

## **Audit Introduction For Applicants**

-on BSCI Code 2014

### **BSCI(商界社会责任倡议)审核简介**

***Declaration: Below information is for all applicants reference only and it is just a brief of the audit's introduction which is base on scheme's requirements, it is designed for your preparation with regard to the audits. It doesn't mean you just need to provide below information for the auditors, auditors may require more documents/information according to actual situation during the audit.***

声明：以下信息供所有申请者参考，这只是个基于项目要求的审核指引概要，它是为贵方关于审核的准备而设计，并不意味着贵方仅需要为审核员提供以下信息，审核员在审核过程中可根据实际情况要求审核更多的文件/信息。

### **BSCI Knowledge(BSCI 审核须知)**

1. Three parties can initiate a BSCI audit through BSCI new platform: BSCI member, factory/supplier, audit firm. It's the easiest way the member creates new request on the BSCI new platform. If SGS is the initiator, member should help approve the request through platform, or, the audit can't be preceeded. No matter which part initiates the audit, the member should hold the RSP (stands for "Responsibility"). Or, the audit will be stopped. RSP stands for "Responsibility". Only the BSCI member who holds the responsibility of the factory could audit it. If the audit initiator doesn't hold the RSP, it should apply the RSP from the RSP holder through BSCI platform or BSCI organization. Any audit firm is not allowed to forward the RSP holder's info to the audit initiator.

**BSCI 审核可由 BSCI 会员（终端买家）、工厂/中间商、审核公司中的任何一方发起，其中由 BSCI 会员在 BSCI 平台创建审核需求最为便捷。如由 SGS 创建审核需求，BSCI 会员需在平台中对需求进行授权审批，否则审核将无法继续。无论审核发起者是哪一方，该会员必须拥有这家工厂的审核权（即 RSP），否则审核将无法进行。RSP 是“Responsibility”的缩写。只有拥有对该工厂的 RSP，BSCI 会员才能对该工厂进行审核。如审核发起者没有该工厂的 RSP，需通过 BSCI 平台或 BSCI 组织向 RSP 拥有者拿到 RSP，任何审核机构无权向该会员透露该工厂的 RSP 在哪个会员手中。**



## **BSCI Audit Introduction(BSCI 审核介绍)**

### **1. Audit Type: 审核类型**

- 1) BSCI social audit is a kind of CSR audit.
- 2) Usually audit type (Announced audit, unannounced audit or semi-announced audit) depends on client's specific requirement.
- 3) After the initial audit, if any follow up audit is needed, the follow up audit must be done within 12 months since the previous audit.
- 4) Each BSCI audit must be linked with the end client, who must be a BSCI member. And each BSCI audit result must be uploaded to BSCI new platform which is shared by all BSCI members.
- 5) No certificate will be issued within BSCI audit program.
- 1) **BSCI 社会责任审核是企业社会责任审核的一种。**
- 2) **通常审核类型(通知审核、不预先通知审核或半通知审核)由客户的具体要求而定。**
- 3) **若在首次审核后需要跟进审核，跟进审核必须安排在 12 个月内（从上一次审核算起）。**
- 4) **每个 BSCI 审核必须有一个相关联的客户并且该客户是 BSCI 会员，每次审核结果必须上载到 BSCI 新平台以便所有 BSCI 成员共享。**
- 5) **BSCI 审核不出具证书。**

### **2. Audit Scope 审核范围：**

- 1) For the initial audit, past 12 months working hour and wage records must be provided for review. For follow up audit, factory needs to provide all the records since previous audit for review.
- 2) In principle, all the facilities under the same business license will be accessed.
- 1) **对于首次审核，需要提供过去 12 个月的工作时间记录和工资记录；对于跟进审核，工厂应提供从上次审核后的所有工作时间和工资记录。**
- 2) **原则上，同一厂区/营业执照下的全部设施都在审核范围内。**

### **3. Audit Contents: 审核内容**

The main audit contents include 13 performance areas as listed below: 审核的主要内容分为以下 13 个绩效区域：

- P. 1: Supply Chain Management and Cascade Effect 供应链管理及级联效应
- P. 2: Workers Involvement and Protection 工人参与和保护
- P. 3: The rights of Freedom of Association and Collective Bargaining 结社自由与集体谈判权
- P. 4: No Discrimination 不歧视
- P. 5: Fair Remuneration 公平报酬
- P. 6: Decent Working Hours 体面劳动时间
- P. 7: Occupational Health and Safety 职业健康与安全
- P. 8: No Child Labour 不雇用童工
- P. 9: Special Protection for Young Workers 保护青年工人



P.10: No Precarious Employment 无缺乏保障就业  
P.11: No Bonded Labour 无强迫劳动  
P.12: Protection of the Environment 保护环境  
P.13: Ethical Business Behaviour 道德的商业行为

#### 4. Main Audit Method : 审核的主要方法

- a. Management staff interview 管理人员访谈
- b. On-site inspection 现场审核
- c. Document review 文件审核
- d. Workers interview 工人访谈
- e. Wokrers Representative interview 工人代表访谈

#### 5. Main Documents List : 主要文件清单

<b>0</b>	<b>Overview of Auditee 工厂概况</b>
0.1	Business license 营业执照
0.2	Factory profile/Employee No.& structure/Production capability/(Brands)Marketing 公司概括简介-人员/产量/产值/(品牌)市场分布
0.3	Organization chart 公司组织架构图-(相关人员名片)
0.4	Factory floor plans (公司)厂区/厂房平面图
<b>1</b>	<b>Supply Chain Management and Cascade Effect 供应链管理及级联效应</b>
1.1	Job descriptions in which the implementation of BSCI is included BSCI 执行各岗位职位描述 (包括 BSCI 负责人, EHS 负责人, 人事负责人等)
1.2	Documentary evidence on production capacity planning 产能规划文件 (需提供最近的订单及规划过程供审核)
1.3	Evidence that the BSCI Code of Conduct and Terms of Implementation have been distributed to significant business partners BSCI 行为守则以及实施条款提供给商业伙伴的记录
1.4	Policy and records on selecting and monitoring auditee's supplier chain 工厂选择和管控其供应链的政策和记录
1.5	Signed BSCI Code of Conduct and relevant Terms of Implementation if farms are part of the scope of the audit 农场签订的 BSCI 行为守则以及实施条款 (仅适用于农场审核)
1.6	Evidence of business partners' social performance (quarterly reports, audit reports, valid certificates) 商业伙伴的社会责任表现情况 (季报, 审核报告, 有效证书)
1.7	Evidence of qualifications of the person in charge of implementing BSCI BSCI 负责人的任职资格证明
1.8	Documentary evidence of the social policy and procedures to implement BSCI BSCI 社会责任政策和程序



<b>2</b>	<b>Workers Involvement and Protection 工人参与和保护</b>
2.1	Documentary evidence of the workers representative election 员工代表选举的文件记录
2.2	Documentary evidence of regularly scheduled workers meetings 定期员工会议的文件记录
2.3	Records of agreements with workers representatives 和员工代表签订的协议记录
2.4	Employment contracts including those related to security personnel, cleaning and other services 劳动合同（包括相关保安，厨工，清洁工或其它提供服务的人员）
2.5	Job descriptions in which the implementation of BSCI is included BSCI 执行各岗位职位描述（包括员工代表等）
2.6	Working rules 厂纪厂规
2.7	Evidence of a training calendar for workers and management 员工和管理层的培训计划
2.8	Documentary evidence of training given to workers, management and human resources (e.g. list of attendees with signatures) and training material 员工，管理层和人力资源的培训记录和培训资料（例如，培训参加者签名等）
2.9	Documentary evidence of trainer competence 培训讲师能力证据
2.10	Long-term goals for protecting workers in line with the aspirations of the BSCI Code of Conduct 按照 BSCI 行为守则的期望明确保护工人的长期目标
2.11	Documentary evidence of grievances lodged/investigated (e.g. BSCI Template 8: Grievance Mechanism filled in) 申诉系统的提出/调查记录
<b>3</b>	<b>The rights of Freedom of Association and Collective Bargaining 结社自由与集体谈判权</b>
3.1	Documentary evidence of the workers representative election 员工代表选举记录（同 2.1）
3.2	Collective Bargaining Agreement (if applicable) 集体谈判协议（如适用）
3.3	Minutes or documents of meetings that led to the collective bargaining agreement (if applicable) 集体谈判协议前的会议沟通记录或文件（如适用）
3.4	Recruitment and dismissal procedures and records 招聘和离职的程序和记录
<b>4</b>	<b>No Discrimination 不歧视</b>
4.1	Necessary measures to avoid or eradicate discrimination in the workplace 在工作场所（车间）避免或消除歧视的措施
4.2	Documentary evidence on disciplinary procedures 纪律惩戒程序





4.3	Documentary evidence on disciplinary cases and the measures taken 纪律惩戒记录和采取措施
4.4	Documentary evidence of workers' performance assessments and procedures 员工绩效评估程序和记录
4.5	Work contracts or agreements, including with recruitment agencies 员工劳动合同或协议，包括派遣工
4.6	Documentary evidence of grievances lodged/investigated (e.g. BSCI Template 8: Grievance Mechanism filled in) 申诉系统的提出/调查记录（同 2.10）
<b>5</b>	<b>Fair Remuneration 公平报酬</b>
5.1	Documentary evidence of legal deductions for goods and services 合理扣款证明资料
5.2	Documentation on legal minimum wages relevant for the sector 法定最低工资文件
5.3	Documented collective bargaining agreement 集体谈判协议（同 3.2）
5.4	Pay slips for workers and documentary evidence of payments 员工工资记录
5.5	Fair remuneration quick-scan completed (BSCI Template 5: Fair Remuneration Quick Scan) 公平工资计算记录
5.6	Work contracts or agreements, including with recruitment agencies 员工劳动合同或协议，包括派遣工（同 4.4）
5.7	Personnel data files for all workers (including seasonal workers) 员工人事资料（包括季节工）
5.8	Documentary evidence of additional benefits (commercial insurance if applicable) 额外福利记录，例如，有薪年假，有薪法定假，病假工资等（商业保险，如适用）
5.9	Documentary evidence of updated contributions to social insurance funds 社会保险缴纳记录
5.10	Lists of wage ranges and calculations including for piece rate workers 计件员工的工资计算记录
<b>6</b>	<b>Decent Working Hours 体面劳动时间</b>
6.1	Documented working rules 厂纪厂规（同 2.6）
6.2	Pay slips for workers and documentary evidence of payments 员工工资记录（同 5.4）
6.3	Documentary evidence of the legal permanent exception covering the auditee's industry 行业惯例的例外（综合计时批文等）
6.4	Working time records 员工工作时间记录
6.5	Documented overtime procedure including agreements with workers 员工自愿加班程序和协议



6.6	Documented records and treatment policy of accidents 工伤记录和处理程序
<b>7</b>	<b>Occupational Health and Safety 职业健康与安全</b>
	<b>Certificates and contracts: 证书和合同</b>
7.1	Valid inspection and insurance for machinery and vehicles 特种设备（机械和车辆）的使用登记证和年检合格证
7.2	Purchase invoices of the PPE bought by the auditee 个人劳保用品的购买发票
7.3	Valid business license and all necessary official approvals to run operations 有效的营业执照和税务登记证（同 0.1）
7.4	Official building certificate about safety and appropriateness for the industry 建筑竣工验收合格证和消防验收合格证
7.5	Contract with any service provider including food services, transportation, agents 与外包商签订的合同（包括厨工，运输工等）
7.6	餐饮服务许可证
	<b>Training: 培训</b>
7.7	Documentary evidence of workers training on occupational health and safety including fire drill records 员工健康安全培训记录（包括消防演习记录）
7.8	Workers and management training calendar 员工和管理层培训计划（同 2.7）
7.9	Documentary evidence of workers qualification for those dealing with dangerous machines, electrical installation and any other activity that requires specific training due to the level of risk 危险机器，电工或依照风险需要特别培训技能员工的操作员工的资格证书或培训记录
	<b>Records and reports: 记录和报告</b>
7.10	Local law list of Health and Safety 健康安全法律法规清单
7.11	Risk assessment for safe, healthy and hygienic working conditions 安全，健康和卫生条件的风险评估
7.12	Action plan for safe, healthy and hygienic working conditions 安全，健康和卫生条件的改善计划
7.13	Documentary evidence of updated contributions to social insurance funds 社会保险缴纳记录（工伤保险）（同 5.9）
7.14	Occupational health and safety regulations applicable for the industry 岗位健康安全规则（操作规程）
7.15	Documentary evidence of the election process of the health and safety committee 健康安全委员会的选举过程记录
7.16	Minutes of the health and safety committee meetings 健康安全委员会会议记录
7.17	Documentary evidence of consumption, withdrawal and disposal of chemicals (including Material Safety Data Sheets – MSDS) 化学品使用，退回或清理记录（包括 MSDS）



	Official inspections conducted to ensure building and equipment safety, including date of validity and corrective actions if any
7.18	建筑或设备的安全检查记录，包括检查有效期和改善措施（如有）
	Emergency procedure
7.19	应急程序
	Assessment report of choosing the location of the dormitory
7.20	宿舍选址的评估记录
	The hazardous elements (air quality and noise etc.)evaluation report for Workplace
7.21	工作场所职业危害因素(空气质量/噪声等)评价报告
	occupational health examination summary / individual report (if applicable)
7.22	职业健康体检总结报告、个体报告
	Inspection reports, maintenance records, operating and safety instructions for:
7.23	以下检测报告，维保记录，操作和安全规程
	§ Dangerous machines, including but not limited to lifts, electrical equipment, high-pressure equipment
	危险机器，包括但不限于升降机，电力设备，高压设备等
	§ Firefighting equipment (e.g. inspection tags on fire extinguishers)
	消防设备（例如灭火器上的检查标签）
	§ Potable water at production facilities and dormitories
	生产区域和宿舍的饮用水测试
	§ Health and safety for the facilities and dormitories including but not limited to temperature, noise level and lighting
	宿舍区域和设施的健康安全记录包括但不限于温度，噪声和光线情况
<b>8</b>	<b>No Child Labour 不雇用童工</b>
	Personnel data files for all workers (including seasonal workers and workers hired using recruitment agencies)
8.1	员工人事资料（包括季节工，派遣工）（同 5.7）
	Age-verification procedure
8.2	员工年龄核实程序
	Documentary evidence of training given to workers, management and human resources (e.g. list of attendees with signatures)
8.3	员工，管理层和人力资源的培训记录（例如，培训参加者签名等）（同 2.8）
	Procedure to avoid children exploitation
8.4	禁止利用童工程序
	Child labour remediation procedure
8.5	童工补救措施
	Work contracts or agreements, including with recruitment agencies
8.6	员工劳动合同或协议，包括派遣工（同 4.4）
<b>9</b>	<b>Special Protection for Young Workers 保护青年工人</b>
	Documentation of all trainings given to young workers
9.1	未成年工培训记录
	Risk assessment and related action plan with specific measures to protect young workers and young female workers
9.2	



	保护未成年工以及未成年女工的风险评估以及改善措施
9.3	Young workers overview records 未成年工记录
9.4	Young workers' work cycle overview 未成年工工作概况总结
10	<b>No Precarious Employment 无缺乏保障就业</b>
10.1	Employment contracts and/or posters where workers' rights and obligations are displayed 员工合同且/或员工权利和义务海报
10.2	Recruitment and dismissal procedures and records 招聘和离职的程序和记录（同 3.4）
10.3	Overview of subcontractors 分包商概况
10.4	Overview of apprenticeships granted in the company 学徒工概况
10.5	Overview of seasonal workers 季节工概况
11	<b>No Bonded Labour 无强迫劳动</b>
11.1	Documentary evidence of trainings given to workers, management and human resources (e.g. list of attendees with signatures) 员工，管理层和人力资源的培训记录（例如，培训参加者签名等）（同 2.8）
11.2	Documentary evidence on disciplinary procedures 纪律惩戒程序（同 4.1）
11.3	Employment contracts including those related to security personnel, cleaning and other services 劳动合同（包括相关保安，厨工，清洁工或其它提供服务的人员）（同 2.4）
11.4	Documentary evidence on disciplinary cases and measures taken 纪律惩戒记录和采取措施（同 4.2）
12	<b>Protection of the Environment 保护环境</b>
12.1	Environmental risk assessment 环境风险评估报告和环评批复
12.2	Map identification of water springs, rivers, lakes in the area of auditee activities 受审方的活动对周围水环境（泉水，河水，湖水）的影响识别地图
12.3	Calculation of the necessary financial and personnel resources to comply with the minimum social and environmental requirements 符合社会责任以及环境要求，工厂需要的财政和人力资源的计算记录
12.4	Valid certificates and environmental licenses 有效的证书和环境许可
12.5	Environmental testing report 环保监测报告
12.6	Dangerous chemical waste handling contract/transport records 危废处理合同和处理记录





12.7	Procedure and mechanism records of saving water 节约用水程序和机制记录
<b>13</b>	<b>Ethical Business Behaviour 道德的商业行为</b>
13.1	Anti-corruption policy 反腐败政策
13.2	Corruption risk assessment 腐败风险评估
13.3	Procedure for investigation and discouragement of unethical behaviour 对不道德行为的调查程序
13.4	Communications and trainings to promote and reward integrity 促进廉洁的沟通和培训记录

## 6. Criteria: 评分标准

The audit result can be presented as the final result of A, B, C, D, E or ZT in a BSCI audit report. Every performance area has a result according to the percentage of fulfilment. Overall rating is depending on the different combinations of ratings per Performance Area.

There is no pass or fail result defined for a BSCI audit. However, the factory should maintain good system or follow up the issues raised in the remediation plan according to different result.

在 BSCI 审核报告上审核结果可显示为最终结果为 A, B, C, D, E 或 ZT。依照完成的百分比，每个绩效区域都会有一个结果，最终等级由每个绩效区域的结果进行综合评定。

BSCI 审核没有定义通过或不通过的审核结果，但针对不同审核结果，工厂需维持做得好的体系或跟进改进计划中提到的问题。

Rating 等级	A combination of ratings per Performance Area where: 综合评定每个绩效区域的等级结果，当：	Consequence 结果
A Outstanding 卓越	Minimum 7 Performance Areas rated A No Performance Areas rated C, D or E 至少 7 个绩效区域等级为 A 没有任何绩效区域等级为 C, D 或 E	The factory has the level of maturity to maintain its improvement process without the need for a follow-up audit. Valid date is 2 years since full audit date in the same cycle.
B Good 好	Maximum 3 Performance Areas rated C No Performance Areas rated D or E 最多 3 个绩效区域等级为 C; 没有任何绩效区域等级为 D 或 E	Producers rated A and B are eligible to receive a Random Unannounced Check in the period between the two full audits. 工厂水平优秀，无需跟进。有效期为初次审核开始计算 2 年。 当工厂等级为 A 或 B 时，工厂可能会在本次审核后突击审核。
C Acceptable 可接受	Maximum 2 Performance Areas rated D No Performance Areas rated E 最多 2 个绩效区域等级为 D 没有任何绩效区域等级为 E	The factory needs follow up to support its progress. Following the completion of the audit, the factory develops a Remediation



D Insufficient 不足	Maximum 6 Performance Areas rated E 最多 6 个绩效区域等级为 E	Plan within 60 days. 工厂需要跟进审核。工厂要在审核结束后 60 天内上传改进计划。
E Unacceptable 不可接受	Minimum 7 Performance Areas rated E 至少 7 个绩效区域等级为 E	BSCI Participants shall closely oversee the factory's progress as the producer may represent a higher risk than other business partners. BSCI 会员将密切关注该工厂，因为该工厂 比其它商业伙伴具有更高的风险。
ZeroTolerance 零容忍	A Zero Tolerance issue was identified 发生任何零容忍的问题	Immediate actions are required. 应立即改善

Consulting training amfori  
the leading business association for open and  
sustainable trade  
Supply chain compliance audit  
One-stop service  
与速讯咨询合作，意味着您将更容易取得零售大型品牌接受的验厂审核报告  
我们不仅仅是发现问题，更能帮助企业解决各种问题，从申请-培训-做资料-证件办理-公共内外部关系

速讯企业管理咨询有限公司  
电话: +86 400-098-1298  
手机: +86 18138838005  
邮箱: carl@bsci-hk.com  
<http://www.bsci-hk.com/szszx.html>

