

SMETA Audit Preparation / SEDEX 成員道德貿易稽核

Scope of Audit / 审核范围

Dear Sir/Madam,

SMETA audit is based on Ethical Trading Initiative (ETI) Base Code, local laws and regulations, including, but not limited to the following:

SEDEX 成員道德貿易稽核是基于道德貿易聯盟基本准则及当地相关法规条例的审核，它包含但不限于以下内容：

Clause Number	Clause Title
0	Management systems and code implementation 管理系统和基本准则实施
1	Employment Freely Chosen 自由择业
2	Freedom of Association 结社自由
3	Safety and Hygienic Conditions 安全和卫生
4	Child Labour 童工
5	Wages and Benefits 薪酬福利
6	Working Hours 工作时间
7	Discrimination 歧视
8	Regular Employment 正规雇佣
8A	Sub-Contracting and Homeworking 分包和家庭工作
9	Harsh or Inhumane Treatment 苛刻或不人道的待遇
10A	Entitlement to Work 工作权益
10B4	Environment (4-pillar) 环境 4-模板
10C	Business Practices 商业道德

The audit will consist of an on-site factory tour (warehouse, production area, dormitory area, toilets, canteen & kitchen), document review and worker interviews.

审核包括现场工厂参观（仓库、生产区、宿舍区、厕所、食堂和厨房）、文件审查和工人访谈。

Please make sure all production processes are running and related managers/supervisors are available during audit day. You need to provide the related evidence or document to auditor when conducting audit. See Document List for further details.

请确保审核期间所有生产流程正常运行，同时保证相关管理人员届时可以顺利参加审核。在进行审核时，您需要向审核员提供相关的证据或文件。有关详细信息，请参阅文档列表。

As part of the audit the auditor will take photographs during the production process / document review and photograph any non-compliances that are found during the audit.

作为审核的一部分，审核员将对生产过程及其他审核相关文件拍照，并对审核期间发现的任何不合规情况拍照。



Fire Hose Testing 消防
水带测试



Non-compliance: No
secondary containment
for chemicals 化学品没
有二次容器



Non-compliance: Inward
opening door + no
emergency light 内开门+
无应急灯

Typical audit structure 典型的审计结构:

Procedure, Department or Function 内容	Key contact(s) 相关责任人
Opening meeting 首次会议: - Validate information provided before audit 验证审核前提供的信息 - Introduce the activities of the day 审核流程简介 - Get an introduction of factory 工厂简介	All factory Management 工厂管理层团队
Factory tour 现场审核: - Assess working environment 评估工作环境 - Health & Safety Tour 职业健康与安全	H&S Manager Production Manager 生产经理及职业健康安全经理
Lunch 午休:	
Document Review and Management Interview 文审及管理层面谈 - Get objective evidence of compliance and non-conformity 获得合规和不合规的客观证据	HR/Admin Manager H&S Manager Production Manager 人事经理, 生产经理及职业健康安全经理
Workers Interviews 员工访谈 - Individually and in focus groups 一对一或者小组访谈 - Confidential and without presence of management 保密且没有管理层在场	Workers 员工 Auditor 审核员
Preparation for closing meeting 末次会议准备 - Prepare the Corrective Action Plan (CAP) 完成纠正行动计划 (CAP) - Review potentially forgotten documents 查看可能被遗忘的文件	Auditor alone 审核员
Closing meeting 末次会议 - Present findings of the audit (compliance/Non-compliance) 讨论审计结果 - Signing CAP/CAR with factory 确认并签收纠正行动计划	Factory Management Auditor 工厂管理层及审核员

The length of the audit is dependent on the number of workers in the factory and the number of auditors. 审核的时间长短取决于工厂的工人人数和审核员的人数。

Please prepare in advance of the audit 请在审核前提前准备:

	Document
1	Factory profile/Employee No.& structure/Production Capability/ (Brands)Marketing 工厂简介 /员工人数&结构/生产能力/ (品牌) 市场营销状况
2	Organization chart 组织结构图
3	Factory floor plans 工厂平面图
4	Business license 营业执照
5	Employee manual/handbook, Factory rules & regulations/ Disciplinary practices policy and Records 员工手册/手册、工厂规章制度/纪律处分政策和记录
6	Dormitory regulations 宿舍规定
7	Recruitment policies & procedures 招聘政策和程序
8	Employees' personal files/ Employment registration/roster (all employees) 员工个人档案/就业登记/名册 (所有员工)
9	Labour contracts- all employees (Permanent, Temporary, Migrant, Agency) 劳动合同 – 包括所有员工 (永久、临时、移民、代理)
10	Young worker health examination & health examination records, (if applicable) 青年工人健康检查和健康检查记录 (如适用)
11	List of young workers/ registration approval from local labour bureau/regulations on shift arrangement for young workers 青年工人名单/当地劳动局登记批准/青年工人轮班安排规定
12	Leave/ Holiday records 休假/假期记录
13	Resignation records 辞职记录
14	Awards & Penalty Records/Warning notification letters 奖罚记录/警告通知信
15	Meeting minutes of Union/Selection program and Responsibility of workers' Rep./Complaint& handling Record 工会/选拔程序的会议记录和工人代表的责任/投诉和处理记录
16	Timecards/attendant records (12 months) 考勤卡/工时记录 (12个月)
17	Leave records (Paid annual leave/Maternity leave/Marriage & Funeral leave) 休假记录 (带薪年假/产假/婚丧假)
18	Consolidated working hours permit by local labour bureau/Extended Overtime Hours Waiver, if applicable 当地政府颁发的综合工作时间许可/延长加班时间豁免 (如适用)
19	Legal/ Local official minimum wage Document 法律/当地官方最低工资文件
20	Payroll records with employees' signatures (12 months) 带员工签名的工资记录 (12个月)
21	Production records of piece rate workers/Piece rate records 计件工人生产记录/计件记录
22	Wage deduction records 工资扣除记录
23	Social security insurance (injury / retirement / medical / unemployment etc.) payment receipts/ invoice/Approval from local government/Registration certificate/personnel list 社保 (工伤/退休/医疗/失业等) 缴费单/发票/当地政府批复/登记证/人员名单
24	Health & safety policy/ Regulations and rules 健康与安全政策/法规和规则
25	Certificate of Inspection for Completed Building Construction/ Registration Records 建筑竣工验收报告/登记记录检验证书
26	Fire-Fighting Acceptance Inspection Certificate/ Report 消防验收合格证
27	Safety officer Certificate 安全员证书
28	Security guard regulation & job description/security guard certificate 保安员规定和职位描述 /保安员证书

29	Fire drill program & records and fire evacuation plan & procedure (including pictures) 消防演习计划和记录以及火灾疏散计划和程序（包括图片）
30	Sanitation Permit for Kitchen/ Health Certificate of kitchen employee 厨房卫生许可证/厨房员工健康证明
31	Trained first aider certificate(s) 急救员证书
32	Qualified certificate of doctor or nurse (if applicable) 医生或护士的合格证明（如适用）
33	Accident, injury reports & records/Precaution Measures on Reoccurrence 事故、伤害报告和记录/纠正预防措施
34	Register of elevator & lift and annual inspection Certificate 电梯和电梯登记簿和年检证书
35	Register of pressure vessels & boilers and annual inspection certificate 压力容器、锅炉登记簿及年检证书
36	Specialized safety training certificate (Valid safety operation certificate of Lift / Forklift vehicle/Qualified Electrician/ Electric welding operator certificate/Operator certificate of boiler) 专业安全培训证书（电梯/叉车有效安全操作证书/合格电工/电焊操作员证书/锅炉操作员证书）
37	List of chemical / Approval certificate of chemical warehouse/register & storage record 化学品清单/化学品仓库批准证书/登记及储存记录
38	Chemical Safety Precaution Measures/MSDS (material safety data sheet) of dangerous chemicals 危险化学品安全预防措施/MSDS（材料安全数据表）
39	Dangerous chemical waste handling contract/transport records 危险化学品处理合同/运输记录
40	Qualified certificate for the keeper of dangerous chemicals warehouse 危险化学品仓库管理员资格证
41	The hazardous elements (air quality and noise etc.) evaluation report for Workplace 工作场所所有害因素（空气质量和噪音等）评估报告
42	Employees' occupational health examination reports/certificates 员工职业健康检查报告/证明
43	Meeting minutes of union/Selection program and Responsibility of workers' Rep./ Collective Bargaining Agreements (CBA) 工会/选拔计划的会议纪要和工人代表/集体谈判协议 (CBA) 的责任
44	Documents proved workers' legal right to work including immigrant & migrants & employment agency staff, if applicable 证明工人合法工作权利的文件，包括移民、移民和职业介绍所工作人员（如适用）
45	Social accountability policy/ Management system/ periodic internal audit records 社会责任政策/管理体系/定期内部审计记录
46	Subcontractors list/ monitoring records on sub-contractors' social responsibilities performance 分包商名单/分包商社会责任表现监测记录
47	Homeworkers' name list/ monitoring records on homeworkers proved to be compliant with social responsibilities, if applicable 家庭工人的名单/家庭工人的监控记录证明符合社会责任（如适用）
48	Environment evaluation report 环境评价报告
49	Emergency action procedures 应急行动程序
50	Environmental System Policy/ Procedure 环境保护政策/程序
51	Business Integrity Policy/Procedure 商业诚信政策/程序
52	Business Integrity Training Records/Investigation Reports 商业诚信培训记录/调查报告
53	Agreement on Business Integrity with Suppliers 与供应商的商业诚信协议