



SMETA (2 Pillar&4 Pillar) 社会责任审核所需文件（中国）

Document Checklist for Regular SMETA 2 Pillar and SMETA 4 Pillar Audit (China)

审核程序包括：审核前会议，现场巡察，查阅文件，员工面谈及总结会议。

Audit procedures includes: Opening Meeting, Facility Tour, Documents review, Employee Interview and Closing Meeting.

请准备以下文件的**原件**予以审核。

Please prepare the original documentation listed below for verification, thanks!

- 1. 工商营业执照（副本）
Business License (Official Duplicate)
- 2. 工卡或考勤记录（过去十二个月），包括在职与离职人员。如果是使用电子考勤，审核员可能需要从电脑直接审阅考勤记录，审阅是会在企业职员协助下进行。
Timecards or Attendance Records (Last 12 Months), including active employees and resignation employees. If electronics time card is used, the auditor may need to review the time record directly from the computer, with the assistance from the facility staff.
- 3. 工资表（过去十二个月），包括在职与离职人员。如果工资是通过银行转账发放，请同时提供银行转账记录。
Payroll Records (Last 12 months), including active employees and resignation employees. If wage paid by Bank Transfer, Bank Transfer record is required accordingly.
- 4. 员工花名册及员工个人档案（含身份证复印件）
Employee Roster and Employee Personnel Records (including I.D. card copy)
- 5. 劳动合同
Labor Contract
- 6. 社会保险收据（过去十二个月），参保人员花名册，当地参保要求文件或合格证明文件（如适用）等；商业保险记录（如有），如商业保险单，商业保险收据
Social Insurance Receipts (Last 12 months), Name List, Social Insurance Local Policy or Qualified Certificate (when applicable), etc. Commercial insurance records (if any), e.g. Commercial Insurance Policy, Commercial Insurance Receipts
- 7. 企业规章制度或员工手册（包括但不限于招聘、童工补救政策/程序、禁止歧视、禁止强迫劳动、结社自由和集体谈判、工时、薪资福利、奖惩制度、健康安全、环境保护等内容）
Enterprise Regulation or Employee Handbook (the content including but not limit to, recruitment, Child Labor remediation Policy/Procedure, non-discrimination, prohibiting forced labor, freedom of association and collective bargaining, working hours, compensation & benefit, disciplinary procedure, working conditions, health and safety, environmental protection, etc.)
- 8. 员工惩戒记录
Disciplinary records
- 9. 政府有关当地最低工资标准文件
Local Minimum Wage Standard
- 10. 有薪假体记录及工资发放记录，包括年假、产假、陪产假、婚假、病假等（过去十二个月）
Records of Paid Leave and Wage Payment, including Annual Leave, Maternity Leave, Paternity Leave, Marriage Leave, Sick Leave, etc. (Last 12 months)



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- 11. 其他请假记录、离职申请/审批记录（过去十二个月）
Other Leave Application Form, Resignation Application Form with Approval (Last 12 months)
- 12. 当地劳动部门关于综合计算工时工作制批文，不定时工作制批文（如适用）
Official Comprehensive Working Hour System Approval, Non-fixed Working Hour System Approval (when applicable)
- 13. 未成年工体检及劳动部门登记记录
Young Workers' Health Examination and Registration Records
- 14. 劳务派遣工的入职档案（含身份证复印件），考勤及工资表记录，劳动合同，社会保险收据及合格证明（如适用），参保人员花名册，劳务派遣协议，劳务派遣单位的营业执照，劳务派遣经营许可证
Dispatched Employees' Personal Files with ID Card Copy, Attendance & Payroll Records, Labor Contracts, Social Insurance Receipt & Certificates (when applicable), Name List, Labor Dispatch Agreement, Labour Dispatch Business License and Business Certificate of Labor Agent
- 15. 如果保安、清洁、食堂等外包，请提供外包服务合同。以及服务承包方员工的档案（含身份证复印件），考勤记录及工资表，劳动合同，社会保险收据及合格证明（如适用）等。
If security, clearing, cooking are subcontracted, please provide Service Contract, the service employees' Personnel Records (including I.D. card copy), timecards or attendance records, payroll records, labor contract, social insurance receipts and qualified certificate (when applicable), etc.
- 16. 劳务外包/承揽员工的劳动合同，入职档案（含身份证复印件），考勤及工资表记录，社会保险收据及合格证明（如适用），参保人员花名册，劳务外包/承揽协议
Outsourced / Contracted (outsourced) employees' Labor Contracts, Personal Files with ID Card Copy, Attendance & Payroll Records, Social Insurance Receipt & Certificates (when applicable), Name List, Labor Outsourced / Contracted Agreement
- 17. 聘用退休返聘人员，请提供与其签订的协议
If there are retirees hired to work again, please provide the agreement signed with retiree(s) hired to work again.
- 18. 聘用实习生，请提供实习生名单，学校、企业和实习生的三方实习协议
If Intern employed, please provide the list of Intern, Tripartite Agreement signed by the School, the Facility and the Students
- 19. 聘用外籍员工，请提供《外国人工作许可证》
If foreigner employed, please provide the Foreigner Work permit
- 20. 工会、员工代表委员会文件，集体劳动合同或自由谈判协议（如有）
Union or Worker Representative Committee documents, Collective Labor Agreement or Collective Bargaining Agreements (if any)
- 21. 建筑竣工验收报告/备案/建筑结构安全鉴定报告
Report / Register of Construction Completion Acceptance / Building Structure Safety Appraisal Report
- 22. 建筑工程消防验收合格证明或消防备案
Certificate or Report / Register for Fire Protection Acceptance



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- 23. 灭火和应急疏散预案、演练记录、工伤记录等
Fire Fighting and Emergency Evacuation Plan, Fire Drill Record, Work Accident Records and Work-related Injury Record
- 24. 特种设备（如有）注册登记证（表）及检验报告，如电梯、起重机械、场（厂）内专用机动车辆、锅炉及压力容器（含气瓶，压力表及安全阀）等
Special Appliance (if any) Registration Certificate and Inspection Report, such as Lift, Lifting Appliance, Inside Special motor vehicle, Boiler and Compressing Equipment (including Gas Cylinders, Gauge and Safety Valve) and etc.
- 25. 特种设备作业人员（如有）操作证，如电梯司机、电梯安全管理员、起重机械司机、起重机械安全管理员、场（厂）内专用机动车辆司机、锅炉操作工、锅炉水处理工、压力容器操作工等。
Special Appliance Operator (if any) Certificate, such as Lift Operator / Safety Administrator, Lifting Appliance Operator / Safety Administrator, Inside Special motor vehicle Driver, Boiler Operator / Water Treatment Operator, Compressing Equipment Operator and etc.
- 26. 特种作业人员（如有）操作证，如电工、焊工、大中型制冷设备运行操作人员等；
Special Operation (if any) License, such as Electrician, Welder and Operator for Large or Medium-Sized Refrigeration Equipment Operation, etc.
- 27. 急救员证书或培训记录
Training Certificate(s)/Records for First Aider(s)
- 28. 主要负责人安全生产知识和管理能力培训记录/证书；安全管理人员安全生产知识和管理能力培训记录/证书
Training Record / Certificate of Safety Production Knowledge and Management Skill for The Principal in Charge; Training Records / Certificates of Safety Production Knowledge and Management Skill for persons responsible for the Management of Work Safety in the Facility
- 29. （厨房）食品经营许可证（原餐饮服务许可证）及厨工健康证
(Kitchen's) Food Operation Permit (The previous Catering Service License) and Cooks' Health Certificate
- 30. 职业危害因素检测报告和员工职业健康检查报告
Occupational Hazards Factors Testing Report and Employee Occupational Health Examination Report
- 31. 化学品清单，化学品物质安全资料表，危险化学品事故应急救援预案和演练记录
List of all Chemical, MSDS, Dangerous Chemical Emergency Succor Plan and Drill Record
- 32. 安全生产教育和培训记录，如：消防安全培训、安全生产规章制度和岗位安全操作规程、安全使用化学品的培训、职业卫生培训
Work Safety Training records, such as Fire Safety training, Work Safety Rules and Post Safety Operation Procedure, Chemical Safety Training Records, Occupational Health Training
- 33. 环保文件（如建设项目环境影响评价文件（环境影响报告书、环境影响报告表或者环境影响登记表），环评批复/登记，建设项目环境竣工验收报告/公示/全国建设项目竣工环境保护验收信息平台填报信息，排污许可证，污染物处理设施闲置、拆除批复，废水/废气监测报告）



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Environmental Documents such as Environmental Impact Assessment (EIA) Documents (Environmental Impact Report, Environmental Impact Report Form or fill out Environmental Impact Registration Form), EIA Approval / Registration, Acceptance Check of Environmental Protection of Construction Projects/ Publicity / Information Declared on the National Information Platform of Environmental Protection Acceptance Check for Completed Construction Projects, Pollutant Discharge Permit, Approval of Pollutants Treatment Facilities Left Idle or Dismantled, Monitoring Report of Wastewater / Waste Gas, and etc.

- 34. 危险废物处置单位的营业执照和经营许可证，危险废物处理合同，危险废物转移联单，危险废物跨省转移批复（如适用）等
Business License and Business Permit of Dangerous Waste Collector, Service Agreement and Dangerous Waste Disposal Duplicated Form, Approval for The Hazardous Waste Transferred to Other Province (if applicable)
- 35. 辐射设备环境影响评价文件，环评批复，环境竣工验收报告，辐射设备安全许可证或豁免证明
Environmental Impact Assessment (EIA) Documents, EIA Approval, Acceptance Check of Environmental Protection, Safety Permit or Exemption Certificate of Radioactive Equipments
- 36. 生产记录（过去十二个月），如生产日报表、收/发料记录、计件记录、品检记录等
Production Records (Last 12 months), such as Daily Production Records, Send / Receiving Materials Records, Piece-rate Records, Quality Control Records, and etc.
- 37. 建筑平面图
Facility Building Layout
- 38. 主要生产机器设备清单
List of main production equipment
- 39. 公司社会责任体系方针或程序文件（包括劳动用工、工作条件、环境保护）和管理组织架构图，商业道德文件（包括反腐败、反贿赂、信息保密、反不正当竞争）(如有)
Written policy or process on company Social responsibility System (including labor and employment, working condition, environmental protection) and Management organizational chart; written policy on business practices (including Business Integrity, Anti-corruption, Information protection, Fair competition) (If any)
- 40. 分包商/供应商清单（如有）
List of Subcontractor/Supplier (if any)
- 41. 如果厂房是租赁的，请提供厂房租赁合同
If facility rent or leased, please provide the Rent or Lease Contract
- 42. 有效社会责任管理体系证书（如有），如：SA8000、WRAP、ICTI、Amfori-BSCI、ISO14001、OHS18001(ISO45001)
Valid certificates on Social Management System (if any), such as SA8000, WRAP, ICTI, Amfori-BSCI, ISO14001, OHS18001(ISO45001)
- 43. 关于员工基本权益的影响和问题的书面政策和培训记录以及与供应商的沟通记录
Written policy covering human rights impacts and issues and training records, communication records with suppliers
- 44. 对利益相关方的识别记录，及其利益相关方有关员工基本权益方面的风险识别记录，及相应补救措施的实施记录



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Records on stakeholders identification, human rights impact measurement on stakeholders and remediation

- 45. 申诉政策和程序以及相关记录
Grievance policy and procedure, relevant grievance records
- 46. 员工资料的隐私保护程序
Data privacy procedures for workers' information
- 47. 企业社会责任体系管理评审记录及整改程序
Management review on corporation social responsibility system and process to address issues
- 48. 健康安全风险评估报告
Health & Safety risk assessment report
- 49. 土地权合法性方面的文件和许可（如：土地证或房产证，等）
Land rights licenses and permissions (e.g. land right permits or property ownership certificate, etc.)
- 50. 土地权相关政策和程序,包括：合法使用土地，以及对于土地使用，遵循土地所有者的自由意愿的原则和保障社区事先知情同意权利（FPIC）
Written policy and procedures specific to land rights, which include using the land legally and obtaining free, prior and informed consent (FPIC)
- 51. 土地权法律法规的识别体系和法律清单
Systems to recognize national laws and practices relating to land title and law list
- 52. ETI 守则培训或沟通记录(包括员工和供应商)
ETI code training or communication records (including employees and suppliers)
- 53. 健康安全的政策和程序
General Health & Safety and occupational Health & Safety policies and procedures
- 54. 以下文件仅适用于**SMETA 4 Pillar Audit**
Below documents are only applicable for SMETA 4 Pillar Audit
 - 环境管理政策以及就此政策与相关方的沟通记录
Environment policy and communication records with appropriate parties
 - 能源消耗（如用水，用电）的记录
Records of natural resources usage (e.g. energy use, water use, etc.)
 - 书面的道德政策,及其沟通培训记录(包括员工和供应商)
Written ethical policy and communication/training records (including employees and suppliers)
- 55. 其它文件（视乎审核情况所需）
Other documents, subject to actual circumstances during the audit