

## SMETA 验厂审核文件清单

请准备以下文件的正本予以 SMETA 验厂现场审核；此文件清单只列出主要文件并非全部，如有需要审核当日请配合提供审核员所需要其它与审核相关的文件。

### 一、SMETA 验厂审核 - 工厂概况部分 Outline of Facility

- 1 公司概括简介 - 人员 / 产量 / 产值 / (品牌) 市场分布 Factory profile/Employee No.& structure/Production capability/(Brands)Marketing
- 2 公司组织架构图 Organization chart
- 3 厂区/厂房平面图 Factory floor plans
- 4 营业执照 Business license
- 5 土地使用权/所有权证书 Certificate or document for land right

### 二、SMETA 验厂审核 - 人事行政管理部分 HR and Admin. management

- 6 适用法律及法规 Applicable laws and regulations
- 7 员工手册/厂纪厂规及处罚记录 Employee manual/handbook,Factory rules & regulations/  
Disciplinary practices policy and Records
- 8 宿舍规章制度 Dormitory regulations
- 9 如果厂房、宿舍、仓库是租赁的，请提供相应租赁合同 If the facility was rent, please provide related lease contract

- 10 招工指引/程序 Recruitment policies & procedures
- 11 人事记录/员工入厂登记/花名册(所有员工)Employees' personal files/ Employment registration/roster (all employees)
- 12 劳动合同(所有员工) Labor contracts (all employees)
- 13 未成年工人体检/岗位安排 Young worker health examination/Job arrangement (if applicable),(if applicable)
- 14 未成年工名单/登记证/工作安排规定 List of young workers/registration approval from local labor bureau/regulations on shift arrangement for young workers
- 15 请假单 Leave records
- 16 离职记录 Resignation records
- 17 奖惩记录/警告信 Awards & Penalty Records/Warning notification letters
- 18 培训记录, 如入职培训, 健康安全培训: 消防安全培训记录, 化学品使用和存储的培训等 Training records(i.e fire safety training,chemical handling and storage training, etc)
- 19 工会组织会议记录/工会代表选举程序及其职责/工人投诉处理程序及记录 Meeting minutes of union/Selection program and Responsibility of workers' Rep./Complaint& handling record
- 20 工会组织会议记录/工会代表选举程序及其职责/劳资双方就工资福利问题与工厂的谈判协议 (CBA)Meeting minutes of union/Selection program and Responsibility of workers' Rep./ Collective Bargaining Agreements(CBA)
- 21 社会责任政策文件/管理程序/内审报告 Social accountability policy/ Management system/ periodic internal audit records

22 劳务派遣单位的营业执照，与劳务派遣单位签订的合同，劳务派遣工人的人事档案，身份证复印件，工资，考勤记录，劳动合同，社保缴费凭证等。 Business license of Labor Dispatch Company, contract signed with Labor Dispatch Company, dispatched workers' personal file, ID copies, payroll and attendance records, labor contracts, social insurance payment evidence, etc.

23 对移民工/人事代理机构用工的相关监控文件 (如有) Documents proved workers' legal right to work including immigrant & migrants & employment agency staff, if applicable

24 如果工厂把保洁，餐厅，保安，装卸等服务承包出去，而这些工人在工厂区域内工作，请提供承包商的营业执照和与承包商签订的协议，承包方工人的人事档案，身份证复印件以及工资，工时记录等。 If the factory subcontracted service like cleaning, canteen, security guards, loading and unloading, and this workers worked inside of audited factory, please provide business license of contractor, the agreement signed between contractor and the audited factory, the contractor staff's personal file, ID copies, payroll records, attendance records, etc.

25 分包商清单/对分包商及供应商的社会责任监控记录 Sub contractors list/ monitoring records on sub-contractors' and suppliers' social responsibilities performance

26 家庭工名单/对家庭工社会责任的监控记录, (如有) Homeworkers' namelist/ monitoring records on homeworkers proved to be compliant with social responsibilities, if applicable

27 安全委员会开会记录和章程 Minutes of joint committees on OHS and disciplinary matters

28 公司政策 Facility policies:

- 商业诚信 Business Integrity
- 童工 Child labour

- 强迫劳动 Forced labour
- 工会和自由结社 Freedom of association
- 工资和工时 Wage and hours of work
- 惩戒 Disciplinary
- 福利 Benefits and allowances
- 健康和 safety Health & Safety
- 环保 Environment
- 培训 Training
- 歧视和骚扰 Discrimination and harassment
- 家庭工，外勤人员以及分包商 Homeworkers, Outworkers and Sub-contractors
- 劳工权益 Human Rights
- 土地权利 Land Rights
- 员工申诉机制 Grievance mechanism

29 Previous ethical trade audit reports/Corrective Action Logs 以前的社会责任审核报告/改善行动记录

### 三、SMETA 验厂审核 - 工时工资福利部分 Working hours and wage benefits

30 工作时间记录(与工资相对应的 12 个月+截止到审核当天的考勤)Time cards/attendant records(12 months attendance records corresponded with payroll records + the attendance records till the audit day)

- 31 休假记录(有薪年假/女工产假/婚丧假) Leave records(Paid annual leave/Maternity leave/Marriage&Funeral leave )
- 32 综合计时批文/加班批文 (如有) Consolidated working hours permit by local labor bureau/Extended Overtime Hours Waiver, if applicable
- 33 当地政府最低工资文件 Legal/ Local official minimum wage document
- 34 最近 12 个月的工资表(含工人签名) Recent 12 months' payroll records with employees' signatures
- 35 记件工生产(台班)记录/计件工资表 Production records of piece rate workers/Piece rate records
- 36 最近一年生产运作记录及其它生产相关记录(如: 生产日报表, 品管日报表, 仓库收发料记录等) Production operation records for last 12 months and the other related records (i.e Daily production records, daily QC report, warehouse material in/out records, etc)
- 37 工资扣除记录 Wage deduction records
- 38 社会保险缴付凭证和参保符合性批文/社保登记证/社保购买花名册 Social security insurance (injury/retirement/medical/unemployment etc.) payment receipts/ invoice/Approval from local government/Registration certificate/personnel list

#### **四、SMETA 验厂审核 - 健康安全卫生部分 Health and Safety**

- 39 公司的健康安全政策/规章制度 Health & safety policy/Regulations and rules
- 40 健康安全风险识别记录 Health and safety risks identified record
- 41 房屋建筑工程竣工验收报告/备案表 Certificate of Inspection for Completed Building Construction/Registration Records

- 42 厂内建筑消防验收合格证/报告 Fire-Fighting Acceptance Inspection Certificate/ Report
- 43 安全主任资格证(任命书/培训结业证书) Safety officer certificate
- 44 保安守则/保安上岗证 Security guard regulation & job description/security guard certificate
- 45 消防应急预案/程序,消防演习记录(含照片)Fire drill program & records and fire evacuation plan & procedure (including pictures)
- 46 食堂餐饮服务许可证/食堂员工健康证 Catering Service License/Health Certificate of kitchen employee
- 47 急救人员资格证书 Trained first aider certificate
- 48 医护人员执业资格证书, (如有) Qualified certificate of doctor or nurse, if applicable
- 49 工伤医疗事故处理记录/再发生防范措施 Accident,injury reports & records/Precaution Measures on Reoccurrence
- 50 电梯等起重设备:使用登记证/验收/年检合格证(如: 电动葫芦/电动叉车) Register of elevator & lift and annual inspection certificate
- 51 锅炉, 压力容器使用登记证/年检合格证 Register of pressure vessels & boilers and annual inspection certificate
- 52 特种作业人员(叉车/电工/电焊工/司炉工等)资格(操作)证书 Specialized safety training certificate( Valid safety operation certificate of Lift / Forklift vehicle /Qualified Electrician/ Electric welding operator certificate/Operator certificate of boiler)
- 53 化学品清单/化学危险品仓许可/(储存物控记录)/List of chemical/Approval certificate of chemical warehouse/register & storage record

- 54 安全防范应急措施/物料安全数据表 Chemical Safety Precaution Measures/MSDS (material safety data sheet) of dangerous chemicals
- 55 化学危险品仓管员上岗培训证书 Qualified certificate for the keeper of dangerous chemicals warehouse
- 56 工作场所职业危害因素(空气质量/噪声等)评价报告 The hazardous elements (air quality and noise etc.)evaluation report for Workplace
- 57 危险岗位员工职业健康检查报告、个体报告 Hazardous position employees'occupational health examination summary /individual report (if applicable)
- 58 任何国际认可体系证书或其它社会责任审核报告 Any internationally recognised system certifications e.g. ISO 9000,14000, OHSAS 18000, SA8000 (or other social audits).
- 59 Other documents if in need 其它文件 (如必要)

**五、SMETA 验厂审核 - 商业道德部分 (仅适用于 4pillar 审核) Business practice (Only applicable for 4 pillar audit)**

- 60 商业道德(反腐败, 反贿赂, 反不正当竞争, 等)书面方针/程序 Business Integrity(anti-corruption, anti-bribery, anti improper competition, etc) Policy/Procedure
- 61 商业道德培训/调查报告 Business Integrity Training Records/Investigation Reports

**六、SMETA 验厂审核 - 环境保护部分 Environment**

- 62 环境影响评估报告书/报告表/登记表以及批复, 排污许可证, 监测报告, 辐射设备(如有)的环评,

验收及安全许可证等 Environment impact evaluation report/form/registration form and approval, Pollutant discharging permit, monitoring report, Radiation equipment (if any) environment impact evaluation report and acceptance check and permit, etc.

63 危险废弃物处理合同/转移记录 Dangerous chemical waste handling contract/transport records

64 紧急预案 Emergency action procedures

65 环境保护方面的系统文件及程序 Environmental System Policy/Procedure

66 本年度及上一年度自然资源、能源使用/排放数据统计 Natural resource/energy resource usage/discharge data of current year and last year