

Amazon Supply Chain Standards Manual

Amazon is guided by four principles: customer obsession, passion for invention, commitment to operational excellence, and long-term thinking. We are committed to engaging with suppliers that respect human rights, provide safe and inclusive workplaces, and promote a sustainable future.

This Supply Chain Standards Manual ("Manual") provides guidance for suppliers to ensure that their practices meet and exceed the expectations in Amazon's Supplier Code of Conduct.

This Manual outlines requirements for suppliers (including licensees, manufacturers, producers, and packagers) and facilities involved in the production of Amazon products, product components, or physical materials carrying Amazon's brand, intellectual property, or designed to Amazon's specifications.



We expect suppliers to foster a safe and respectful working environment.

amazon

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At Amazon, we believe that good working conditions lead to good business. We expect all suppliers and service providers to **behave in a lawful and responsible manner, protect the environment, act safely and responsibly, and safeguard worker rights.**

Our requirements and expectations for suppliers in our supply chain are detailed in **Amazon's Supplier Code of Conduct** ("Supplier Code"). Our Supplier Code is based on the United Nations Guiding Principles on Business and Human Rights, and the Core Conventions of the International Labour Organization (ILO), including the ILO Declaration on Fundamental Principles and Rights at Work and the UN Universal Declaration of Human Rights. **We engage with suppliers that are committed to the same principles.**

We partner closely with suppliers that drive continuous improvement in their working conditions. **At a minimum, we require that facilities meet and maintain a basic set of requirements to qualify for initial and continued production of Amazon products.** These are known as our Qualification Requirements.

We use independent auditors to verify compliance with our standards, and other mechanisms as needed such as confidential worker interviews. More information about our [Audit Requirements](#) is included below.

For definitions of terms used in this manual, see [Appendix 1](#). For frequently asked questions, see [Appendix 2](#).

Key actions for suppliers:

- ✓ Understand Amazon requirements and all applicable laws
- ✓ Declare all facilities and complete an approved audit
- ✓ Take immediate action to address time-sensitive issues
- ✓ Develop a corrective action plan to address issues
- ✓ Continuously monitor working conditions and your own supply chain

Supplier Code of Conduct

Overview

Our suppliers must comply with all applicable laws, as well as the requirements and principles outlined in our Supplier Code of Conduct, even when they exceed legal requirements. The full Supplier Code is available in multiple languages, and can be found [online here](#).

Supplier Code

Qualification Requirements

The key areas of our **Supplier Code** include:

- Labor rights and respectful workplace conditions
- Health and safety
- Protection of the environment
- Transparency and ethical behavior

Audit Requirements

Your commitment to Amazon's Supplier Code is included in your purchase or service agreement with Amazon.

Accepted Audits

It is your responsibility to ensure that your business and labor practices, and all facilities producing Amazon's products, comply with all applicable laws and the standards of our Supplier Code, even when they exceed the requirements of applicable laws.

Corrective Action

Our Supplier Code includes expectations for how you manage your facilities and supply chain. Adopting a management system that focuses on continuous improvement and worker communication will help you develop sustainable workplaces. **We also expect you to cascade our standards to your own suppliers and subcontractors.**

Supply Chain Management

We recognize it may take time to meet and exceed the qualification requirements of our Supplier Code. Resources and tools you can use to help manage your own supply chain are included in the [Supply Chain Management section below](#).

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Tip

Your purchasing behaviors, such as sales and production planning, or purchase of materials, may impact workers. Ensure the following when making purchasing decisions:



Orders, payment terms, and production timelines don't conflict with payment of legally-required wages.



Changes to purchase orders don't violate commitments to wages or working hours.



Undisclosed subcontractors are not employed to meet purchasing obligations

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Amazon requires that all facilities engaged in the production of Amazon products meet and maintain, at a minimum, **a basic set of requirements to qualify for initial and continued production.**

This essential level of compliance with our Supplier Code is known as Amazon's Qualification Requirements. Contact us immediately if you have concerns about meeting these standards. Examples of our Qualification Requirements are below, but this is not an exhaustive list:

All workers are of appropriate age

- Workers must be older than 15 years of age or the legal minimum age for employment, whichever is more stringent.

Work must be voluntary

- Workers must not be subjected to any physical or financial punishment (such as withholding wages, financial penalties, recruitment fees).
- Workers must have unrestricted access to their identification documents (for example: passport, work permit, identity card) at all times.
- Workers must be free to access basic liberties (such as toilet, drinking water).
- Workers must be able to terminate their employment with reasonable notice and without penalty

All workers treated equally with respect and dignity

- No worker should be subjected to discrimination, or physical, verbal, or psychological abuse, including threats of violence or sexual harassment.

Freedom of association

- Workers must not be threatened, terminated, or otherwise retaliated against for the non-violent exercise of their right to establish, join, or refrain from joining legal organizations

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- Suppliers must provide authentic and reliable records (for example: worker's attendance, payroll) for review.
- Auditors must be able to interview workers without restriction and without retaliation

Protect the environment

- Wastewater must be disposed in accordance with applicable laws. Hazardous substances must be properly disposed.

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Safe working conditions

- Workers must be protected from immediate life-threatening hazards (for example: explosion, fire, building collapse, severe cracks along walls).
- Adequate and functioning fire detection, alarm, and suppression systems must be in place where workers are present (for example: all production areas, warehouses, canteen, and all dormitory rooms).
- All emergency exits must be free from obstruction, and never blocked or locked when anyone is present in the building.
- Workers must be protected from exposure to toxic chemicals and substances that pose a health hazard.
- Machines must have appropriate safeguards to protect workers from injuries.

Country-specific requirements

Licensees and suppliers of Amazon products may not begin work in certain countries without prior review and approval from Amazon. The full list of restricted countries is in [Appendix 3](#).

If you wish to begin producing Amazon's products in one of these countries, please contact your Amazon sourcing team. Sourcing without approval from Amazon may result in immediate termination of the relationship.

Production of Amazon products may not begin in one of these countries until Amazon conducts country-level due diligence with internal and external stakeholders, and a strategy is developed that consists of:

- A risk analysis from global external stakeholders
- A plan to consult with local organizations, (for example; governmental and non-governmental organizations, industry initiatives, civil society groups)
- Supplier commitment to participate in capacity-building and worker engagement programs.

Suppliers in these regions will be subject to enhanced due diligence, including unannounced onsite assessments targeted to particular risks in that country

Throughout the sourcing relationship, Amazon will regularly meet with local organizations and multi-stakeholder initiatives in the region to reduce current and future risks, and **to help build the capacity of local suppliers to meet international standards**.



Amazon believes that **worker-management communication is the foundation of supply chain improvement**. We are committed to working with both suppliers and their workers to improve working conditions.

Audit Requirements

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Audits are a tool to help you identify and address issues in facilities that produce Amazon-branded products. As a potential or active supplier to Amazon and/or one of our subsidiaries, you are required to undergo an Amazon Social Responsibility audit.

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All suppliers must submit an Amazon-approved audit of their facilities before beginning production of Amazon-branded products. You can 1) submit an audit from an approved industry association, or 2) complete an **Amazon Managed Audit**. Learn more about both types of audits [on the next page](#).

We partner with a variety of industry associations; these organizations help you minimize audit duplication, reduce costs, and redeploy resources to address issues and continuously improve.

What to expect during an audit:

- Site inspection of all areas of the site and any living quarters
- Confidential worker interviews or surveys conducted without site management present
- Review and analysis of site documents or licenses to assess workers' age, contracts, compensation, working hours, and workplace conditions
- Identification of past compliance issues, areas for improvement
- Development of a corrective action plan.

You are expected to be transparent and provide auditors with prompt access to your facilities, records, and workers, including temporary and contingent workers. If an audit of your facility uncovers issues, Amazon may conduct announced or unannounced on-site verifications or request additional documentation to track your remediation efforts.

Depending on the issues found, facilities may be assessed multiple times a year, including follow-up assessments to address specific findings. Upon completion of an assessment, you must promptly provide a detailed remediation plan for each issue identified.

We operate on a policy of continuous improvement. Although we reserve the right to terminate a relationship at any time for failure to meet our Supplier Code of Conduct, in most cases, termination will occur when a supplier refuses to cooperate with an assessment, refuses to change behavior or practice, or does not make meaningful progress on remediation. Learn more in the [section about Transparency below](#).

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Take these steps to prepare for an audit:

- ✓ **Understand:** Audits are designed to identify existing and potential issues and make improvements. We expect you to be open and transparent during audits.
- ✓ **Prepare:** Evaluate your facilities and operations to identify gaps between your working conditions and Amazon's standards.
- ✓ **Get help:** Use external resources, complete a self-assessment, and consider engaging an industry initiative (see [Appendix 4](#)).

Accepted Audits

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1. Industry Association Audit

Industry Association Audits are third-party social compliance initiatives and multi-stakeholder programs; they are accepted widely by brands across many industries.

Amazon currently accepts audits from the following Industry Associations:

- amfori BSCI
- Better Work (BW)
- Responsible Business Alliance (RBA)
- Sedex Members Ethical Trade Audit (SMETA)
- SA8000 Standard

These audits must be conducted by specific, internationally recognized independent auditors. More information is in [Appendix 4](#). Please note this list is subject to change. Amazon will not accept facility certifications, seals of compliance, self-assessments, partial reports, or ratings instead of a full audit of the facility.

If you submit an audit conducted by an approved industry association, it must demonstrate that your facility meets our Qualification Requirements. We retain the right to determine whether an audit demonstrates that a facility meets our requirements.

We will review the audit report, and inform you if the results meet our standards. If not, you will need to submit a follow-up audit demonstrating that any findings have been resolved.

Please email amazoncsr@amazon.com for a list of accepted audit firms.

2. Amazon Managed Audit

Amazon Managed Audits are performed by authorized third-party audit firms on Amazon's behalf. Amazon works closely with experienced and qualified auditors to utilize industry and region-specific knowledge to evaluate working conditions.

Before an audit is conducted, Amazon may notify you of the upcoming audit. Amazon reserves the right to conduct audits that are announced, semi-announced, or unannounced with or without prior notification. You can see examples of communications and documentation from our audit process in [Appendices 5-7](#).

Suppliers must grant auditors access to:

- All buildings under business license, including but not limited to production facilities, warehouses, dormitories, canteens, and living quarters.
- Applicable documents (including those for contracted or temporary workers).
- Workers and site management for interviews.

Amazon audits can take a full working day or more, depending on the size of your facility. Facility personnel involved in the audit are expected to be available during the audit. **Upon completion, the auditor will share a Findings Summary with you**, identifying any issues you need to correct immediately. Following the audit, Amazon will send you a request to complete a Corrective Action Plan.

Corrective Action Plans

Overview

A **Corrective Action Plan** (CAP) is a tool to help you understand issues at your facility, and establish a plan to address those issues. A CAP can help you continuously improve your management systems and your own supply chain.

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After we receive and analyze audit results, we will provide a summary of any issues identified in the audit. You are expected to review the results, and develop a CAP that details immediate actions to address high-risk issues, and a long-term plan to prevent issues from reoccurring. **Violations of Amazon's Qualification Requirements must be immediately addressed as a condition of initial and continued production with Amazon.**

Audit Requirements

A CAP includes:

- An explanation of the **root cause** of the issue(s) that lead to non-compliance.
- Any **immediate corrective action(s)** that you need to take.
- Long-term **preventative action(s)** to help prevent similar issues from occurring in the future.
- **Responsible individuals** who will be assigned corrective actions to take and who will be accountable for progress.
- A required **completion date** for the immediate and long-term actions.
- Space to indicate the current status of each item in the CAP, including attaching photo **evidence or documentation**.

Accepted Audits

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We track remediation closely and conduct follow-up assessments as needed. Between assessments, our team directly engages with suppliers to discuss open issues and remediation progress. **To support our supply chain, we have dedicated teams that work directly with suppliers and service providers based in key sourcing countries.**

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We recognize that some issues may take time to effectively remediate. With critical issues, we expect suppliers to show that they are making meaningful progress towards remediation within a defined timeline, based on the issue. During this time we may conduct announced or unannounced on-site verifications, or request additional documentation to track remediation efforts.

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We offer on-site and remote training to support continuous improvement. Suppliers are also encouraged to participate in external training programs, such as industry association tutorials, to learn how to recognize and prevent forced labor, how to comply with wage and working hour requirements, and how to implement management systems. Recommended training programs are included in [Appendix 4](#).

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You must complete and return the CAP to amazoncsr@amazon.com. A sample CAP is included in [Appendix 8](#).

Involve workers in your CAP process:

- ✓ Seek workers' perspectives to identify root causes of issues, and potential solutions.
- ✓ Include worker feedback in the CAP, to help identify sustainable changes and prevent issues from reoccurring.

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We recognize supply chains are complex and difficult to monitor. We ask you to regularly monitor your own supply chain to identify and address risks. And we expect you to hold your own suppliers, subcontractors, and labor agents to the standards covered by our Supplier Code.

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Management systems and risk

Qualification Requirements

Your ability to manage both risks to workers and to your business lies in the strength of your management system. A management system can support productivity while assuring continued compliance with our policies.

Audit Requirements

We recommend a flexible approach to management systems, based on the Plan-Do-Check-Act (PDCA) method. Suppliers can use PDCA methods to identify the environmental, health, safety, and ethical risks associated with their operational and labor practices, and develop processes to control these risks.

Accepted Audits

Suppliers can take the following steps to implement PDCA:

- Know all of the facilities in your supply chain
- Understand your risks and requirements
- Establish clear policies and objectives
- Develop procedures to address any gaps
- Assign responsibility for the procedures
- Train everyone involved (managers and workers)
- Document the procedures and results
- Monitor the results of your procedures, including gathering worker feedback
- Make immediate changes if you find problems
- Review at a senior level to determine if the system is achieving its overall objectives.

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Supplier relationships

We expect suppliers to disclose all relationships, including the use of subcontractors or labor agents, in advance of production.

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You must disclose relationships within your own supply chain where production or related processes are assigned to a party that is different from the site that Amazon has contracted. And you must confirm that any sub-tier suppliers or subcontractors providing direct or indirect products or services for Amazon also comply with our Supplier Code.

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If you are considering whether to use a subcontractor for the production of Amazon products, contact your Amazon business contact for approval.

We reserve the right to audit facilities involved in the production of Amazon products, including facilities that obtain material or component parts, or that contribute to the production process (such as off-site ironing, laundry, embroidery, assembly). Amazon personnel, or auditors that conduct assessments on behalf of Amazon, may request to review relevant documentation to verify a facility's system for ensuring compliance among next-tier suppliers and subcontractors.

Immediate Action and Remedy

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Our Supplier Code is focused on both immediate action and continuous improvement; suppliers are expected to consistently monitor and enforce our standards in their own supply chain, assess their risks, and **make improvements to meet our expectations**.

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We recognize that audits are a snapshot in time and may not identify every high-risk issue. In some circumstances, we may conduct an additional investigation. In these cases, our suppliers are required to meaningfully participate in the investigation, and take immediate action in the event that issues are found.

Key remediation steps:

1. Act fast

In certain situations, Amazon will require production to stop and notify you that you are required to take immediate action. As the supplier or service provider, you are responsible for remediating the violation(s) within the timeline requested by Amazon.

2. Identify the issue

Based on the issues identified, we will provide you with remediation guidance regarding our Supplier Code. This includes steps you can take immediately to correct the non-compliance.

3. Prioritize remediation from workers' perspectives

During our investigations, we prioritize feedback from workers, and work directly with suppliers to examine the issues, jointly investigate the root cause, and jointly develop a remediation plan.

4. Devise an appropriate and complete response

We will work with you to ensure the steps of the remediation plan are consistently met, and will conduct periodic checks to ensure progress is made before resuming production. We'll also provide preventive actions that you can take to reduce the likelihood of future violations.

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Amazon's core remediation principle: Workers at the center.
We put the safety and interests of the affected workers first.

Immediate Action and Remedy

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We are committed to working with our suppliers and subcontractors to foster safe and ethical working environments. However, failure to comply with our Supplier Code and failure to remedy issues within your facilities can jeopardize your business relationship with Amazon.

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Amazon reserves the right to investigate supply chain issues at any point. Recurring violations of our Supplier Code will suggest that suppliers are not making sustainable improvements.

Qualification Requirements

Amazon will make every effort to work with you to remediate an issue, instead of terminating production, in order to improve conditions for your workers. To support you and your workers, Amazon will contribute resources or capabilities as needed.

Audit Requirements

During remediation, Amazon may:

- Suspend orders during the investigation and until the supplier has agreed the remediation plan
- Provisionally resume orders during remediation so long as action plan milestones are met.
- Suspend orders during any delays in meeting milestones.
- Disengage with the facility if the supplier refuses to remediate or fails to make meaningful process.

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Termination will be considered when:

- Supplier refuses to cooperate with an investigation or engage in remediation.
- Supplier does not make progress on a remediation plan.
- Supplier refuses to change behaviors or practices.

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If you have concerns about complying with Amazon's Supplier Code, please email amazoncsr@amazon.com

Transparency

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Amazon expects suppliers to be honest and straightforward in how they conduct their business and treat their workers.

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We do not work with suppliers that are not honest with us. We understand that suppliers may face challenges meeting certain requirements or industry association standards; our ultimate goal is to help committed suppliers improve their workplaces and better protect their workers, even if it takes time. We can support you in developing a mutually-agreed plan of action to maintain compliance with our standards over time.

Audit Requirements

Our transparency standards include sharing actual records related to working hours and wages. You are expected to provide accurate documentation about facility working conditions, including regular and overtime work hours, wages, deductions, and other relevant information.

Accepted Audits

We will not tolerate unethical behavior of any kind by suppliers or their representatives (for example: bribery, corruption, extortion, falsification of records).

During an audit, you will need to grant auditors access to:

- All buildings under business license, including but not limited to production facilities, warehouses, dormitories, canteens, and living quarters.
- Applicable documents (including those for contracted or temporary workers)
- Workers and site management for interviews.

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Failure to allow auditors full access can result in a failed audit. If there are areas that cannot be viewed or records for some groups of workers that cannot be provided due to conditions such as non-disclosure agreements, inform Amazon prior to an audit.

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Transparency requirements:

- ✓ Do not engage in illegal, deceitful, or unethical behavior (for example: bribery)
- ✓ Provide accurate documentation about working conditions
- ✓ Disclose relationships, including labor or recruitment agencies
- ✓ Give auditors access to all buildings, applicable documents, workers, and site management

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We encourage suppliers to move beyond legal and compliance obligations, setting goals and showing progress towards integrating sustainable environmental practices into their operations.

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Suppliers can minimize negative impacts on the environment by implementing systems in their facilities that:

- Understand and minimize energy and water consumption
- Reduce greenhouse gas emissions
- Improve energy efficiency and use cleaner sources of energy
- Minimize waste
- Track, document, and report impacts

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The benefits of the Higg FEM include:

- Identification of your sustainability hot spots, existing level of performance, and improvement opportunities.
- Verified data and scores that you can share with Amazon.
- Benchmarking of your environmental sustainability performance.

The Higg FEM will help you understand the environmental sustainability of your facility, give you clear guidance on hotspots for improvement, and show how you compare to your peers.

Additional support

We encourage you to join multi-stakeholder initiatives that can help you assess inherent risks within your own supply chain, identify high-risk sourcing practices, manage relationships, protect the environment, and collaborate with others to implement solutions.

We also recommend engaging with national institutions in the countries where you operate (such as workers' rights groups, local and national government organizations, manufacturing and consulting services, and civil society organizations).

Many third-party social compliance organizations provide training and guidance for suppliers. We encourage our suppliers to use the resources in [Appendix 4](#) to continuously improve their own supply chains.

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If you have questions or concerns about our Supplier Code, please email amazoncsr@amazon.com

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1. Glossary of terms

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Amazon Managed Audit: An audit of supplier facilities conducted by a third-party audit firm on behalf of Amazon.

Announced audits: The audit notification will be sent to the facility and relevant parties, and the auditor contacts the facility to confirm the contact information of the facility and the date on which the audit will take place.

Audit findings: An issue discovered at the facility of an Amazon supplier, service provider, or subcontractor. Audit findings can be identified through any formal or informal assessment mechanism (for example: site visit, audit, survey).

Corrective Action Plan(CAP): A summary of issues identified in an audit that need to be corrected. Suppliers must review the CAP and implement steps to address immediate issues, as well as develop a long-term plan to prevent issues from reoccurring.

Facility: Any location where Amazon branded products or products designed to Amazon specifications are sourced or produced (including but not limited to the following activities: process, finish, assemble, distribute, or deliver).

Industry Association Audit: An audit conducted by an approved third-party social compliance organization or multi-stakeholder initiative.

Law(s): Any applicable laws, regulations, or rules that apply to a supplier or facility. This includes local and national laws, national regulations and rules, and treaties.

Qualification Requirements: The minimum level of compliance with Amazon's Supplier Code of Conduct that suppliers and facilities must meet to qualify as an Amazon supplier.

Remediation: A demonstration that a violation of Amazon's Supplier Code of Conduct has been corrected and actions have been taken to prevent the issue from reoccurring. Remediation must be demonstrated through an approved verification method determined by Amazon.

Semi-announced audits: The audit notification will be sent to the facility and relevant parties. The auditor will contact the facility to confirm the contact information and agree on a one or two-week window in which the audit will take place. The auditor will not provide an exact date on which the audit will take place.

Subcontractor(s): An individual or a business that signs a contract to perform part or all of the obligations of another's contract.

Supplier(s): An entity that produces, manufacturers, assembles, or provides goods or services that are sold and delivered to Amazon.

Supplier Code: Amazon's Supplier Code of Conduct, which includes requirements and expectations for suppliers in Amazon's supply chain and suppliers supporting Amazon's operations.

Unannounced audits: The facility will not be provided notice of the audit. The auditor may contact the facility to provide notice that an audit will be conducted in the future, but not provide a specific date.

Worker: The primary rights holder in a facility, employed on a full-time, part-time, temporary, or contractual basis by a supplier or service provider.

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2. Frequently asked questions

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How do I know if I need to pass an audit before working with Amazon?

All facilities must submit an Amazon-approved audit before beginning production for Amazon. We expect all of our suppliers, and their own suppliers and subcontractors, to comply with Amazon's Supplier Code of Conduct. By producing Amazon branded products, or products designed to Amazon's specifications, you are subject to our supplier audit requirements. We may terminate our relationships with any supplier that violates our Supplier Code or that does not cooperate during assessments.

If I have submitted an Industry Association Audit, does that mean I am compliant with Amazon's standards?

Submitting an Industry Association Audit does not mean that the audited site meets Amazon's social responsibility standards. Amazon will review the report to determine compliance. Your Amazon Business Partner will let you know if the results of your Industry Association Audit do not meet Amazon's standards, in which case, you will be asked to go through a new Industry Association Audit or an Amazon-Managed Audit to ensure the findings have been resolved.

If my industry association audit is approved, do I have to go through an Amazon Managed Audit as well?

Amazon will accept some Industry Association Audits if they meet our requirements, instead of conducting an Amazon Managed Audit. However, Amazon maintains the right to conduct assessments at any time.

How long will the audit process take?

The length of the audit depends on the size of the facility that is being assessed and number of workers interviewed. Audits will take at a minimum one full working day.

How soon will I need to respond to audit findings?

If any issues are identified during the audit that need to be remediated, you will receive a CAP from Amazon. You must complete the CAP and return it to Amazon within the specified timeframe. If any critical issues are identified, we expect suppliers to show that they are making meaningful progress towards remediation within a defined timeline, depending on the issue.

Where can I get more information?

Visit the [Amazon Sustainability website](#) to learn more, or contact your Amazon Business Partner if you have questions about recent or upcoming audits.

To contact Amazon's Social Responsibility team, please email amazoncsr@amazon.com.

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3. Country-specific sourcing requirements

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Amazon has additional sourcing requirements for the following countries:

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| Afghanistan | Equatorial Guinea | Mozambique |
| Algeria | Eritrea | Myanmar |
| Angola | Ethiopia* | Niger |
| Bangladesh* | Gabon | Nigeria |
| Burundi | Guinea | Pakistan |
| Cameroon | Guinea-Bissau | Somalia |
| Central African Republic | Haiti* | South Sudan |
| Cambodia* | Iraq | Tajikistan |
| Chad | Lebanon | Togo |
| Comoros | Liberia | Turkmenistan |
| Congo | Libya | Zimbabwe |
| Djibouti | Madagascar | Uzbekistan |
| DR Congo | Mali | Venezuela |
| Egypt | Mauritania | Yemen |

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* Better Work participation required for eligible facilities.

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amfori BSCI

amfori is a business association for open and sustainable trade, bringing together over 2,300 retailers, importers, brands, and associations from more than 40 countries.

- Main website: www.amfori.org
- Supplier portal: www.amfori.org/content/amfori-bsci-platform
- e-Learning portal: www.amfori.org/content/login-learn-and-thrive-join-amfori-academy

Recommended training:

The amfori Academy offers a wide range of training, such as workshops and e-learning. We recommend the following:

- Getting Started with amfori BSCI
- Introduction to Social Management Systems
- Occupational Health and Safety
- Drafting a Remediation Plan
- Fair Remuneration and Decent Working Hours

Better Work

All eligible suppliers in Bangladesh, Cambodia, Ethiopia, and Haiti must enroll in the Better Work Program. We also encourage all suppliers located in countries where Better Work operates to enroll (Bangladesh, Cambodia, Ethiopia, Haiti, Indonesia, Jordan, Nicaragua, and Vietnam)

- Main website: betterwork.org
- Supplier portal: betterwork.org/our-work/factory-services
- e-Learning portal: betterwork.org/our-work/training

Recommended training:

Better Work offers training courses in areas such as communication, negotiation and supervisory skills, industrial relations, occupational safety and health and harassment prevention. Training focuses on helping participants solve real world issues in a practical way.

Risk assessment tools

- **amfori BSCI platform:** Provides an overview of supply chains to reduce duplication of efforts, save money, and help identify improvements.
- **Auditing Integrity Programme:** A comprehensive and independent acceptance process for audit companies to engage with amfori BSCI activities.
- **Country Due Diligence tool:** Helps members understand their supply chain and manage any potential risks.

Factory Service Package

Better Work offers the Factory Service Package in Bangladesh, Cambodia, Haiti, Jordan, Indonesia, Nicaragua and Vietnam.

Factories enrolled in Better Work go through a learning process, including assessments, advisory services, industry seminars, and training.

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4. Industry and multi-stakeholder initiatives

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To help you meet and exceed our standards, we recommend the following resources, programs, and tools provided by industry associations and multi-stakeholder initiatives. The information below may change.

Responsible Business Alliance

RBA, formerly the Electronic Industry Citizenship Coalition, is a nonprofit comprised of electronics, retail, auto, and toy retailers and suppliers that collaborate to improve working and environmental conditions.

- Main website: www.responsiblebusiness.org
- Supplier portal: www.rba-online.org
- e-Learning portal: rbaacademy.litmos.com/account/login

Recommended training:

RBA members can utilize a range of RBA training and assessment tools. We recommend the following to start:

- RBA Code of Conduct
- Assessments and Remediation 1: Factory Assessments
- Assessments and Remediation 2: Transparency and Ethics
- Assessments and Remediation 3: Corrective Action Plans

Risk assessment tools

- **Training events:** RBA hosts global outreach events and in-person trainings, and members can subscribe to the events bulletin.
- **Responsible Factory Initiative:** Provides a unifying architecture for RBA factory-level tools and programs for companies looking to assess and develop their supply chain at all levels of maturity.

Sedex

Amazon only accepts Sedex audits conducted by approved audit firms. Email amazoncsr@amazon.com for a list of accepted audit firms.

Sedex is a global membership organization that provides tools, services, guidance, and training to help suppliers map and manage risks in their supply chain. Sedex has over 55,000 members in over 180 countries, across 35 industry sectors.

- Main website: www.sedexglobal.com
- Supplier portal: www.sedexglobal.com/join-sedex/supplier/
- e-Learning portal: www.sedexglobal.com/our-services/sedex-training/

Recommended training:

- Introduction to SMETA
- Training for buyers
- Training for suppliers
- Training for auditors

Risk assessment tools:

- SMETA Audit: Audit methodology designed to help auditors conduct high quality audits.
- Sedex Advance: One of the largest collaborative ethical data platforms for buyers, suppliers, and auditors.
- Suppliers who join Sedex can also access members-only tools

Appendices

5. Sample audit agenda

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Audit
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Audits

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Agenda item

Length

- | | |
|--|------------|
| 1. Opening meeting: Discuss the audit process and review the Expectations for Supplier and Auditor Conduct document. | 30 minutes |
| 2. Facility walk-through: Tour of facility (all production areas, warehouses, canteens, dormitories). Auditors take photos during this tour. | 1-2 hours |
| 3. Management and worker interviews: Confidential interviews with workers, including direct and indirect workers (typically 10-25, or at auditor's discretion). | 2-4 hours |
| 4. Document review: Prior to audit you will receive a list of records and/or documents from the auditor for review during this time. | 2-3 hours |
| 5. Closing meeting: Auditors will meet with facility management to review preliminary findings and discuss next steps. | 30 minutes |

6. Sample notification of assessment

From: amazoncsr <amazoncsr@amazon.com>
Sent: [DATE] | [TIME]
To: [SUPPLIER EMAIL]
Cc: [SUPPLIER EMAIL]
Subject: Amazon Social Responsibility Initial Audit Notification | A-##### | [COMPANY NAME] | [FACILITY]

Dear Supplier,

As a potential or existing supplier to Amazon.com, LLC and/or one of our associated subsidiaries, your facility is subject to a Social Responsibility (SR) audit. One of Amazon's external audit firms will be emailing you within the next few days to schedule the audit, so please respond to them in a timely manner. Upon receiving this email, please take the following actions:

Step 1: Confirm information for the facility that will be audited. Please review the table below, and let us know if any corrections are required.

Step 2: Review important audit preparation materials.

- Carefully read the attached SR Audit Guidance to understand overall audit scopes and expectations.
- Refer to pages 4 and 5 of the SR Audit Guidance for examples of non-conformances that can affect your status to qualify for or continue working with Amazon.
- Watch the 'Get Started with Amazon SR' videos (see the attached SR Online Learning schedule)
- We encourage you to take a quick [Self-Assessment](#) before the audit, to identify gaps between your current practices and Amazon's SR standards. Our data shows that 86% of suppliers who completed similar pre-assessments were able to address gaps found before their audits.

| | CURRENT INFORMATION | NEW INFORMATION |
|---|---------------------|-----------------|
| Business Name of Facility to Be Audited | [NAME] | |
| Location of Facility To Be Audited | [LOCATION] | |
| Amazon Audit Reference Number | A-##### | |
| Name Of Contact | [NAME] | |
| Email of Contact | [EMAIL] | |
| Telephone Number Of Contact | [PHONE NUMBER] | |

If you have questions regarding the SR audit or the SR program at Amazon, please respond to this email amazoncsr@amazon.com.

Regards,
Amazon Social Responsibility

Appendices

7. Sample audit documents checklist

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This list is intended to assist suppliers to assemble records and documents required for an audit. The confidentiality of all proprietary information will be respected. Original documents should be made available during the audit for all workers, including contract and temporary workers.

Business documents:

- Business/industry license, registration, permit, and/or certificate
- Government inspection reports/permits (such as sanitation, fire safety, structural safety, environmental compliance)
- Summary list of registration and inspection certificate of special equipment (for example: crane, elevator, generator, boiler, pressure vessel, forklift), and the operator's certificate
- Other documents (if applicable) related to vendor/subcontractor contracts (such as canteen, security, facilities)

Facility Policies and Procedures

- Facility rules/employee handbook
- Policies regarding hiring/recruitment, child labor, wages and working hours, disciplinary, benefits and allowances, discrimination and harassment, grievance, freedom of association, health and safety, environmental, and training

Employee Documentation

- Employee personnel files (such as employment application, labor contracts, disciplinary notices, copies of identification documents, work permits, resignation records)
- Worker registration and health check records (if applicable)
- Proof of age for apprentice/intern/student workers (if applicable)

Payroll & Attendance Documents

- Payroll records, and time records (regular and overtime) including government waiver/overtime permit, piece rate records for the past 12 months (including peak period, low period, and the most recent period)
- Piece rate records and production records (such as daily production report, product inspection report)
- List of legal holidays
- Earned leave and casual leave records for the last two years
- Records of social insurance contribution
- Records of employee benefits (for example: annual leave, maternity leave)

Freedom of Association

- Legal organization agreement or other documents (such as meeting records)

Environmental Health and Safety (EHS)

- Facility layout or evacuation plan
- EHS manual and/or written EHS programs
- EHS Committee records (agendas, minutes)
- EHS training records (such as personal protective equipment, chemical safety)

Health & Safety

- Workplace safety and equipment related permits/licenses/testing reports
- Equipment inspection/service logs
- List of chemicals used and hazardous processes
- Safety data sheets (SDS)
- List of required personal protective equipment
- Testing, inspection, and maintenance records for fire suppression equipment
- Fire drill records, fire inspection reports
- Emergency action procedures (such as an Emergency Response Plan)
- Records of occupational injury and illness
- Records of industrial hygiene monitoring (such as chemical exposure, air contaminants, noise, temperature, lighting, indoor air quality)
- Employee medical examination records (if applicable)
- Records of drinking water analysis/testing
- Cafeteria license and food service personnel health records (if applicable)

Environmental

- Environmental impact assessment and project completion acceptance report and approval
- Annual monitoring and reporting records (if applicable)
- Air emission permit and monitoring records
- Wastewater discharge permit and monitoring records
- Records of hazardous waste disposal and inspection
- Pollution control board's approval/consent

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8. Sample Corrective Action Plan

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Knowing and understanding the root cause of a non-compliance issue will help you identify the best corrective actions to address immediate issues, and prevent them from reoccurring. When you review audit results and create a CAP, ask yourself the following:

- **Knowledge:** Did the problem occur due to lack of awareness or knowledge?
- **Assignment:** Did the problem occur because responsibility was not clearly assigned?
- **Tools:** Did the problem occur because of appropriate tools are not available?
- **Training:** Did the problem occur due to lack of proper training?
- **Accountability:** Did the problem occur because of a lack of accountability?
- **Resources:** Did the problem occur due to insufficient resources such as budget or space?

Here's an example of a CAP:

| Findings Description | Primary Root Cause of Issue | Root Cause Details | Immediate Corrective Action | Long-term Preventative Action | Responsible Individual | Planned Completion Date | Actual Completion Date | Status | Status Details |
|--|-----------------------------|--|--|--|------------------------|-------------------------|------------------------|-------------|--|
| 3 out of 5 workers in painting section were not wearing face mask when working with corrosive chemicals. | Lack of Training | Although general health and safety training was provided to all workers, specialized training for workers using hazardous chemicals was not provided. | <ul style="list-style-type: none">We immediately informed workers about the need to wear protective equipment.We described the equipment, and demonstrated how to use it. | <ul style="list-style-type: none">We designated John to monitor how workers used PPE and when it was not used.We will provide training to all new workers as well as every 6 months to workers who interact with hazardous chemicals. | [Name] [Title] | [Date] | [Date] | In Progress | Informed workers and trained them to use the equipment. Committed to monitoring. See training log in attachment. |
| Workers worked an average of 72 hours per week, in excess of Amazon's 60-hour per week standard. | Lack of Policy or Procedure | No policy in place to limit overtime hours and no procedure for Production Department and HR to communicate on resource needs. | <ul style="list-style-type: none">HR communicated 60-hour per week limit to workers and supervisors and will review attendance recording procedure this week to ensure all overtime is voluntary and working hours are properly recorded.Hire temporary workers by end of the month to assist with meeting demands until peak is over and production plan can be revised. | <ul style="list-style-type: none">Production Department to analyze the production plan and arrange the production time in a reasonable way, so as to reduce overtime hours.HR to establish work overtime management policy and work with Production Department to train management and workers about why and how to reduce overtime hours.HR department to track overtime hours per week and report excessive hours to Production Department to analyze root causes and improve. | [Name] [Title] | [Date] | [Date] | In Progress | HR communicated the working hours limit to managers and workers, the temp workers have been hired, long-term action still ongoing. See photo of working hour notice as attachment. |
| Occupational health checks were not conducted for newly hired workers working in hazardous conditions. | Lack of Accountability | We recently hired a new HR Manager but did not designate him responsible for ensuring occupational health checks for new workers. HR Manager thought this was handled by Safety Officer. | <ul style="list-style-type: none">HR to schedule occupational health checks for newly hired workers by end of the month. | <ul style="list-style-type: none">Assign HR Manager to be responsible for ensuring occupational health checks for new workers.HR Manager to review and update occupational health check policy and recordkeeping procedures.Update Health and Safety training for workers and supervisors to include information on occupational health checks. | [Name] [Title] | [Date] | [Date] | Complete | See occupational health check record attached. |