

**Terms of Reference (TOR)**

**Date 日 期**

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| --- |
| **PART I 第一部分 *Please complete in Upper and Lower Case 请填写完整*** |
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| **ALGI Customer: 审核付款方名称：** |  |
| Company address:公司地址： |  | Contact Phone:联系人电话： |  |
| Contact Name:联系人姓名：  |  | Contact email:联系人电子邮件： |  |
|  |
| **BSCI:** [ ]  **Announcement 审核通知形式**Fully-Announced 完全通知 [ ]  Fully-Unannounced 完全不通知 [ ]  Semi-Announced 半通知 [ ]  |
| **Performance Area 执行区域       RSP Holder RSP持有人****Amfori ID 工厂ID       Buyer 最终买家** |
| **Methodology\*****审核方法** | **I**ndustrial 工业[ ]   | Primary Production初级生产[ ]  | Food食品[ ]  | Non-Food非食品 [ ]  | Full全面[ ]   | Follow-Up 跟进[ ]   |
|  |
| **SMETA** [ ] Sedex Audit Sedex审核 [ ]  Sedex Brand Sedex品牌Pentland Brand Pentland 品牌P number P号码 S number S 号码  |
| 2 Pillar [ ]  4 Pillar [ ]  | Full Initial 初审 [ ]  Periodic 年审 [ ]  Full Follow-Up 完整跟进审 [ ] Partial Follow-Up 部分跟进审核 [ ]  Partial Other 其它部分审核 [ ]  |
| **Announcement 审核通知形式**Fully-Announced 完全通知 [ ]  Semi-Announced 半通知 [ ]  Fully-Unannounced 完全不通知 [ ]   |
|  |
| **WRAP Certification WRAP认证** [ ]  WRAP ID号码  Re-Certification 复认证[ ]  Initial 初认证 [ ]  Follow up audit跟进 审核 [ ]  |
|  |
| **C-TPAT 反恐** [ ]  **FLA Type** [ ]  **CoC       Other 其它**lnitial 初审[ ]  Re-audit 复审 [ ]  Annual 年审[ ]  |
|  |
| Facility Name: \* **(Fill in both Chinese and English)****工厂名称：****（请填写中英文）** | **Please attach a scanned copy of your factory’s business license in the email.****请在邮件中附一张贵厂营业执照的扫描件。** |
| Contact:\* 联系人： |  | Job Title:\*职位： |  |
| Facility Phone: \* 工厂电话：Fax: \*传真：  |  | Address: \***(Fill in both Chinese and English)**地址：**（请填写中英文）**Zip Code:邮政编码： |  |
| Email:\* 电子邮箱：  |  | City:\* 城市： |  |
| State/Region：省份： |  | Country:\* 国家： |  |
|  |
| **Number of buildings:** **建筑数量：**  |  | Production: 生产 [ ]  Cafeteria: 食堂 [ ]  Dormitory: 宿舍 [ ]   |   | Cutting: 裁剪 [ ]  Packing: 包装 [ ]  Warehouse: 仓库 [ ]   |  | **Others 其它** |
|  |
| **Type of product****生产产品类型** |  | Sewing: 缝纫 [ ]  Welding: 焊接 [ ]  Cutting: 裁剪 [ ] Knitting: 针织 [ ]  | Injectio注塑 [ ]  Molding: 成形 [ ] Embroidery: 绣花 [ ] Washing: 水洗 [ ]  | Screen Printing: 印花[ ] **Others其它**  |
|  |
| **Work Force & Demographics (‘Total Employees’ should include all staff, e.g. management, office staff and workers)****职工人数（“员工总数”应包含所有员工，例如管理人员、办公室人员和工人）** | Total Employee 员工总数 | Male 男员工总数.  | Female 女员工总数.  |
| Total of production workers 生产工人总数  | Number of production shifts 生产班次Regular working hour 工作起止时间： |
| Management Language管理人员使用的语言 | **Employees Language 员工使用的语言** |
| All production on-site是否所有产品本地生产？ | Yes 是 [ ]  No 否 [ ]  | Subcontract Operations 分包项目 |
| # of subcontractors:分包商数量 | **N/A** |
|  |
| Are you on the EU sanctions list or any other sanctions list? 贵司在欧盟或其他国家的制裁名单上面吗？ Yes [ ]  No [x]  *Not Applicable* [ ]  |
| Can the facility ensure at least 3 mouths of records , in case you are a new company ?如果您是一家新成立的工厂，确保已经有了至少3个月的运营记录了 吗？ Yes [x]  No [ ]  *Not Applicable* [ ]  |
| Has your company used any consulting services to assist in the development and/or implementation of your Management System? 贵公司是否使用了咨询服务以协助企业开发、推行管理体系？  |
| **(This information is required)** | Yes [ ]  | No [ ]  | If yes, complete the section below: |
| Consulting Firm |       | Consultant(s) |  |
| Tel No |  | Email |  |
| **PART II 第二部分****(*To be filled by ALGI*由ALGI填写）** |
| **Standard Operating Procedure (SOP) 标准操作流程** |
| **Physical Scope:****审核范围** | ALGI will inspect the entire facility located at the address provided above. Assessment of additional facilities, locations, and/or subcontractors detected during the assessment process, will be subject to proposal revision. ALGI将根据以上提供的地址，审核整个厂区内的生产设施。对于其他生产设施，额外地点和/或在评估过程中所发现的分包商的评估，将以新的审核方案为准。 |
| **Planning & Preparation****审核计划和准备** | The evaluation process is initiated by assigning a Lead Assessor who will conduct the planning and preparation for the audit using the information provided by you and information collected by other means. During this process, assessment instruments are generated, and supporting information is acquired to enable the assessment team to reference the Scheme/Code of Conduct Principles and local laws as well as your company’s own practices. 在接受此文件的各项条款后，我司将指派一名主审核员根据贵工厂所提供的信息和以其他方式获得的信息来进行审核的计划和准备工作。在此过程中，将制定审核报告格式、工具和查找原则、当地法律规定、和工厂惯例的相关信息以供审核小组参照. |
| **Evaluation Assessment****审核过程** | The Evaluation Assessment is designed to establish, on a limited sampling basis, that your company has implemented a Social Accountability Management System that conforms, and continues to conform, to the Scheme/Code of Conduct Principles and will verify that your company has the tools to monitor and improve management of social aspects and impacts.评估审核旨在确认（在有限的抽样基础上）公司已经执行的社会责任管理体系是否遵从、或将继续遵从原则。在对工厂的社会责任体系的适当性和有效性进行评估时，审核小组将会与任何部门或区域的工人、任何层次的管理人员，尤其是负责社会责任事务的管理人员进行访谈，将在原则下，查阅工厂的管理体系，以确认贵司是否已经掌握了自我监查及改善社会责任方面的管理和影响的方式方法。In reviewing the adequacy and effectiveness of your social accountability system, the assessors interview personnel in any department or area, and at any management level, particularly those having responsibilities and authorities associated with social accountability issues. Group interviews and questionnaires may also be used to confirm assessment findings and direct the assessment. 在检查贵厂社会责任体系的充分性和有效性的过程中，审核员会对不同部门、不同区域、及不同管理阶层的员工进行访谈，尤其是对于那些负责社会责任事宜的员工。小组访谈和调查问卷可以用来确认评估结果、引导评估过程。Results are reported verbally and in writing (preliminary On-site CAP) after the assessment during the Closing Meeting, and subsequently in a written report. 评估结果在审核结束后口头告知工厂并且在闭幕会议时留现场初步审核报告给工厂，随后再以书面形式作汇报。 |
| **Monitoring Stages:****审核内容** | * Opening Meeting with management 与管理人员的开幕会议
* Interview union and other worker representatives (if applicable) 访谈工会以及其他工人代表

（如适用）* Visual inspection of the facility 走厂
* Confidential interviews with workers 进行保密的员工访谈
* Review relevant records 审查相关记录
* Cross-check and review information gathered 核对各渠道所收集到的信息
* Additional investigation as necessary to reach conclusions. 如有必要，进行额外的调查以得出结论
* Closing Meeting with management. 与管理人员的总结会议
 |
| **Standards:****审核标准** | * Local Labor and Safety Statutes 当地劳动、安全法规
* UN-ILO Ratifications 国际劳工组织条文
* Scheme/CoC Benchmarks 行为守则要求
* Internal company policies/regulations 工厂内部政策/规定
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| **Documents to Employ:****提供文件** | * Scheme/Brand Monitoring Guidelines 审核指引
* Local Labor and Safety Statutes 地方劳动、安全法规
* Scheme/Brand Auditing Tools, or
* ALGI Audit Report and Corrective Action Plan (CAP)
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| **Record and Documentation Review:****查阅资料** | **Minimum Sample Size: 最少抽样数量**As per Scheme/CoC Guidelines 按照标准/客户要求**Other Requirements:** **其它要求**Licenses, payroll ledgers, time records, personnel files, Collective Bargaining Agreement (if applicable), employer/employee work contract, etc. 营业执照，工资账目，考勤记录、员工档案，集体合同（如适用）、员工个人劳动合同等。 |
| **Worker Interviews:****员工访谈** | **Minimum Sample Size: 最小抽样人数**As per Scheme/CoC Guidelines 按照标准/客户要求 |
| **Photographs:****拍照** | Pictures to verify compliance with basic requirements and some to illustrate non-compliance will be taken by the audit team, if necessary, upon factory consent. 工厂同意的情况下，需要拍摄证明工厂符合基本要求的照片和审核小组发现的能证明工厂不符合项的照片。 |
| **Confidentiality****保密性** | ALGI maintains confidentiality at all levels of its organization concerning information obtained in the course of its business. No information shall be disclosed to any third party unless in response to a legal process or required by an accreditation body after providing the Client with a copy of such process or requirement. ALGI公司的各级部门将对审核过程中获得的相关信息进行保密秘密。公司不会向任何第三方揭露任何信息，但遵从法律程序要求或审核授权机构进行索取并在向客户提交了相应的要求除外。 |
| **Gifts, Gratuity, and Transparency****拒收礼品制度** | **ALGI** has a very strict policy that forbids and prohibits the solicitation, offering, or acceptance of any gifts. We define gifts and gratuities to include tickets to entertainment events, kickbacks in the form of money or merchandise, special discounts, discontinued or no-longer-used samples, gifts, etc. “劳智中国”制定有严格的政策来禁止公司成员有任何形式的索要或接受礼品的行为。我们所定义的礼物和馈赠包括：娱乐活动的门票、现金或商品形式的回扣、特殊折扣以及不继续使用的样品等。 During the audit, the organization being audited, and its designated employees/representatives are expected to present true and transparent records and provide true and transparent answers to the auditor or audit team. The audit conclusions are based on this happening. 在审核期间，被审核方以及其指派的员工/代表应向审核员或审核小组提供真实的记录，并按照实际情况对问题给出真实的回答。审核结论将基于真实的记录和回答的基础上ALGI does not have any agreement with consulting agencies to guarantee any grading. ALGI（劳智中国）不和任何咨询机构签有保证任何保证等级评分的协议During or after the audit, at any time, should ALGI discover that there has been a misrepresentation or falsification or employee-coaching for the audit or compromise in truth and transparency ALGI shall be free to:在审核期间或之后的任何时间，若ALGI（劳智中国）发现错误的表述、造假、或教唆员工以影响审核的真实性， ALGI（劳智中国）有权采取以下措施：* Cancel the audit, 取消此次审核
* Report to authorities like accreditation bodies or related client bodies (like brands) with whom ALGI is associated for the audit. 向授权机构或相关客户（如品牌公司）等报告
* Revise the audit conclusion and inform the appropriate person/organizations connected to the audit 修改审核结论，并通知与审核相关的人/组织
* Conduct an unannounced audit of the auditee's expenditure. 执行一次不通知审核，所产生的费用由被审核方承担
* Suspend/withdraw any certificates or reports that may have been issued. 暂缓/没收任何已发放的证书或报告
* Take whatever action mandated by ALGI's own procedures or procedures of bodies or clients associated with it and subscribed to by ALGI for the conduct of audit/s. 根据ALGI（劳智中国）的公司程序或委认ALGI（劳智中国）执行审核的相关机构或客户的程序，采取任何行动
 |
| **Reporting Timeline:****报告时间** | 5-10 business days from the end of the assessment 审核后的5-10个工作日之内 |
| **Person-days:****审核人天数** |       person-day(s) on-site + person-day for report writing ( total person-days)      现场人天 + 非现场人天 ( 总人天)(Determined according to the scheme/CoC requirements 人天数分布取决于审核准则的要求) |
| **Audit Date:****审核日期** |   |
| **Service Fees:****服务费用** | Audit Fee： 审核费用:  Audit Preparation Fee: 审核管理费用: Tax（6％): 税费：  Travel Expenses:  差旅费：Total Audit Fee： 总的审核费用： This proposal is valid until报价有效期到年 月日 * Service fees shall be paid at least 3 working days **before** the assessment date， ALGI reserves the right to change the schedule if not receive the service fee .服务费用须于审核日之前至少3个工作日支付，在没有收到服务费用前，ALGI保留更改审核日期的权力
* Cancellation or re-scheduling less than 5 business days before the assessment is subject to 50% of the agreed Total Service Fee. 如在距原定审核日期5个工作日之内提出取消或改期，须支付服务费用的50%作为取消/改期的费.
* Cancellation or re-scheduling less than 3 business days before the assessment is subject to 70% of the agreed Total Service Fee. 如在距原定审核日期3个工作日之内提出取消或改期，须支付服务费用的70%作为取消/改期的费.
* For semi-announced audits, the cancellation fee will be applied if it has occurred within the audit window. 对于半通知的审核，审核窗口期内如发生上述变动，也将收取上述费用。
* If the assessment is refused or aborted (auditors are not allowed to perform it) the client will cover 100% of the arranged audit fee and 100% of travel expenses incurred. 如审核被拒绝或中止，客户必须承担100%的服务费用、以及100%所发生的差旅用
* If the client does not submit the information requested by Operations within the mentioned deadline, the evaluation may be rescheduled, and the same penalties in this section will apply如果客户没有在上述期限内提交运营部门要求的信息，审核可能会被重新安排，本节中的处罚将适用
* ALGI will not charge any other extra fee not listed above. ALGI不会额外收取上述费用以外的其他费用
* These are only applicable to the client/facility for the benefit of ALGI and not vice versa. 以上条款只适用于客户和工厂，不适用于ALGI(劳智中国)
* Note: For BSCI proposals, ALGI will only accept the signed proposal if the name of the actual and valid RSP Holder is provided before the contract is fulfilled. 对于BSCI提案(TOR)，ALGI(劳智中国)只接受在审核前提供真实有效的RSP持有人名称的情况下签署的提案，就是说只有在签署了提案TOR和RSP持有人正确授权的情况下才是有效的
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| *We hereby apply for evaluation services by ALGI and agree to abide by the ALGI General Terms and Conditions of Business and to pay all fees as quoted in this document****.*** *我们在此申请由ALGI公司为我们提审核服务，并且同意遵从ALGI公司的主要条款和条件、ALGI公司的行为准则，以及同意支付上述所列的各项费用。* |
| **ALGI** ALGI签约人的姓名/职位 | **Date 日期：** |   |
| Name and Title authorized person **Customer/Facility****审核付款方/工厂**签约人姓名/职位 |  **Date 日期：** |   |
| Signature ＆Company Stamp (If applicable) |
|  |