treatment is Not Allowed and Non-Retaliation Policy	Code	

No Inhumane or Severe Treatment Allowed

COMPANY NAME prohibits forced labor in all its forms, including sexual assault, physical abuse, intimidation, and behaviors that humiliate, degrade, or otherwise indicate a lack of respect for a person's dignity and worth.

Non-Retaliation Policy

COMPANY NAME strictly prohibits any form of retaliation against those who, in good faith, file a complaint, raise a concern, provide information, or otherwise cooperate in an investigation or process regarding conduct that reasonably considers violating our Code of Business and Ethical Conduct and company policies.

Name
General Manager
Date: MM/DD/YYYY



9. No Harsh or Inhumane Treatment is Allowed

LOGO	Company name	Revision	
	Address	Approval	
	Disciplinary Actions Procedure	Code	

OBJECTIVE

The purpose is to implement necessary disciplinary measures in the face of a lack on the part of the worker for the fulfillment of the company's policies, procedures, and expectations.

INTRODUCTION

Employees should be kept informed of policies and procedures. It should not be assumed that the worker knows everything. It should be made clear when conduct leads to disciplinary action. Every worker, regardless of the position and/or time of service, has the right to be given an explanation of the fault he has incurred, what he/she must do to correct, and what the Manager/Supervisor will do to correct inappropriate conduct and thus achieve the desired objectives.

RESPONSIBILITY

- Manager/Supervisor- Has the responsibility to enforce the policies and procedures of the company and give feedback on them.
- Human Resources Manager- Coordinate the processes for the implementation of the sanctions that will be applied.

PROCEDURE

Any disciplinary failure and/or violation of the policies and procedures established by the Company will warrant a penalty, in accordance with the Internal Labor Regulations.

Disciplinary action must be applied immediately so that the worker attributes it to the fault itself, and not as a capricious action on the part of the supervisor. It is not the company's policy to let problems go until they accumulate and then apply a vigorous disciplinary action or even dismissal.

All facts should be taken into account and the situation assessed.

- What is the situation?
- What were the consequences of it?
- Were there other people linked to the situation?
- If it has happened before, when, and how often?
- What future consequence is envisaged?

Disciplinary actions, in the face of a particular fault on the part of the worker, shall be punished by means of the reference table for the **application of sanctions**, as follows:

- The first time verbal warning:

Contact the Human Resources department to conduct a meeting with the worker to notify it of the fault and fill out the employee default **format**.



9. No Harsh or Inhumane Treatment is Allowed

LOGO	Company name	Revision	
	Address	Approval	
	Sanctions Implementation Reference Table	Code	

REFERENCE TABLE FOR SANCTIONS APPLICATION

Categories and Non-compliances	Recurrence				
	1ra	2da	3ra	4ta	5ta
Category: Workplace discipline					
Insults or offences	6	↓			
Physical aggression (punches, pushes, scratches, among others)	↓				
Verbal harassment of peers (no sexual implications)	6	↓			
Unwarranted foul		3	6	↓	
Delay			3	6	↓
Smoking on the company's premises or vehicles		3	↓		
Robbery	↓				
Damage to the company's facilities or property	↓				
Ingest alcoholic beverages at the company's facilities or vehicles	↓				
Show up to work under the influence of drugs or alcohol	3	6	↓		
Category: Food safety and hygiene					
Eating food or chewing gum within the work area		3	6	↓	
Lack of personal hygiene or clothing, or deficiencies in hand washing		3	6	↓	
Wear accessories, jewelry, perfumes or makeup		3	6	↓	
Introduce rigid plastic or glass materials into the work area		3	6	↓	
Improper handling of packaging material or food contact surfaces		3	6	↓	
Use of unauthorized items (cellular, sound players)			3	6	↓
Wearing non suitable clothing (open shoes, sandals, sleeveless T-shirts, among others)		3	6	↓	
Throwing trash on the company's premises or vehicles		3	6	↓	
Do not report deviations that may affect product safety			3	3	6
Job security					
Do not use the relevant personal protective equipment		3	6	↓	

COMPANY NAME

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9. No Harsh or Inhumane Treatment is Allowed

LOGO	Company Name	Revision	
	Address	Approval	
		Code	
Employee Complaint Form			

Instructions: An employee breach must be mentioned regarding anyone who does not comply with the internal regulations or company policies, or puts his colleagues at risk, discriminates, or treats one's coworkers poorly. Use the Sanctions Reference Table document to determine the appropriate disciplinary action.

Frequency: When an employee fails to comply with the internal regulations of the company or puts the safety of the product at risk.

GENERAL DATA	
EMPLOYEE NAME	
COMPLAINT DATE (MM/DD/YY)	
REPORT DATE (MM/DD/YY)	
NAME OF THE RESPONSIBLE PARTY	

DESCRIPTION OF THE SITUATION

OBSERVATIONS / ANTECEDENTS

TRAINING	
Topic	Date (MM/DD/YY):

SANCTION APPLIED (SELECT THE OPTION)		
1st. CALL (WRITTEN)	2nd. CALL (WRITTEN)	3rd. CALL (DISCIPLINARY SANCTION OR DISMISSAL)

DESCRIPTION OF THE PENALTY:

EMPLOYEE NAME	SUPERVISOR
SIGNATURE	SIGNATURE

BY SIGNING THIS DOCUMENT, I AGREE THAT I COMMITTED THE ERROR AND THAT I WILL BE SENTENCED BASED ON IT.



9. No Harsh or Inhumane Treatment is Allowed

LOGO	Company name	Revision	
	Address	Approval	
	Administrative Act Format	Code	

ADMINISTRATIVE ACT

In the city of _____, being the _____ hour of the day _____ of _____ of the year _____, in the offices of (COMPANY NAME), located in (COMPANY ADDRESS). The following people met:

(WORKER INVOLVED, MANAGER/SUPERVISOR, HUMAN RESOURCES MANAGER, AND TWO WITNESSES).

The description of the facts are as follows:

(MAKE A DETAILED ACCOUNT OF THE CONSTITUENT FACTS OF THE ERROR, SETTING THE CIRCUMSTANCES OF TIME, MODE, AND PLACE.)

Reason why this act is provided to (EMPLOYEE NAME) for applicable legal purposes.

Under the above, the worker receives the following sanction: _____

Having nothing else to record, the present act is concluded, those involved signing.

Full Name and Worker's Signature

Who declares that he has read the contents of the minutes and agrees with what is stated in the minutes, signing accordingly.

 Full Name and Signature
 Manager/Supervisor

 Full Name and Signature
 Human Resources Manager

 Full Name and Signature
 Witness

 Full Name and Signature
 Witness

NOTE: If the minutes result in dismissal, it is suggested to review the minutes by a firm or legal counsel prior to delivery.

COMPANY NAME

Page 2 of 2



10B2. Environment 2-Pillar

LOGO	Company name	Review	
	Address	Approval	
	Environment Policy	Code	

Aware of our environmental responsibility, **COMPANY NAME** seeks to promote the preservation and care of the environment, creating an internal culture of continuous improvement, the minimization of environmental impacts, and full compliance with national regulations, seeking the sustainable development of the company.

COMPANY NAME undertakes to:

- Produce high quality food, avoiding environmental impacts and getting its operations to act in compliance with this policy.
- Comply with the environmental regulations applicable to the national territory.
- Efficiently use water by prioritizing the savings and reduction of our water footprint, in order to assist in the conservation of the aquifer mantle and other bodies of water.
- Efficiently use energy resources by maximizing savings and prioritizing the use of fuels with less environmental impact, as much as possible.
- Drive innovation of cleaner technologies and the use of renewable sources to reduce our carbon footprint.
- To make use of biodiversity and natural resources in full compliance with national regulations, monitoring management, and ensuring that they are not declared protected or closed and that the areas, zones, or ecosystems where the use is intended are considered suitable for exploitation.
- Prioritize the use of agricultural products, supplies, and raw materials from suppliers with greater environmental commitment, in order to reduce our environmental impact and ecological footprint.
- Maintain an environmentally friendly workplace based on training, instructing, and promoting the culture of our staff.

Name

General Manager

Date: MM/DD/YYYY

COMPANY NAME

Page 1 of 1



10B2. Environment 2-Pillar

LOGO	Company name	Revision	
	Address	Approval	
	Waste Management Procedure	Code	

OBJECTIVE

The purpose of the present procedure is the management of waste in order to ensure that waste is treated most appropriately for its nature and to exercise control over waste.

INTRODUCTION

The implementation of a waste management procedure will bring immediate benefits to the flora and fauna to the facilities in addition to supporting us to fulfill our commitment as a company to the care of the environment. This procedure is a useful reference for establishing the correct steps to follow and the way in which it is consulted;

REACH

This procedure will apply to waste generated in all areas of the company.

RESPONSIBILITY

- The Environment Manager will be responsible for identifying the new waste generated in the company and that each type of waste has an acceptance sheet, if required.
- The Environment Manager will notify Administration to request service from the selected carriers.
- The Environment Manager will be responsible for the file of the acceptance sheets and the tracking sheets.
- The Purchasing Manager shall decide on the carriers and managers of the different waste according to the criteria established.
- The Responsible party for each area will detect and report any anomalies at the waste generation points.

PROCEDURE

I. Identification and shipment of waste

In order to ensure the correct management of waste generated in the company, the following actions will be carried out:

1. The Environment Manager will identify the different waste generated in each of the Areas and determine the degree of segregation of the areas, in order to effectively manage it. An updated list of the waste generated shall be drawn up.
2. Once the types of waste have been identified, the Environment Manager shall draw from the relationship of companies recognized and approved by the competent body those that offer the collection and management service of such waste.
3. Among these, the Environment Manager, in collaboration with the Purchasing Department, will select according to commercial, environmental, quality, or other criteria, those that will be part of a definitive list of companies responsible for the work of withdrawal and waste management, and proceed to open a contract with them.
4. When waste is generated, or there is a need for the evacuation of waste, the Area generating it must notify the Environment Manager. It will identify the waste and as listed above, it will notify the selected Company(s) to provide the transport and waste management services.

COMPANY NAME

Page 1 of 3



10B2. Environment 2-Pillar

LOGO	Company Name	Revision Approval
	Address	Code
Waste Disposal Form		

TO INDICATE	<input checked="" type="checkbox"/>	DONE
	<input checked="" type="checkbox"/>	NOT DONE

Instructions: Record when the waste is removed from the facility, specifying the destination.
Frequency: When the activity is carried out.

DATE (DD/MM/YY)	APPROX QUANTITY (Unit, KG)	TYPE OF WASTE								DELIVERED TO / DESTINATION	PERFORMED	
		GARBAGE	BAGS	METAL	OIL *	CONTAINER S	PLASTICS	WHEELS	OFFICE			OTHERS

* This type of waste must be disposed of responsibly, avoiding contamination of the environment and water sources.

SIGNATURE OF THE RESPONSIBLE PARTY	
---	--

SUPERVISOR'S SIGNATURE	
-------------------------------	--



10C. Business Ethics

LOGO	Company name	Revision	
	Address	Approval	
	Business Ethics Policy	Code	

COMPANY NAME maintains ethical conduct by always doing the right thing in our work. This results in maintaining honesty and respectful relationships with each of our workers, customers, partners, suppliers, and consumers, thus making COMPANY NAME aligned in its activities with all applicable norms and regulations against corruption and bribery. Clarifying that COMPANY NAME has zero tolerance against any conduct that could be considered bribery or that may in any way be considered corrupt.

Name

General Manager

Date: MM/DD/YYYY



10C. Business Ethics

LOGO	Company name	Revision	
	Address	Approval	
	Code of Conduct	Code	

BASIC PRINCIPLES OF BEHAVIOR

COMPANY NAME is a company committed to sustainability, so it applies quality criteria and processes in its products and services to promote social welfare, economic growth, and environmental balance. The Company assumes as basic behavioral guidelines, among others, the Universal Declaration of Human Rights, Declaration of Fundamental Principles and Rights at Work, and the Ethical Trade Initiative. Therefore, all persons and entities to whom this Code of Conduct applies must comply with the following basic principles of behavior:

- Comply with and abide by applicable national and international laws.
- Respect human rights and public freedoms, contribute to the preservation of the natural environment, and collaborate with the development and well-being of communities.
- Promote honesty, fairness, truthfulness, compliance with commitments, free competition, and transparency.
- Provide good working conditions, respecting labor rights.
- Contribute to social and economic development through innovation, technological development, and the effective and responsible use of resources.
- Actively contribute to the environmental balance and drive of a low-carbon economy.

CODE OF CONDUCT

1) Respect for legality and ethical values

COMPANY NAME develops its business and professional activities in accordance with the legislation in force in each of the places where they are developed, observing ethical behavior and following national, and where appropriate, international best practices.

Likewise, all workers of Company Name must comply with the current laws where they carry out their activity and observe ethical behavior. They should also avoid any conduct that, without violating the law, may damage the Company's Name reputation and adversely affect your interests. Workers should be aware of laws affecting their work, requesting accurate information through their superior or appropriate instances.

2) Commitment to human rights

COMPANY NAME is committed to respecting the human rights and public freedoms recognized in the United Nations Universal Declaration of Human Rights. All workers of the company must follow this commitment, carrying out their professional activities considering respect for human rights and public freedoms.

3) Respect for people

COMPANY NAME rejects any manifestation of physical, psychological, moral or abuse of authority harassment, as well as any other conduct that may create an environment of intimidation or offensive to people's rights, and promotes working conditions that prevent harassment in all its forms, including sexual harassment. Workers should be treated with respect, fostering a pleasant, healthy and safe working environment. All professionals have an obligation to treat their peers, their superiors, and their subordinates in a fair and respectful manner.

COMPANY NAME promotes and respects the right of freedom of association and collective bargaining in the field of work. Company name does not support any type of child labor.

Annexes



The ETI Base Code





1

Employment is freely chosen

- 1.1 There is no forced, bonded or involuntary prison labour.
- 1.2 Workers are not required to lodge “deposits” or their identity papers with their employer and are free to leave their employer after reasonable notice.





Why commit to the ETI Base Code?



www.ethicaltrade.org



Employment is freely chosen

Slavery and bonded labour are totally unacceptable. Almost 21 million people are victims of forced labour.



Freedom of association and the right to collective bargaining are respected

Tens of thousands of workers lose their jobs every year for attempting to form or join a trade union or improve working conditions. Some even lose their lives.



Working conditions are safe and hygienic

An estimated 2.3 million people die every year from work-related accidents and diseases.



Child labour shall not be used

168 million children work to support their families, missing out on education and often damaging their health. This reinforces the cycle of poverty.



Living wages are paid

Roughly half the world's population still lives on two dollars a day. If people can't feed their families on an adult's wage, they may send their children to work.



Working hours are not excessive

Long working hours are the norm for most of the world's workers. This damages people's health and undermines family life.



No discrimination is practised

Women and certain minorities are often confined to the lowest-paid jobs with no access to training or promotion.



Regular employment is provided

Most workers can be laid off when it suits the employer. This fuels poverty and insecurity and drives down wages.



No harsh or inhumane treatment is allowed

Few workers have protection against physical, verbal or sexual abuse in the workplace.



ETI Base Code



Respect
for workers
worldwide

The ETI Base Code is an internationally recognised set of labour standards based on ILO conventions. It is used by ETI members and others to drive improvements in working conditions around the world.

www.ethicaltrade.org



Employment
is freely chosen



Freedom of association
and the right to collective
bargaining are respected



Working conditions are
safe and hygienic



Child labour shall
not be used



Living wages are paid



Working hours are
not excessive



No discrimination
is practised



Regular employment
is provided



No harsh or inhumane
treatment is allowed



**Ethical
Trading
Initiative**

Respect for workers worldwide

REMEMBER!

- Workers are free to associate in workers' committees or unions.
- Our company will be tolerant towards workers' union's activities and their representatives will not be discriminated against and will be able to fulfill their duties at work.



Disclaimer

The National Mango Board (NMB), an instrument of the United States Department of Agriculture, commissioned this workshop in support of the Mango Industry. All efforts have been taken to ensure the accuracy and veracity of the information contained in this document. Nonetheless, the NMB and Food Safety Consulting & Training Solutions, LLC are not responsible, expressly or implied, for the ideas and recommendations contained in this document, as well as errors and omissions therein, and do not assume any legal responsibility for any loss or damage resulting from use of the information contained herein.

This material was developed by Food Safety CTS, for the National Mango Board



