

ETHICAL AUDIT STANDARD AND SCOPE

[社会责任审核标准及范围]

Dear Sir/Madam,

This Ethical Audit (EA) is based on SA8000 standards, customer's requirements, etc., including, but not limited to the followings:
本次审核基于 SA8000 的标准体系和客户的要求，包括但不限于以下内容：

Part A Social Grid 社会责任

1. Health & Safety 健康与安全
2. Child Labour & Young workers 童工与未成年工
3. Forced Labour 强迫劳工
4. Working Hours 工作时间
5. Wages & Benefits 薪酬与福利
6. Workers' Rights 劳工权益
7. Management system 管理系统
8. Anti-Corruption 廉政建设

Part B Environmental Protection 环境保护

Part C Supplier Transparency 供应商管理

The audit will consist of on-site factory tour (warehouse, production area, dormitory area, canteen & kitchen), document review and interview. 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. For details pls. refer to attached Document List and General Audit Plan.

本次审核由现场审核（包括原料、成品仓库、生产区、宿舍区、食堂及厨房等）、文件审核和员工访谈组成。请工厂确保在审核当天所有生产工序在有效进行中，相关经理和主管能够在现场解答审核员的疑问，相关的文件资料能够提前提供给审核员进行审核。具体内容请参考附页《社会责任审核文件清单》和《社会责任审核计划》

Please note that we are not authorized to provide any checklist to factory.

请知悉，我司未经客户授权在验厂前不向工厂提供任何详细审核内容/审核点。

Hope these can help you.

Thanks!

QIMA Limited

Audit Services Department

DOCUMENTS LIST FOR FACTORY ETHICAL AUDIT [社会责任审核文件清单]

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No. 序号	DOCUMENT	文件
General 一般文件		
01	Factory Floor Plans	厂区/厂房平面图
02	Business License	营业执照
03	Organization Chart	组织架构图
04	Employee Manual on social grid & Factory Rules	员工社会责任手册/厂纪厂规
Part A Social Grid 社会责任		
1. Health & Safety 健康与安全		
05	Risk Analysis Reports on hazardous factors/occupational hazardous factors in production areas and non-production areas.	健康与安全风险/职业健康与安全风险分析与评估报告
06	Health & Safety Representative Appointment Document Or Certificate/training records For Safety Representative	健康安全管理者代表任命书或安全主任证书/培训记录
07	Health And Safety Training Records (New Workers/Changing Workstation)	健康安全培训记录 (新员工/换岗)
08	Daily cleaning records and facilities inspections log at production areas / accommodation areas / toilets	生产区/生活区/洗手间清洁及设施维护记录
09	Chemical/Hazardous Materials Using/Handling Procedure & Training Records	化学品使用指南/人员培训记录
10	Personal Protection Equipment Guidelines/Training Records	劳动保护用品(PPE)使用指南/培训记录
11	Machine Operation Training Records /Certificates	机器操作培训记录/证书
12	Accidents/ Injuries Records	工伤记录
13	Anti-Alcohol & anti-drugs policy	反吸毒及反酗酒政策
14	Test Report Of Drinking Water (Non-Bottle Water)	饮用水测试报告 (非桶装水)
15	Register/Certificate Of Medical Staff (If Applicable) First Aider	医务人员 (如适用) /急救员证书
16	Using and regular inspection records for First aid supplies	急救药品使用日志及定期检查记录
17	Building Construction Report/ Certificate	建筑工程竣工验收报告/证明
18	Building Fire Inspection Certificate	建筑设施消防验收合格证 (厂房/宿舍)
19	Inspection/Maintenance Records Of Fire Extinguishing Systems	消防设施检查/维护保养记录
21	Fire Drills Records/Photos with Date for last 12 months	消防演习记录/照片 (含有日期, 最近一年的记录)
22	Fire/Evacuation Procedures	紧急预案/紧急疏散程序
23	Evacuation Plan	疏散图
24	Regular inspection/ registration for special equipment (elevator/boiler/Forklift/pressure vessels, etc.) &	特种设备(电梯/ 锅炉/叉车/起重机/压力容器)安检报告/使用许可证
25	Specialized safety training certificate (electrician/ welder/ Elevator operator/forklift drivers, etc.)	特种作业人员操作证(电工/焊工)/特种设备操作工证(电梯/ 锅炉/叉车/起重机/压力容器)
26	Maintenance/Inspection Records For Machine	机器设备维护保养/检查记录
27	Security Instructions (For All Machines)	机器安全操作指引
28	Training records for operators of machines	机器设备操作工培训记录
29	Regular health checkup for occupational disease	职业病定期体检报告
30	Material Safety Data Sheet of chemicals	化学品的物质安全资料表
31	Training records for the designed employees who handling hazardous materials	危险化学品指定使用人员的培训记录
32	Hygiene Permit/Health Certificate for kitchen staff	食堂卫生许可证/厨工健康证

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2. Child Labor & Young workers 童工与未成年工		
33	Employees' Personal Files/Roster	员工档案/花名册
34	Labour/Employment Contract (including all permanent employees, temporary workers, contract/contingent workers, migrant workers, etc.)	劳动合同 (所有员工)
35	Personnel file (all employees)	人事档案(所有员工)
36	Local Minimum Work-age Standard	当地最低工作年龄标准
37	Recruitment Policies & Procedures	招工政策/程序
38	Child Labor Policy	禁止使用童工规定
39	Young Worker Registration & Health Certificate/ Record (If Applicable)	未成年工登记证/体检记录 (若有未成年工)
3. Forced Labor 强迫劳工		
40	Policy on anti-forced labor	反强迫劳工政策
41	Termination procedure and records	员工离职程序与记录
4. Working Hours 工作时间		
42	Local legal standard on regular working hours Standard and overtime hours	当地正常工作时间和加班限制的法规要求和标准
43	Time Cards/Attendant Records (Last 12 Months)	考勤记录(最近 12 个月)
44	Overtime Permit Consolidated Working Hours Permit By Local Labor Bureau/Extended Overtime Hours Waiver (If Applicable)	综合计时批文/加班批文 (如有)
45	Policy on working hours & breaks (including working schedule, rest, legal vacation, national holidays and paid leaves, etc.)	员工休息休假政策(包括工作时间、休息、法定假及法规规定的其它带薪假等)
46	Applications and Records of legal vacation, national holidays and paid leaves taken by employees	法定假及法规规定的其它带薪假的申请及休假记录
5. Wages & Benefits 薪酬与福利		
47	Local Minimum Wages Standard	当地最低工资标准
48	Local living wages standard (if applicable)	当地生活工资标准(如适用)
49	Calculation on living wages for employees (if applicable)	员工生活工资计算与评估(如适用)
50	Payroll Records (Last 12 Months)	工资记录 (最近 12 个月)
51	Payment records for termination employees (Last 12 Months)	离职员工的工资支付记录 (最近 12 个月)
52	Pay slip	工资条
53	Piece Rate Record(s) of last 12 months (If Applicable)	计件工人最近 12 个月的计件单 (若有计件工人)
54	Social Insurance Purchase Record	社保的发票/证明
55	Payment records of legal vacation, national holidays and paid leaves	法定假及法规规定的其它带薪假的薪资支付记录
56	Records of reasonable and legal deductions (if any)	合理及符合法规要求的扣款记录 (如有)
6. Workers' Rights 劳工权益		
57	Legal permit/license/procedures for trade unions/ bargain committee (if any)	工会/谈判委员会的相关法规文件/程序文件
58	Election records of workers representatives	员工代表选举记录
59	Regular meeting minutes of workers representatives/bargain committee	工会/谈判委员会的定期会议记录
60	Anti-discrimination policy	反歧视政策
61	Records of disciplinary actions	纪律惩戒记录
62	Written disciplinary rules	纪律政策
63	Work permit for migrant worker (if applicable)	外籍劳工工作许可 (如适用)
7. Management system 管理系统		
64	LVMH suppliers Code of Conduct (for Tier 1 only)	LVMH 供应商守则(一级供应商适用)
65	Internal management policy (social grid)	内部管理政策(社会责任)
66	Own Code of Conduct and regular review log (social grid)	自有行为守则及定期更新记录(社会责任)

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YOUR EYES IN THE SUPPLY CHAIN

67	Management procedure on labour providers (contractors, subcontractors and agencies, etc.) and other business third parties (if applicable)	针对劳务公司及其它商业合作伙伴的相关管理程序 (如适用)
68	Contract with contractors, subcontractors, home workers and other business third parties (if applicable)	与承包商、外包商、家庭劳工或其他商业合作伙伴签订的相关协议 (如适用)
69	Management procedure on labour providers (contractors, subcontractors and agencies, etc.) and other business third parties (if applicable)	针对劳务公司及其它商业合作伙伴的相关管理程序 (如适用)
8. Anti-Corruption 廉政建设		
70	Anti-corruption policy	廉政政策
71	Internal alarm procedure (covering purchasing/accounting, giving/receiving of money/gifts/invitations, benefits, etc.) and records on anti-corruptions	内部廉政管理程序(包含采购、财务、收受贿赂/送礼/邀请/福利等)及记录
72	Reports on anti-corruptions and prevention/corrective action plans	廉政事件记录及跟踪改善记录
73	Approval for using homeworkers/ subcontractors from client (if any)	家庭工人/外包的客户同意书 (如有)
Part B Environmental protection 环境保护		
74	Environmental management system and procedure	环境管理系统及程序
75	External complaints on environmental issues (if any)	外部环境问题投诉 (如有)
76	Environmental Impact Assessment Report (If Applicable)	环境影响评价文件(环评报告书/报告表/登记表)
77	Approval Report Of Environmental Impact Assessment	环境影响评价文件审批
78	Environmental check and acceptance report	环保竣工验收报告
79	Pollutant Discharge Permit (If Applicable)	排污许可证 (如适用)
80	Environmental risk preventions (e.g., environmental risk assessment, drill on fire/explosion prevention, etc.)	环境风险危机预案及预防措施实施(环境事件/火灾/爆炸等风险评估及预防演练)
81	Inventory Records of Solid Waste/ Hazardous Wastes/Waste Water/Air Emissions	废弃物清单 (固废/危险废弃物/废水/废气)
82	Dangerous Chemical Waste Handling Contract/Transport Records (If Applicable)	危险废弃物处理合同/转移记录
83	Operational Licenses (Business License, Transportation Permit, Etc) of The Hazardous Waste Subcontractor (If Applicable)	危险废弃物回收机构资质证明 (营业执照/道路运输许可证/危废经营许可证)
84	Lab Testing Report of Waste Water/ Air Emissions/ Noise Level (If Applicable)	废水/废气/噪音检测报告(如适用)
85	Management procedure on environmental issues/geographical origin of material/components supply chain	供应链环境管理程序及材料/零部件供应链产地来源管理程序
Part C Supplier Transparency 供应商管理		
86	List of suppliers and subcontractors (including name, address, country, type & coverage of activities, etc.)	供应商、外包商清单(包括名称、地址、国家、工序、占比等)

AUDIT PLAN – 1 DAY ETHICAL AUDIT [社会责任审核计划]

	Time 时间	Auditor 审核员	Procedure, Department or Function 流程, 部门或者职能	Key contact 关键联络人
DAY1 第一天	09:30am		Arrive on site 到达工厂	
	09:45am		Opening meeting 首次会议 - Validate information provided before audit 在验厂开始前首先审核工厂提供的资料 - Introduce the activities of the day 介绍本次审核的内容 - Get an introduction of factory 了解工厂概况	Whole factory Management 工厂管理层人员
	10:15am		Factory tour 现场巡查 - Assess working environment 评定工厂工作环境 - Health & Safety Tour 工厂健康和安全管理方面检验	H&S Manager 健康安全经理 Production Manager 生产部门经理
	12:30pm		Lunch 午餐时间	
	1:00pm		Document Review and Management Interview 文件查阅和管理人员访谈 - Get objective evidence of compliance and non-conformity 收集工厂符合要求项目和不合格项目的证据	HR/Admin Manager 人力资源管理经理 H&S Manager 健康安全经理 Production Manager 生产部门经理
	2:30pm		Workers Interviews 工人访谈 - Individually and in focus groups 个人访谈和小组访谈 - In strict confidentiality and without presence of management 严格保密, 确保没有管理人员出席以保证访谈真实性	
	4:30pm		Pre-closing meeting 准结束会议 - Prepare the Corrective Action Plan (CAP) 审核员准备工厂纠正措施计划 (CAP) - Review potentially forgotten documents 复查有可能被遗忘的文件	Auditor alone 审核员
	5:00pm		Closing meeting 结束会议 - Present findings of the audit (compliance/Non-compliance) 与工厂代表确认本次工厂审核的结果 (合格项/不合格项) - Signing CAP/CAR with factory 工厂确认工厂纠正措施计划并签字盖章	Whole factory Management 工厂管理层人员
	5:30pm		Leave site 离开工厂	

Notes to client:

- Times are estimates and will be confirmed at the opening meeting prior to commencement of the audit.
审核过程中各部分的时间分配会由审核员在首次会议时与工厂确认。
- QIMA auditors reserve the right to change or add to the elements listed before for during the audit depending on the result of on-site investigation.
启迈审核员保留变动或增加现场审核时发现的不符合项的权力。
- A private place for preparation, review and conferencing is requested for the auditor's use.
工厂需安排独立的办公室, 以供审核员进行相关准备、审核及讨论。
- A private place for workers interview is requested for auditor's use.
工厂需安排独立的办公室, 以供审核员进行员工访谈。
- If more than 1 day on-site necessary, the activities will extend on the whole audit timing, but remain the same.
如果审核时间超过 1 天, 审核计划中所列出各项活动的时间将在此基础上延长。