



UL's Responsible Sourcing Workplace Assessments (RSWA)

Enhanced management systems and environment

Assessment basis

Findings from UL's Responsible Sourcing Workplace Assessment are based on:

- Specific laws and regulations within assessment scope
- Relevant international standards
- Minimum recommendations, based on industry standards
- Client's code of conduct, as applicable

UL's assessment findings are identified through visual observation, worker and management interviews, and documentation review conducted by auditor(s) on the date(s) of the facility on-site visit.





Assessment areas and scope

Physical areas covered under the scope of the Responsible Sourcing Workplace Assessment and Enhanced Management Systems and Environment include:

- Production areas
- Storage areas
- Living and eating areas for non-management employees

UL's Responsible Sourcing Workplace Assessments Scope

| Labor practices | Health and safety | Environmental responsibility |
|---|---|---|
| <ul style="list-style-type: none"> • Abuse, coercion, harassment, disciplinary action • Benefits • Child labor, young workers, apprentices/ trainees • Discrimination • Forced, bonded, indentured, slave, prison labor • Freedom of association and collective bargaining • Hiring and termination • Remuneration • Working hours | <ul style="list-style-type: none"> • Abuse, coercion, harassment, disciplinary action • Accidents • Chemicals and hazardous materials • Electrical • Emergency • Equipment safety • First aid • Personal Protective Equipment (PPE) | <ul style="list-style-type: none"> • Air emissions • Noise pollution • Waste • Water and wastewater |
| <p>Also included: Facility supply chain profile, ethics and business integrity and management systems</p> | | |

Responsible Sourcing Workplace Assessments can be executed as:

- Initial/annual – full scope assessment
- Re-audit – full scope assessment which addresses previous findings
- Verification – assessment focusing only on specific findings identified during a previous assessment. Where applicable in this service description, information will be added to cover special circumstances pertaining to verification assessments.



Assessment duration

UL's Responsible Sourcing Workplace Assessment and Enhanced Management Systems and Environment begins at two days, which allows for sufficient time for auditor(s) to execute the scope and methodology of the assessment.

Employee headcount will be required prior to scheduling to determine auditor-days needed for assessment.

UL recommends that additional auditor-days be allocated for assessments of facilities with a workforce greater than 500 employees to allow for a thorough assessment including additional employee interviews and a longer walkthrough of the facility compound.

| Assessment duration | |
|------------------------------|------------------------|
| Number of facility employees | Number of auditor days |
| 1 – 500 employees | 2 |
| 501 – 1,999 employees | 3 |
| >2,000 employees | 4 |

Common duration of verification assessments is one auditor-day. Should the number and severity of findings indicate a verification assessment scope that goes beyond one auditor-day, UL shall advise the client on the extended auditor-day requirements and maintain the right to extend the duration of the assessment.

Benefits of UL's Responsible Sourcing Workplace Assessments

| | |
|--|--|
| Institutional knowledge | With over 25 years in the social auditing industry and over 200,000 assessments conducted, UL's Responsible Sourcing group leverages its institutional knowledge and on-the-ground insight to help clients obtain valuable information on workplace conditions within their supply chain. |
| Turn-key implementation | Standardized protocols, assessment procedures and reporting tools allow our global network of auditors to swiftly and effectively execute assessments, without the need for additional auditor training and program setup. |
| Scope and methodology | The areas evaluated as part of the assessment (scope) and the protocols followed in the field (methodology) of the RSWA are benchmarked against key industry frameworks such as: Global Social Compliance Program (GSCP), Sedex Members Ethical Trade Audit (SMETA), Responsible Business Alliance (RBA), International Labor Organization (ILO) conventions and recommendations, and the assessment guidelines set by the International Federation of Inspection Agencies (IFIA). |
| Quality and consistency | UL's Responsible Sourcing Workplace Assessment provides the platform for uniform assessment execution across countries and industries. Auditor guidance helps ensure clarity regarding the interpretation of questions that make up the assessment tool. All assessment reports are subject to a thorough review process to help ensure consistent report quality worldwide. |
| Auditor experience and training | UL's social assessments are conducted by professionals with college degrees in related fields, as well as specialized skills in conflict management, investigative techniques, and gathering and handling sensitive information. Auditors are evaluated in the field on an ongoing basis to ensure strict adherence to assessment guidelines. |
| Commitment to integrity | All auditors follow a statement of integrity that addresses bribery and unethical behavior during the assessment. This statement is presented to the facility and signed by both parties at the start of the assessment to ensure mutual acceptance of UL's integrity standards. |
| Continuous improvement | UL continually reviews and enhances the scope and protocols that make up the RSWA, keeping our clients abreast of industry trends and changes in prevailing standards related to social responsibility. |

For more information, please contact your local UL representative, rsinfo@ul.com or visit CRS.UL.com.



Empowering Trust[®]

UL and the UL logo are trademarks of UL LLC © 2020.