




Sedex Members Ethical Trade Audit Report

Version 6.1



Audit Details			
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC: 419794145	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS: 419962386
Business name (Company name):	Jyn Yang Company Limited		
Site name:	Jyn Yang Company Limited		
Site address: <i>(Please include full address)</i>	Lot A10.1-A10.2-A10.3, Chon Thanh 1 Industrial Park, Hamlet 2, Thanh Tam Village, Chon Thanh District, Binh Phuoc Province	Country:	Vietnam
Site contact and job title:	Ms. Audrey – Sale Manager		
Site phone:	0933196998	Site e-mail:	bytaitran@gmail.com
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health & Safety (plus Environment 2-Pillar)	<input checked="" type="checkbox"/> Environment 4-pillar <input checked="" type="checkbox"/> Business Ethics
Date of Audit:	July 4-5, 2022		

Audit Company Name & Logo:  TÜV RHEINLAND VIETNAM	Report Owner (payer): Jyn Yang Company Limited
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Audit Conducted By					
Affiliate Audit Company	<input checked="" type="checkbox"/>	Purchaser	<input type="checkbox"/>	Retailer	<input type="checkbox"/>
Brand owner	<input type="checkbox"/>	NGO	<input type="checkbox"/>	Trade Union	<input type="checkbox"/>
Multi-stakeholder	<input type="checkbox"/>	Combined Audit (select all that apply)			

If you have any concerns or queries about this SMETA report or the associated SMETA audit, please contact grievance@sedex.com.

To confirm the validity of this report, please visit <https://www.sedex.com/audit-verifier/>

Audit Content:

(1) A SMETA audit was conducted which included some or all of Labour Standards, Health & Safety, Environment and Business Ethics. The SMETA Best Practice Version 6.1 was applied. The scope of workers included all types at the site e.g. direct employees, agency workers, workers employed by service providers and workers provided by other contractors. Any deviations from the SMETA Methodology are stated (with reasons for deviation) in the SMETA Declaration.

(2) The audit scope was against the following reference documents

2-Pillar SMETA Audit

- ETI Base Code
- SMETA Additions
 - Universal rights covering UNGP
 - Management systems and code implementation,
 - Responsible Recruitment
 - Entitlement to Work & Immigration,
 - Sub-Contracting and Home working,

4-Pillar SMETA

- 2-Pillar requirements plus
- Additional Pillar assessment of Environment
- Additional Pillar assessment of Business Ethics
- The Customer's Supplier Code (Appendix 1)

(3) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.

(4) Any Non-Compliance against customer code shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

SMETA Declaration

I declare that the audit underpinning the following report was conducted in accordance with SMETA Best Practice Guidance and SMETA Measurement Criteria.

- (1) Where appropriate non-compliances were raised against the ETI code / SMETA Additions & local law and recorded as non-compliances on both the audit report, CAPR and on Sedex.
- (2) Any Non-Compliance against customer code alone shall not be uploaded to Sedex. However, in the CAPR these 'Variances in compliance between ETI code / SMETA Additions/ local law and customer code' shall be noted in the observations section of the CAPR.

Any exceptions to this must be recorded here (e.g. different sample size): NONE

Auditor Team (s) (please list all including all interviewers):

Lead auditor: TRAN TAN HONG APSCA number: RA21701299
Lead auditor APSCA status: REGISTERED AUDITOR

Team auditor: ALAN LE KHANG APSCA number: RA21701973
Interviewers: TRAN TAN HONG, ALAN LE KHANG

Report writer: TRAN TAN HONG
Report reviewer: Ina Zeng

Date of declaration: JULY 5, 2022

Note: The focus of this ethical audit is on the ETI Base Code and local law. The additional elements will not be audited in such depth or scope, but the audit process will still highlight any specific issues.

This report provides a summary of the findings and other applicable information found/gathered during the social audit conducted on the above date only and does not officially confirm or certify compliance with any legal regulations or industry standards. The social audit process requires that information be gathered and considered from records review, worker interviews, management interviews and visual observation. More information is gathered during the social audit process than is provided here. The audit process is a sampling exercise only and does not guarantee that the audited site prior, during or post-audit, are in full compliance with the Code being audited against. The provisions of this Code constitute minimum and not maximum standards and this Code should not be used to prevent companies from exceeding these standards. Companies applying this Code are expected to comply with national and other applicable laws and where the provisions of law and this Code address the same subject, to apply that provision which affords the greater protection. The ownership of this report remains with the party who has paid for the audit. Release permission must be provided by the owner prior to release to any third parties.

Summary of Findings

Issue <i>(please click on the issue title to go direct to the appropriate audit results by clause)</i> Note to auditor, please ensure that when issuing the audit report, hyperlinks are retained.	Area of Non-Conformity <i>(Only check box when there is a non-conformity, and only in the box/es where the non-conformity can be found)</i>				Record the number of issues by line*:			Findings <i>(note to auditor, summarise in as few words as possible NCs, Obs and GE)</i>	
	ETI Base Code	Local Law	Additional Elements	Customer Code	NC	Obs	GE		
0A	Universal Rights covering UNGP			<input checked="" type="checkbox"/>	<input type="checkbox"/>		2	0	1/The company does not measure their direct, indirect, and potential impacts on stakeholders (rights holder) human rights 2/ The company does not identify an adverse impact on human rights within any of their stakeholders and address effective remediation.
0B	Management systems and code implementation		<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	1	0	0	The factory did not update the legal requirement in 2022 with written records following the established procedures
1.	Freely chosen Employment	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				No issue
2	Freedom of Association	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				No issue
3	Safety and Hygienic Conditions	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input type="checkbox"/>	1	0	0	During the factory tour, 2 out of 8 observed workers did not use proper facemask (Activated carbon filter type) when working at painting section.
4	Child Labour	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				No issue
5	Living Wages and Benefits	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				No issue
6	Working Hours	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				No issue
7	Discrimination	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>				No issue

8	Regular Employment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				No issue
8A	Sub-Contracting and Homeworking		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				No issue
9	Harsh or Inhumane Treatment	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				No issue
10A	Entitlement to Work		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				No issue
10B4	Environment 4-Pillar		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				No issue
10C	Business Ethics		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				No issue

General observations and summary of the site:

The factory is in Chon Thanh Industrial Zone, Chon Thanh district, Binh Phuoc province. The company has recruitment policies & procedures, age verification procedures in place. The facility requires new workers to have age proofs (e.g., family book, ID card, education certificate, historical reference check with approved by local Authority) for verifications at the recruitment. The facility also requires worker's original ID for double check during the recruitment. There are not any child labours observed during the site tour. There are not any historical child labours found per the document review & interview. The youngest working age is 18 years old. There are not any discriminations found. Workers have the same opportunity for recruitment, paying, training, promotion, etc.

All workers were hired directly by the employees. The facility does not used any sub-leasing workers, home-working workers. Workers are free of charge for the recruitment processes. The promised terms are same with the actual contracted terms. Each worker keeps 01 valid copy of signed labour contract.

The facility has policies& procedures to prohibit physical abuses, threat of physical abuses, sexual or other harassments, etc. Any violations against the facility's labour rule investigated by the disciplinary committee with the Trade Union representatives. All workers were Vietnamese and no foreign workers at site. The facility has policy prohibits any forms of the force labour. There is not any evidence of the forced overtime labour, bonded labour, human trafficked labour, prison labour, etc. The facility does not keep any worker's original documents (e.g. ID, education certificate, etc.). The facility requests the worker's original ID for double check during the job interview & return it back immediately. There are not any loan & deposits schemes in operation. There are not any restrictions on the workers' freedom to terminate employment.

The facility has a legal formed Trade Union. Worker representatives vote their Trade Union chief. Workers freely join the Trade Union with written consents. The facility has human right policies/procedures & posts them at the facility's information boards. The facility requires its business partners to signs commitment to follow the human right at their facility. The facility has grievance mechanisms in place for confidential reporting & dealing with human impacts without fear.

Per observation, the working condition is safe for all workers. The facility installed centre alarm system, fire hydrant & water sprinkler system. All production area had enough emergency exits with exit signs and emergency lights. The workers can access the drinking water and toilet freely during working hour. No movement restriction was noted during the current assessment.

**Please note the table above records the total number of Non-compliances (NC), Observations (Obs) and Good Examples (GE). This gives the reviewer an indication of problem areas but does not detail severities of each issue – Reviewers need to check audit results by clause.*

Site Details

Site Details			
A: Company Name:	Jyn Yang Company Limited		
B: Site name:	Jyn Yang Company Limited		
C: GPS location: (If available)	GPS Address: Lot A10.1-A10.2-A10.3, Chon Thanh 1 Industrial Park, Hamlet 2, Thanh Tam Village, Chon Thanh District, Binh Phuoc Province	Latitude: 11.38856001 Longitude: 106.5981755	
D: Applicable business and other legally required licence numbers and documents, for example, business license number, liability insurance, any other required government inspections	The business license No. 3801137435 since December 13, 2016, and the most updated on August 22, 2019.		
E: Products/Activities at site, for example, garment manufacture, electricals, toys, grower, cutting, sewing, packing etc	Indoor Furniture		
F: Site description: (Include size, location, and age of site. Also, include structure and number of buildings)	Production Building No.1	Description	Remark, if any
	Ground Floor	Processing,	Nil
	Is this a shared building?	No	Nil
	Production Building No.2	Description	Remark, if any
	Ground Floor	Painting	Nil
	Is this a shared building?	No	Nil
	Production Building No.3	Description	Remark, if any
	Ground Floor	Finishing section, Finishing warehouse	Nil
	Is this a shared building?	No	Nil

	Production Building No.4	Description	Remark, if any
	Ground Floor	Office	Nil
	Floor 1	Office	Nil
	Floor 2	Office	Nil
	Is this a shared building?	No	Nil
	<p>The total area of 16,914 square meter. All buildings were built for industrial purpose and made of bricks, concretes, and metal.</p> <p>For below, please add any extra rows if appropriate.</p> <p>F1: Visible structural integrity issues (large cracks) observed. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>F2: Please give details: The building is in good condition.</p> <p>F3: Does the site have a structural engineer evaluation? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>F4: Please give details: The evaluation was conducted in January 2022.</p>		
G: Site function:	<input type="checkbox"/> Agent <input checked="" type="checkbox"/> Factory Processing/Manufacturer <input type="checkbox"/> Finished Product Supplier <input type="checkbox"/> Grower <input type="checkbox"/> Homeworker <input type="checkbox"/> Labour Provider <input type="checkbox"/> Pack House <input type="checkbox"/> Primary Producer <input type="checkbox"/> Service Provider <input type="checkbox"/> Sub-Contractor		
H: Month(s) of peak season: (if applicable)	NA – No peak season		
I: Process overview: (Include products being produced, main operations, number of production lines, main equipment used)	<p>The factory specialized in manufacturing indoor furniture. Production process included Raw Material, Processing, Painting, Finishing, Packing.</p> <p>The production line: 5 Main Equipment use: Saw machines, Painting Chambers</p>		
J: What form of worker representation / union is there on site?	<input checked="" type="checkbox"/> Union (name): Trade Union of Jyn Yang Company <input type="checkbox"/> Worker Committee <input type="checkbox"/> Other (specify) <input type="checkbox"/> None		
K: Is there any night production work at the site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		

<p>L: Are there any on site provided worker accommodation buildings e.g. dormitories</p>	<p> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No L1: If yes, approx. % of workers in on site accommodation </p>
<p>M: Are there any off site provided worker accommodation buildings</p>	<p> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No M1: If yes, approx. % of workers </p>
<p>N: Were all site-provided accommodation buildings included in this audit</p>	<p> <input type="checkbox"/> Yes <input type="checkbox"/> No N1: If no, please give detail: NA. No accommodation buildings on site. </p>

Audit Parameters			
A: Time in and time out	Day 1 Time in: 8:30 Day 1 Time out: 17:30	Day 2 Time in: 8:30 Day 2 Time out: 14:30	Day 3 Time in: NA Day 3 Time out: NA
B: Number of auditor days used:	2.5 man-days Day 1: Tran Tan Hong – Alan Le Khang Day 2: Tran Tan Hong		
C: Audit type:	<input checked="" type="checkbox"/> Full Initial <input type="checkbox"/> Periodic <input type="checkbox"/> Full Follow-up <input type="checkbox"/> Partial Follow-Up <input type="checkbox"/> Partial Other If other, please define:		
D: Was the audit announced?	<input checked="" type="checkbox"/> Announced <input type="checkbox"/> Semi – announced: Window detail: weeks <input type="checkbox"/> Unannounced		
E: Was the Sedex SAQ available for review?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If No, why not		
F: Any conflicting information SAQ/Pre-Audit Info to Audit findings?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If Yes , please capture detail in appropriate audit by clause		
G: Who signed and agreed CAPR (Name and job title)	Mr. TRAN HUU TAI – DEPUTY DIRECTOR		
H: Is further information available (if yes, please contact audit company for details)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
I: Previous audit date:	NA		
J: Previous audit type:	NA		
K: Were any previous audits reviewed for this audit	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A		

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

B: Present at the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
C: Present at the closing meeting?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
D: If Worker Representatives were not present please explain reasons why <i>(only complete if no worker reps present)</i>	NA – No workers representative at place		
E: If Union Representatives were not present please explain reasons why: <i>(only complete if no union reps present)</i>	NA		

Worker Analysis

The term "migrant worker" refers to a person who is engaged or has been engaged in a remunerated activity in a country of which they are not a national or permanent resident or has purposely migrated on a temporary basis to another in-country region to seek and engage in a remunerated activity.

Worker Analysis								
	Local			Migrant*			Home workers	Total
	Permanent	Temporary	Agency	Permanent	Temporary	Agency		
Worker numbers – Male	106	0	0	0	0	0	0	106
Worker numbers – female	120	0	0	0	0	0	0	120
Total	226	0	0	0	0	0	0	226
Number of Workers interviewed – male	16	0	0	0	0	0	0	16
Number of Workers interviewed – female	10	0	0	0	0	0	0	10
Total – interviewed sample size	26	0	0	0	0	0	0	26



A: Nationality of Management	Taiwanese, Vietnamese	
<p>B: Please list the nationalities of all workers, with the three most common nationalities listed first. <i>Please add more nationalities as applicable to site. Add more rows if required.</i></p>	<p>Nationalities: B1: Nationality 1: ___Vietnamese___ B2: Nationality 2: _____ B3: Nationality 3: _____</p>	<p>Was the list completed during peak season? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>If no, please describe how this may vary during peak periods: No peak season at the factory.</p>
C: Please provide more information for the three most common nationalities.	<p>C: approx % total workforce: Nationality 1 ___100%___ C1: approx % total workforce: Nationality 2 _____ C2: approx % total workforce: Nationality 3 _____</p>	
D: Worker remuneration <i>(management information)</i>	<p>D: _____% workers on piece rate D1: __100___% hourly paid workers D2: _____% salaried workers</p> <p>Payment cycle: D3: _____% daily paid D4: _____% weekly paid D5: __100___% monthly paid D6: _____% other D7: If other, please give details</p>	



Worker Interview Summary	
A: Were workers aware of the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
B: Were workers aware of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
C: Number of group interviews: <i>(Please specify number and size of groups. Please see SMETA Best Practice Guidance and Measurement Criteria. If the auditor was not able to follow the BPG, please state within the declaration)</i>	4 groups of 5 workers
D: Number of individual interviews <i>(Please see SMETA Best Practice Guidance and Measurement Criteria)</i>	D1: Male: 3 D2: Female: 3
E: All groups of workers are included in the scope of this audit such as; Direct employees, Casual and agency workers, Workers employed by service providers such as security and catering staff as well as workers supplied by other contractors. <i>Note to auditor: please record details of migrant /agency/contractor workers in section 8 – Regular Employment, under Responsible Recruitment</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, please give details NA
F: Interviews were done in private and the confidentiality of the interview process was communicated to the workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
G: In general, what was the attitude of the workers towards their workplace?	<input checked="" type="checkbox"/> Favourable <input type="checkbox"/> Non-favourable <input type="checkbox"/> Indifferent
H: What was the most common worker complaint?	There was no complaint from workers.
I: What did the workers like the most about working at this site?	They are satisfied with the working condition, wages & benefits and working hours. The working time is fit with workers demand and the overtime was based on voluntary basic.
J: Any additional comment(s) regarding interviews:	Nil
K: Attitude of workers to hours worked:	They are satisfied with the working hour and overtime.
L. Is there any worker survey information available?	
<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No L1: If yes, please give details:	

M: Attitude of workers:

(Include their attitude to management, workplace, and the interview process. Both positive and negative information should be included) Note: Do not document any information that could put workers at risk

All interviewed workers were satisfied with the company's working condition, provided wages & benefits. The company management respected their contribution ideas. There were not any negative information coming from the interview.

N: Attitude of worker's committee/union reps:

(Include their attitude to management, workplace, and the interview process. Both positive and negative information should be included) Note: Do not document any information that could put workers at risk

The Trade Union had good cooperation & support during the assessment. The Trade Union confirmed that any decisions from the facility regarding to workers' benefits were consulted with them. The company management supported the Trade Union associate activities.

O: Attitude of managers:

(Include attitude to audit, and audit process. Both positive and negative information should be included)

The company management showed the cooperative & supportive during the assessment. The company management allowed auditors to access relevant documents, records, workers & workplaces. The company management had a commitment for the improvement for the findings

Audit Results by Clause

0A: Universal Rights covering UNGP

[\(Click here to return to summary of findings\)](#)

0.A. Guidance for Observations

0.A.1 Businesses should have a policy, endorsed at the highest level, covering human rights impacts and issues, and ensure it is communicated to all appropriate parties, including its own suppliers.

0.A.2 Businesses should have a designated person responsible for implementing standards concerning Human rights

0.A.3 Businesses shall identify their stakeholders and salient issues.

0.A.4 Businesses shall measure their direct, indirect, and potential impacts on stakeholders (rights holders) human rights.

0.A.5 Where businesses have an adverse impact on human rights within any of their stakeholders, they shall address these issues and enable effective remediation.

0.A.6 Businesses shall have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter.

Note for auditors and readers. This is not a full Human Rights Assessment, but instead a check on the business's implementation of processes to meet their Universal rights covering UNGP responsibilities.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The Human rights policy, Grievance policy, Internal Regulation policy, and Collective Bargaining Agreement were established and communicated with the workers.
- The Internal Regulation was updated on March 11, 2021.
- The Collective Bargaining Agreement were updated on March 11, 2021.
- The Human Rights policy was communicated for all workers.
- Mr. Cao Xuan Phu – HR staff was responsible for implementing the Code.
- The suggestion boxes were placed where workers can use anonymously.
- During having any complaints or problems, the workers could use the suggestion boxes or communicated directly to Trade Union Representative or HR Department.
- The factory set up transparent grievance system in place for confidentially reporting and dealing with human rights impacts without fear of reprisals towards the reporter.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Human right policy & procedure
- Management interview
- Trade Union representative interview
- Worker representative interview
- Business partner document
- Appointing record for person in charge of the ETI Base Code & Human right policies
- Site observation

Any other comments: NONE

<p>A: Policy statement that expresses commitment to respect human rights?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No A1: Please give details: The company had human right policies/procedures with commitments from top management.</p>
<p>B: Does the business have a designated person responsible for implementing standards concerning Human Rights?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Confirmed by the facility management representatives, the right & responsibility of each employee were available in the job description. The company designated senior manager responsible for implementing standards concerning human rights. Name: Mr. Cao Xuan Phu Job title: HR staff</p>
<p>C: Does the business have a transparent system in place for confidentially reporting, and dealing with human rights impacts without fear of reprisals towards the reporter?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No C1: Please give details: The company allowed workers to contribute their ideas or ask the concerns for the company management thru their representatives and /or thru the grievance mechanisms (hotline & suggestion box at workplace, every 03-month workplace dialogue, monthly Trade Union committee meeting, etc.).</p>
<p>D: Does the grievance mechanism meet UNGP expectations? (Legitimate, Accessible, Predictable, Equitable, Transparent, Rights-compatible, a source of continuous learning and based on stakeholder engagement)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No D1: If no, please give details NA</p>
<p>E: Does the business demonstrate effective data privacy procedures for workers' information, which is implemented?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No E1: Please give details: HR department kept workers' files in the secured cabinets per the facility's regulations. Employees' salary was confidential.</p>

Findings		
<p>1/ Finding: Observation <input checked="" type="checkbox"/></p> <p>Description of observation: The company does not identify an adverse impact on human rights within any of their stakeholders and address effective remediation.</p> <p>Local law or ETI/Additional elements / customer specific requirement:</p>	<p>Company NC <input type="checkbox"/></p>	<p>Objective evidence observed:</p> <p>Worker Interview Management interview Document review</p>

<p>ETI Requirement: 0.A.4 Businesses shall measure their direct, indirect, and potential impacts on stakeholders (rights holders) human rights.</p> <p>Comments: NA</p> <p>2/ Finding: Observation <input checked="" type="checkbox"/> Company NC <input type="checkbox"/></p> <p>Description of observation: The company does not identify an adverse impact on human rights within any of their stakeholders and address effective remediation.</p> <p>Local law or ETI/Additional elements / customer specific requirement: ETI Requirement: 0.A.5 Where businesses have an adverse impact on human rights within any of their stakeholders, they shall address these issues and enable effective remediation.</p> <p>Comments: NA</p>	
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Good examples observed:	
<p>Description of Good Example (GE):</p> <p>None was observed</p>	<p>Objective Evidence Observed: Not applicable</p>

Measuring Workplace Impact

Workplace Impact		
A: Annual worker turnover: Number of workers leaving in last 12 months as a % of average total number of workers on site over the year (annual worker turnover)	A1: Last year: __8__ %	A2: This year __12__ %
B: Current % quarterly (90 days) turnover: Number of workers leaving from the first day of the 90 days period through to the last day of the 90 day period / [(number of employees on the 1 st day of 90 day period + number of employees on the last day of the 90 day period) / 2]	15%	
C: Annual % absenteeism: Number of days lost through job absence in the year / [(number of employees on 1 st day of the year + number employees on the last day of the year) / 2] * number available workdays in the year	C1: Last year: __8__ %	C2: This year __8.6__ %
D: Quarterly (90 days) % absenteeism: Number of days lost through job absence in the period / [(Number of employees on 1 st of the period + Number of employees on the last day of the period) / 2] * Number of available workdays in the month	12%	
E: Are accidents recorded?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No E1: Please describe: The factory had established accident investigation records.	
F: Annual Number of work related accidents and injuries per 100 workers: [(Number of work related accidents and injuries * 100) / Number of total workers]	F1: Last year: 2021 Number: 0	F2: This year: 2022 Number: 0
G: Quarterly (90 days) number of work related accidents and injuries per 100 workers: [(Number of work related accidents and injuries * 100) / Number of total workers]	0%	
H: Lost day work cases per 100 workers: [(Number of lost days due to work accidents and work related injuries * 100) / Number of total workers]	H1: Last year: 0%	H2: This year: 0%
I: % of workers that work on average more than 48 standard hours / week in the last 6 / 12 months:	I1: 6 months __0__% workers	I2: 12 months __0__% workers
J: % of workers that work on average more than 60 total hours / week in the last 6 / 12 months:	J1: 6 months __0__% workers	J2: 12 months __0__% workers

0B: Management system and Code Implementation

[\(Click here to return to summary of findings\)](#)

- 0.B.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.
- 0.B.2 Suppliers are expected to be operating legally in premises with the correct business licenses and permissions and to have systems to ensure that all relevant land rights have been complied with
- 0.B.3 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.
- 0.B.4 Suppliers are expected to communicate this Code to all employees.
- 0.B.5 Suppliers should communicate this code to their own suppliers and, where reasonably practicable, extend the principles of this Ethical Code through their supply chain.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The factory was operating with legal business license and had adequate legal permit following Vietnam regulation.
- The internal regulation and collective bargaining agreement were communicated with all workers
- Mr. Cao Xuan Phu – HR Staff is responsible for compliance with the Code.
- The factory established procedures in compliance to this Code. The factory provided annual training about Code Implementation and internal regulation in January 2022.
- The factory communicated the Code to their own suppliers with written statement and review their status annually.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Management interview
- Site observation
- Appointing record for person in charge of the ETI Base Code & Human right policies
- Business partner document

Any other comments: NONE

Management Systems:

A: In the last 12 months, has the site been subject to any fines/prosecutions for non-compliance to any regulations?

- Yes
- No

A1: Please give details:
There were not any fines/prosecutions for non-compliance to any regulations found.

B: Do policies and/or procedures exist that reduce the risk of forced labour, child labour, discrimination, harassment & abuse?

- Yes
- No

B1: Please give details:

	The Company had in place policies and/or procedures that reduced the risk of forced labour, child labour, discrimination, harassment & abuse, etc.
C: If Yes, is there evidence (an indication) of effective implementation? Please give details.	The staff reviewed the policies & procedures in Jan 2022
D: Have managers and workers received training in the standards for forced labour, child labour, discrimination, harassment & abuse?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No D1: Please give details: The Company provided class training on the standards for forced labour, child labour, discrimination, harassment & abuse, etc. for workers in January 2022. The company posted the standards at the company notice boards.
E: If Yes, is there evidence (an indication) that training has been effective e.g. training records etc.? Please give details	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No E1: Please give details: Training effectiveness evaluation record was maintained.
F: Does the site have any internationally recognised system certifications e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits). Please detail (Number and date).	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No F1: Please give details: NA
G: Is there a Human Resources manager/department? If Yes, please detail.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No G1: Please give details: The Company had a separate HR department.
H: Is there a senior person / manager responsible for implementation of the code	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No H1: Please give details: Ms. Ngoc Hang was responsible for implementation of the Code
I: Is there a policy to ensure all worker information is confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No I1: Please give details: The company had policies/ regulations to keep information of workers confidential. Workers' salary and documents were confidential.
J: Is there an effective procedure to ensure confidential information is kept confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No J1: Please give details: The company has a separate HR department. The company kept workers' files in the secured areas. Workers' salary was confidential by bank transfer.

<p>K: Are risk assessments conducted to evaluate policy and procedure effectiveness?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No K1: Please give details: The Company conducted the risk assessment of the policies/procedure on annual basis.</p>
<p>L: Does the facility have a process to address issues found when conducting risk assessments, including implementation of controls to reduce identified risks?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No L1 Please give details: The company had the remediation for any risks identified.</p>
<p>M: Does the facility have a policy/code which require labour standards of its own suppliers?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No M1: Please give details: The Company had its own policies & procedures, which required labour standards of its business partners. The company required partners to sign commitments & have onsite annual audits at least.</p>
<p>Land rights</p>	
<p>N: Does the site have all required land rights licenses and permissions (see SMETA Measurement Criteria)?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No N1: Please give details: The company had a property certificate from the authority to confirm that the organization is the owner of the land and building.</p>
<p>O: Does the site have systems in place to conduct legal due diligence to recognize and apply national laws and practices relating to land title?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No O1: Please give details: The factory had not set up the policy to update the newest legal requirement which related to land title.</p>
<p>P: Does the site have a written policy and procedures specific to land rights. If yes, does it include any due diligence the company will undertake to obtain free, prior and informed consent, (FPIC) even if national/local law does not require it</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No P1: If yes, how does the company obtain FPIC: The Company had policies & procedures specific land rights that included the diligence that the facility undertakes to obtain free, prior, and informed consent.</p>
<p>Q: Is there evidence that facility / site compensated the owner/lessor for the land prior to the facility being built or expanded.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Q1: Please give details: The organization bought the land and paid its formal owner before the construction.</p>
<p>R. Does the facility demonstrate that alternatives to a specific land acquisition were considered to avoid or minimize adverse impacts?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No R1: Please give details: The company had a property certificate from the authority to confirm</p>

	that the organization is the owner of the land and building. No land acquisitions.
S: Is There any evidence of illegal appropriation of land for facility building or expansion of footprint.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No N1: Please give details: The company had a property certificate from the authority to confirm that the organization is the owner of the land and building.

Non-compliance:	
<p>1. Description of non-compliance: <input checked="" type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code:</p> <p>The factory did not update the legal requirement in 2022 with written records following the established procedures</p> <p>Local law and/or ETI requirement: ETI Requirement: 0.B.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.</p> <p>Recommended corrective action: The factory shall update the legal requirement annually.</p>	<p>Objective evidence observed: (where relevant please add photo numbers)</p> <p>Document review Management Interview</p>

Observation: NONE	
<p>Description of observation: None was observed</p> <p>Local law or ETI requirement: Not applicable</p> <p>Comments: Nil</p>	<p>Objective evidence observed:</p> <p>Not applicable</p>

Good Examples observed:	
<p>Description of Good Example (GE):</p> <p>None was observed</p>	<p>Objective evidence observed:</p> <p>Not applicable</p>

1: Freely Chosen Employment

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ETI

1.1 There is no forced, bonded or involuntary prison labour.

1.2 Workers are not required to lodge "deposits" or their identity papers with their employer and are free to leave their employer after reasonable notice.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The facility has a policy prohibits any forms of the forced labour.
 - There is not any evidence of the coercion, bonded labour, human trafficked labour, prison labour, etc.
 - The facility does not keep any worker's original documents (e.g., ID, education certificate, etc.).
- The facility requests the worker is original ID for double check during the job interview & return it back immediately. There are not any loan & deposits schemes in operation. There are not any restrictions on the workers' freedom to terminate the employment.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Management interview
- Worker interview
- Worker representative interview
- Trade union representative interview
- No forced labour policy & procedure
- Worker's file
- Resignation record
- Internal labour rule
- Recruitment policy & procedure & posting
- Disciplinary record

Any other comments: NONE

<p>A: Is there any evidence of retention of original documents, e.g. passports/ID's</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No A1: If yes, please give details and category of workers affected: NA</p>
<p>B: Is there any evidence of a loan scheme in operation</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No B1: If yes, please give details and category of worker affected: NA</p>
<p>C: Is there any evidence of retention of wages /deposits</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No C1: If yes, please give details and category of worker affected: NA</p>

D: Are there any restrictions on workers' freedom to terminate employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No D1: Please describe finding: NA
E: If any part of the business is UK based or registered there & has a turnover over £36m, is there a published a 'modern day slavery statement'?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not applicable E1: Please describe finding: No part of the business is UK base.
F: Is there evidence of any restrictions on workers' freedoms to leave the site at the end of the work day?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No F1: Please describe finding: Workers requested to inform the company their terminations at least 07 days and office staff requested to inform the company their terminations at least 30 days in advance for the definite labour contracts & 45 days for the indefinite labour contracts, which complied with Vietnam law
G: Does the site understand the risks of forced / trafficked / bonded labour in its supply chain	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not applicable G1: If yes, please give details and category of workers affected: The factory had adequate policy and understood the risk of forced /trafficked / bonded labour in its supply chain.
H: Is the site taking any steps taking to reduce the risk of forced / trafficked labour?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No H1: Please describe finding: The Company has proper policies & procedures on the forced labour and integrated them into recruitment policies & procedures.

Non-compliance: NONE	
<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law: <input type="checkbox"/> NC against customer code:</p> <p>None was observed Local law and/or ETI requirement Not applicable</p> <p>Recommended corrective action: Not applicable</p>	<p>Objective evidence observed: (where relevant please add photo numbers)</p> <p>Not applicable</p>

Observation: NONE	
<p>Description of observation: None was observed Local law or ETI requirement: Not applicable Comments: Nil</p>	<p>Objective evidence observed: Not applicable</p>

Good Examples observed: NONE

Description of Good Example (GE):

Objective evidence observed:

2: Freedom of Association and Right to Collective Bargaining are Respected

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ETI

- 2.1 Workers, without distinction, have the right to join or form trade unions of their own choosing and to bargain collectively.
- 2.2 The employer adopts an open attitude towards the activities of trade unions and their organisational activities.
- 2.3 Workers' representatives are not discriminated against and have access to carry out their representative functions in the workplace.
- 2.4 Where the right to freedom of association and collective bargaining is restricted under law, the employer facilitates, and does not hinder, the development of parallel means for independent and free association and bargaining.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The workers have their right to join trade union and establish collective bargain agreement. The management representatives adopt an open attitude towards activities of trade union.
- The organization has a legal formed Trade Union. The worker representatives voted their Trade Union members. In addition, they freely joined the Trade Union. The Trade Union Leadership was elected from December 7, 2020.
- Workers' representatives are not discriminated for their role.
- The organization management did not interfere to any activities of the Trade Union. Right to freedom of association and collective bargain is not restricted under law and respected by the managers.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Trade Union Leader interview
- Worker interview
- Trade Union voting record
- Two-way communication records.

Any other comments: NA

<p>A: What form of worker representation/union is there on site?</p>	<p><input checked="" type="checkbox"/> Union (name) Trade Union of Jyn Yang Company <input type="checkbox"/> Worker Committee <input type="checkbox"/> Other (specify) <input type="checkbox"/> None</p>
<p>B: Is it a legal requirement to have a union?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>

C: Is it a legal requirement to have a worker's committee?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
D: Is there any other form of effective worker/management communication channel? (Other than union/worker committee e.g. H&S, sexual harassment)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No D1: Please give details: Grievance mechanism, periodical meeting of the Trade Union committee, regular meeting of the H&S committees, Sanitation health & safety collaborative network, regular social dialogue, etc. D2: Is there evidence of free elections? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
E: Does the supplier provide adequate facilities to allow the Union or committee to conduct related business?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No E1: Please give details: The company management provided confidential rooms for the meeting when required. The company management did not interfere to any activities of the Trade Union	
F: Name of union and union representative, if applicable:	Trade Union of Jin Yang Co.Ltd Leader: MR. Cao Xuan Phu	F1: Is there evidence of free elections? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
G: If there is no union, is there a parallel means of consultation with workers e.g. worker committees?	NA	G1: Is there evidence of free elections? <input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A
H: Are all workers aware of who their representatives are?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
I: Were worker representatives freely elected?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	I1: Date of last election: November 4, 2019.
J: Do workers know what topics can be raised with their representatives?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
K: Were worker representatives/union representatives interviewed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If Yes , please state how many: 26 union member/ 1 Union Leader	
L: Please describe any evidence that union/worker's committee is effective? <i>Specify date of last meeting; topics covered; how minutes were communicated etc.</i>	The regular meeting minute was available. The last meeting: May 2022 The social dialogue minute was available. The last social dialogue: December 2021 The content of meeting was communicated with workers and written in records.	

M: Are any workers covered by Collective Bargaining Agreement (CBA)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
If Yes , what percentage by trade Union/worker representation	M1: <u>100</u> % workers covered by Union CBA	M2: <u>0</u> % <u>0</u> % workers covered by worker rep CBA
M3: If Yes , does the Collective Bargaining Agreement (CBA) include rates of pay?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	

Non-compliance: NONE	
<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code: None was observed Local law and/or ETI requirement: Not applicable Recommended corrective action: Nil</p>	<p>Objective evidence observed: (where relevant please add photo numbers) Not applicable</p>

Observation: NONE	
<p>Description of observation: None was observed Local law or ETI requirement: Not applicable Comments: Nil</p>	<p>Objective evidence observed: Not applicable</p>

Good Examples observed: NONE	
<p>Description of Good Example (GE): None was observed</p>	<p>Objective evidence observed: Not applicable</p>

3: Working Conditions are Safe and Hygienic

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ETI

- 3.1 A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimising, so far as is reasonably practicable, the causes of hazards inherent in the working environment.
- 3.2 Workers shall receive regular and recorded Health & Safety training, and such training shall be repeated for new or reassigned workers.
- 3.3 Access to clean toilet facilities and to potable water, and, if appropriate, sanitary facilities for food storage shall be provided.
- 3.4 Accommodation, where provided, shall be clean, safe, and meet the basic needs of the workers.
- 3.5 The company observing the code shall assign responsibility for Health & Safety to a senior management representative.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The building construction permits issued by the authority and construction safety verification taken before using.
- Firefighting facility designs are approved, and firefighting facilities were inspected and verified by the firefighting police.
- Firefighting scenarios were approved in May 2021. Fire insurance contract was signed valid to 22/11/2022.
- Firefighting team with 25 members were trained about fire skilled by fire police. Lightning test was conducted in March/2022 with acceptable result.
- The smoke detector, sprinkler system, fire reel hose, fire alarm button, exit and emergency lights and fire extinguishers were installed in the production buildings and worked well as testing confirmed.
- The firefighting water pumping generator had been operated weekly and recorded on logbook. Emergency response procedure was established. Chemicals emergency response drill was done in January 2022.
- Working environment factors as air emission, dust, noise, chemical vapour etc. was tested annually and the last monitoring report was on 09/05/2022, all sampled areas have met testing standard. There were forklifts, air compressors, used in the facility. The equipment was inspected by the competent third party with acceptable result and they were reported to the authority as legal requirement.
- Mandatory safety training for workers and high danger equipment operators conducted in February 2022.
- The equipment operators were trained for operation safety with related document and certificate confirmed. Health examination conducted regularly as legal requirement; the last check-up report was in March 2022.
- There is 1 physician working at factory. The company has signed medical support contract with nearest General clinic Saigon faraway 3km from facility, it met legal requirement. There is first aid team are appointed that the company.
- First aid training was conducted for first aiders on 29/11/2021. Drinking water are tested, the last testing report was on 23/06/2022 with acceptable result, and there was adequate related document available.
- Occupation health and safety training were conducted in November 2021 for the employees. Hygiene and safety team was established, and hygiene and safety check had been conducted regularly.

- PPEs were provided for employees with record confirmed. Some workers are not worn PPEs fully such as chemical proof mask during working time.
- Food safety and hygiene commitment signed by sub-contracted on 15/12/2021. Canteen staffs were provided food safety and hygiene training and health check in January 2022.
- The company appointed persons responsible for the health and Safety.
- The company conducted risk assessment and review in March 2021.
- The company provided clean toilet facility.
- The company provided transportation for office staffs.
- There were canteen & kitchen at the company.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Firefighting and preventing approved scenario, fire drill and firefighting training records
- Building structure safety certificate
- Drinking water test records
- Maintenance plan and records for machines, firefighting equipment, electricity
- Chemical handling, storage procedures
- Machine inspection certificates
- Health and safety policy
- Health and safety procedures, instructions and training records
- Medical logbooks, work-accident/injury logs, medical check-up records
- Training records and certificates
- Fire equipment maintenance records
- Fire drill records
- Certificate of doctor and medical staff
- Risk assessment about health and safety.
- PPE tracking record
- Trained first aider register
- Interviews with workers and H&S person in-charge
- Accident reports

Any other comments: NA

<p>A: Does the facility have general and occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No A1: Please give details: The company has established the health and safety policy and it is posted at production area.</p>
<p>B: Are the policies included in workers' manuals?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No B1: Please give details: There is worker manual, the health and safety policy are included in worker's manual.</p>
<p>C: Are there any structural additions without required permits/inspections (e.g. floors added)?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No C1: Please give details: No additional floor was found during assessment. All buildings had required construction permit.</p>

<p>D: Are visitors to the site informed on H&S and provided with personal protective equipment</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>D1: Please give details: The EHS officer introduces the general health & safety regulations for visitors. The visitors are requested to wear appropriate PPE before entering the required areas.</p>
<p>E: Is a medical room or medical facility provided for workers?</p> <p>If yes, do the room(s) meet legal requirements and is the size/number of rooms suitable for the number of workers.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>E1: Please give details: There is medical room in the facility. The company has signed medical service contract with the hospital for emergency case. The hospital is nearby the company.</p>
<p>F: Is there a doctor or nurse on site or there is easy access to first aider/trained medical aid?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>F1: Please give details: The company has first aid team trained annually. Their list is posted in the workshops.</p>
<p>G: Where the facility provides worker transport - is it fit for purpose, safe, maintained and operated by competent persons e.g. buses and other vehicles?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>G1: Please give details: There is no transportation service for the employee.</p>
<p>H: Is secure personal storage space provided for workers in their living space and is fit for purpose?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>H1: Please give details: NA, no dormitory is provided for employees.</p>
<p>I: Are H&S Risk assessments are conducted (including evaluating the arrangements for workers doing overtime e.g. driving after a long shift) and are there controls to reduce identified risk?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>I1: Please give details: Risk assessment are conducted for all working areas in the company. The risks also include arrangements for workers doing overtime and night shift and driving. The factory implemented controls to reduce a risk (Safety mechanism for machines, arrange short break for workers, provide proper PPE)</p>
<p>J: Is the site meeting its legal obligations on environmental requirements including required permits for use and disposal of natural resources?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>J1: Please give details: The company has updated and applied timely the newest requirements for use related to environment. The company has signed service contract with external company.</p>
<p>K: Is the site meeting its customer requirements on environmental standards, including the use of banned chemicals?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>K1: Please give details: The company is complying with the customer requirements on environment standards. There are not any banned chemicals used on site.</p>

Non-compliance:	
<p>1. Description of non-compliance: <input checked="" type="checkbox"/> NC against ETI <input checked="" type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code:</p> <p>During the factory tour, 2 out of 8 observed workers did not use proper facemask (Activated carbon filter type) when working at painting section.</p> <p>Local law and/or ETI requirement Local Law: Law on occupational safety and hygiene (Law No. 84/2015/QH13), Article 23. Personal protective equipment, 1. The employer shall adequately provide every employee who does dangerous or harmful works with personal protective equipment, and he/she is required to use it during work.</p> <p>ETI Requirement: 3.1 A safe and hygienic working environment shall be provided, bearing in mind the prevailing knowledge of the industry and of any specific hazards. Adequate steps shall be taken to prevent accidents and injury to health arising out of, associated with, or occurring in the course of work, by minimizing, so far as is reasonably practicable, the causes of hazards inherent in the working environment. 3.2 Workers shall receive regular and recorded Health & Safety training, and such training shall be</p> <p>Recommended corrective action: The factory shall ensure all workers use proper PPE when working with the chemical.</p>	<p>Objective evidence observed: <i>(where relevant please add photo numbers)</i></p> <p>Factory Tour Document Review Worker Interview Photo NC-1</p>

Observation: NONE	
<p>Description of observation: None was observed</p> <p>Local law or ETI requirement: Not applicable</p> <p>Recommended corrective action: Nil</p>	<p>Objective evidence observed: Not applicable</p>

Good Examples observed: NONE	
<p>Description of Good Example (GE): None</p>	<p>Objective Evidence Observed: NA</p>

4: Child Labour Shall Not Be Used

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ETI

- 4.1 There shall be no new recruitment of child labour.
- 4.2 Companies shall develop or participate in and contribute to policies and programmes which provide for the transition of any child found to be performing child labour to enable her or him to attend and remain in quality education until no longer a child.
- 4.3 Children and young persons under 18 shall not be employed at night or in hazardous conditions.
- 4.4 These policies and procedures shall conform to the provisions of the relevant ILO Standards.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The facility has recruitment policies & procedures, age verification procedures in place.
- The facility required new workers to have age proofs (e.g., family book, ID card, education certificate, historical reference check with approved by local Authority) for verifications at the recruitment.
- The facility also required worker's original ID for double check during the recruitment.
- There were no child labours observed during the site tour. There were not any historical child labours found per the document review & interview.
- The youngest working age is 18 years old.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Recruitment policy & procedure
- Age verification procedure
- Recruitment poster
- List of workers with birthday
- Worker file
- Site observation
- Worker interview

Any other comments: NONE

A: Legal age of employment:	18 years old
B: Age of youngest worker found:	18 years old
C: Are there children present on the work floor but not working at the time of audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
D: % of under 18's at this site (of total workers)	0 %

<p>E: Are workers under 18 subject to hazardous work assignments? (Go to clause 3 – Health and Safety)</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No E1: If yes, give details NA</p>
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Non-compliance: NONE	
<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code: None was observed Local law and/or ETI requirement: NA Recommended corrective action: Nil</p>	<p>Objective evidence observed: (where relevant please add photo numbers) NA</p>

Observation: NONE	
<p>Description of observation: None was observed Local law or ETI requirement: NA Comments: Nil</p>	<p>Objective evidence observed: NA</p>

Good Examples observed: NONE	
<p>Description of Good Example (GE): None was observed</p>	<p>Objective Evidence Observed: NA</p>

5: Living Wages are Paid

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[\(Click here to return to Key information\)](#)

ETI

5.1 Wages and benefits paid for a standard working week meet, at a minimum, national legal standards or industry benchmark standards, whichever is higher. In any event wages should always be enough to meet basic needs and to provide some discretionary income.

5.2 All workers shall be provided with written and understandable information about their employment conditions in respect to wages before they enter employment and about the particulars of their wages for the pay period concerned each time that they are paid.

5.3 Deductions from wages as a disciplinary measure shall not be permitted nor shall any deductions from wages not provided for by national law be permitted without the expressed permission of the worker concerned. All disciplinary measures should be recorded.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The company had internal wage policy updated from January 2021.
- The factory applied hourly rate salary for all employees.
- The legal minimum wage (Zone 2) was VND 3,920,000 and the factory paid the lowest salary VND 4,405,000 per month.
- The payment day was 10th day of following month, and the salary was paid in cash. The salary period was from 1st to 30th /31st day of the month. Payslip with detail information was provided for employees.
- The 14 annual leave days were provided for workers as standard benefit. Besides, sick leaves and maternity leaves were provided for all workers as legal requirement. All workers were guaranteed with social insurance.
- Per workers interview and site examination, no monetary deduction was applied as discipline practices. All disciplines measures were recorded in written records.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Internal wage policy
- Working hour record
- Wage records (June 2021 – May 2022)
- Leave pay record 2021 and 2022
- Worker resignation record
- Labour contract
- Insurance pay record
- Management interview
- Trade Union interview
- Worker representative interview

Any other comments: None

Non-compliance: NONE	
<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code:</p> <p>None was observed</p> <p>Local law and/or ETI requirement: NA</p> <p>Recommended corrective action: Nil</p>	<p>Objective evidence observed: (where relevant please add photo numbers) NA</p>

Observation: NONE	
<p>Description of observation: None was observed</p> <p>Local law or ETI requirement: NA</p> <p>Comments: Nil</p>	<p>Objective evidence observed: NA</p>

Good Examples observed: NONE	
<p>Description of Good Example (GE): NA</p>	<p>Objective Evidence Observed: NA</p>

Summary Information

Criteria	Local Law <i>(Please state legal requirement)</i>	Actual at the Site <i>(Record site results against the law)</i>	Is this part of a Collective Bargaining Agreement?
A: Standard/Contracted work hours: <i>(Maximum legal and actual required working hours excluding overtime, please state if possible per day, week, and month)</i>	Legal maximum: 8 hrs a day/ 48 hrs a week	A1: 08 hrs a day/ 48 hrs a week	A2: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
B: Overtime hours: <i>(Maximum legal and actual overtime hours, please state if possible per day, week, and month)</i>	Legal maximum: 4 hrs a day/ 40 hours per month (Before April 2022) 4 hrs a day/ 60 hours per month (Since April 2022 till now)	B1: 1 hrs a day/ 20 hours a month	B2: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
C: Wage for standard/contracted hours:	Legal minimum:	C1:	C2: <input checked="" type="checkbox"/> Yes

(Minimum legal and actual minimum wage at site, please state if possible per hr, day, week, and month)	VND 3,920,000 per month	VND 4,405,000 per month	<input type="checkbox"/> No
D: Overtime wage: (Minimum legal and actual minimum overtime wage at site, please state if possible per hr, day, week, and month)	Legal minimum: Normal OT: 150% of basic salary Rest day OT: 200% of basic salary National Holiday: 300% of basic salary.	D1: Normal OT: 150% of basic salary Rest day OT: 200% of basic salary National Holiday: 300% of basic salary.	D2: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

Wages analysis: (Click here to return to Key Information)	
A: Were accurate records shown at the first request?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
A1: If No , why not?	NA
B: Sample Size Checked (State number of worker records checked and from which weeks/months – should be current, peak, and random/low. Please see SMETA Best Practice Guidance and Measurement Criteria)	26 samples of the current month: May 2022 26 samples of the random month: February 2022 26 samples of the random month: October 2021
C: Are there different legal minimum wage grades? If Yes , please specify all.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No C1: If Yes , please give details: NA
D: If there are different legal minimum grades, are all workers graded and paid correctly?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A D1: If No , please give details: NA
E: For the lowest paid production workers, are wages paid for standard/contracted hours (excluding overtime) below or above the legal minimum?	<input type="checkbox"/> Below legal min <input type="checkbox"/> Meet <input checked="" type="checkbox"/> Above E1: Lowest actual wages found: <i>Note: full time employees and please state hour / week / month etc.</i> VND 21,177 / hour VND 169,416 / day VND 4,405,000 month
F: Please indicate the breakdown of workforce per earnings:	F1: ___% of workforce earning under minimum wage F2: ___% of workforce earning minimum wage F3: _100_% of workforce earning above minimum wage
G: Bonus Scheme found:	Bonus Scheme found:

<p>Please specify details:</p>	<p>Note: type of employee (e.g. full time, temp, etc.) and please state which units e.g. /hour /week /month etc.</p> <p>Attendance Allowance: VND 500,000 per month</p>		
<p>H: What deductions are required by law e.g. social insurance? Please state all types:</p>	<p>Compulsory Insurance (Social Insurance, Health Insurance, Jobless Insurance)</p>		
<p>I: Have these deductions been made?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<p>I1: Please list all deductions that have been made.</p>	<p>1. Compulsory insurance Please describe: 10.5% wage (8% social insurance, 1.5% health insurance, 1% unemployment insurance);</p>
		<p>I2: Please list all deductions that have not been made.</p>	<p>1. Personal protective equipment (PPE) 2. Working tool 3. Training fee 4. Uniform fee</p>
<p>J: Were appropriate records available to verify hours of work and wages?</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
<p>K: Were any inconsistencies found? (if yes describe nature)</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	<p>K1: Type NA</p> <input type="checkbox"/> Poor record keeping <input type="checkbox"/> Isolated incident <input type="checkbox"/> Repeated occurrence:	
<p>L: Do records reflect all time worked? (For instance, are workers asked to attend meetings before or after work but not paid for their time)</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <p>L1: Please give details: Per employees' interview and document review, all working hours were recorded and no extra working hours/ meeting time.</p>		
<p>M: Is there a defined living wage: <i>This is <u>not normally</u> minimum legal wage. If answered yes, please state amount and source of info: Please see SMETA Best Practice Guidance and Measurement Criteria.</i></p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <p>M1: Please specify amount/time: NA</p>		
<p>M2: If yes, what was the calculation method used.</p>	<input type="checkbox"/> ISEAL/Anker Benchmarks <input type="checkbox"/> Asia Floor Wage <input type="checkbox"/> Figures provided by Unions <input type="checkbox"/> Living Wage Foundation UK <input type="checkbox"/> Fair Wear Wage Ladder <input type="checkbox"/> Fairtrade Foundation <p>Other – please give details: NA – The factory used their own calculation.</p>		

<p>N: Are there periodic reviews of wages? If Yes give details (include whether there is consideration to basic needs of workers plus discretionary income).</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No N1: Please give details: The salary was reviewed annual in January based on the worker performance and business profit. They were also considered the actual living income of major workers.</p>
<p>O: Are workers paid in a timely manner in line with local law?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>
<p>P: Is there evidence that equal rates are being paid for equal work:</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No P1: Please give details: The company paid workers per the internal wage policy & per the labour contract. There were not any discriminations in payment found.</p>
<p>Q: How are workers paid:</p>	<p><input checked="" type="checkbox"/> Cash <input type="checkbox"/> Cheque <input type="checkbox"/> Bank Transfer <input type="checkbox"/> Other Q1: If other, please explain: NA</p>

6: Working Hours are not Excessive

[\(Click here to return to summary of findings\)](#)

[\(Click here to return to Key Information\)](#)

ETI

6.1 Working hours must comply with national laws, collective agreements, and the provisions of 6.2 to 6.6 below, whichever affords the greater protection for workers. Sub-clauses 6.2 to 6.6 are based on international labour standards.

6.2 Working hours, excluding overtime, shall be defined by contract, and shall not exceed 48 hours per week.

6.3 All overtime shall be voluntary. Overtime shall be used responsibly, taking into account all the following: the extent, frequency and hours worked by individual workers and the workforce as a whole. It shall not be used to replace regular employment. Overtime shall always be compensated at a premium rate, which is recommended to be not less than 125% of the regular rate of pay.

6.4 The total hours worked in any 7-day period shall not exceed 60 hours, except where covered by clause 6.5 below.

6.5 Working hours may exceed 60 hours in any 7-day period only in exceptional circumstances where **all** of the following are met:

- this is allowed by national law;
- this is allowed by a collective agreement freely negotiated with a workers' organisation representing a significant portion of the workforce;
- appropriate safeguards are taken to protect the workers' health and safety; and
- The employer can demonstrate that exceptional circumstances apply such as unexpected production peaks, accidents or emergencies.

6.6 Workers shall be provided with at least one day off in every 7-day period or, where allowed by national law, 2 days off in every 14-day period.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The factory used fingerprint system to record the working hour.
- The working hour included only one shift: 7:00– 16:00 (Lunch break 12:00 – 13:00). The regular overtime is 2 hours per day if the factory had rush orders.
- The workweek is 6 days (Monday – Saturday), rest day on Sunday.
- The factory had consent from employees for any overtime work. The workers can refuse overtime without any consequences.
- The factory had registered the working hour and overtime through Collective Bargaining Agreement and Internal Regulation.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Internal labour rule
- CBA

<ul style="list-style-type: none"> - OT time voluntary sheet - Management interview - Worker interview - Worker representative interview - Trade Union representative interview - Production record - Security record <p>Any other comments: NA</p>
--

Non-compliance: NONE	
<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code: None was observed Local law and/or ETI requirement: NA Recommended corrective action: Nil</p>	<p>Objective evidence observed: <i>(where relevant please add photo numbers)</i> NA</p>

Observation: NONE	
<p>Description of observation: None was observed Local law or ETI requirement: NA Comments: Nil</p>	<p>Objective evidence observed: NA</p>

Good Examples observed: NONE	
<p>Description of Good Example (GE): NA</p>	<p>Objective Evidence Observed: NA</p>

Working hours' analysis	
<p>Please include time e.g. hour/week/month (Go back to Key information)</p>	
Systems & Processes	
<p>A. What timekeeping systems are used: time card etc.</p>	<p>Describe: Fingerprint Record System</p>

<p>B: Is sample size same as in wages section?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No B1: If no, please give details</p>				
<p>C: Are standard/contracted working hours defined in all contracts/employment agreements?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No C1: If NO, please give details including % and which type of workers do NOT have standard hours defined in contracts/employment agreements. Please give details: NA</p>				
<p>D: Are there any other types of contracts/employment agreements used?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No D1: If YES, please complete as appropriate:</p> <table border="1" data-bbox="687 712 1493 801"> <tr> <td><input type="checkbox"/> 0 hrs</td> <td><input type="checkbox"/> Part time</td> <td><input type="checkbox"/> Variable hrs</td> <td><input type="checkbox"/> Other</td> </tr> </table> <p>If "Other", Please define: NA</p>	<input type="checkbox"/> 0 hrs	<input type="checkbox"/> Part time	<input type="checkbox"/> Variable hrs	<input type="checkbox"/> Other
<input type="checkbox"/> 0 hrs	<input type="checkbox"/> Part time	<input type="checkbox"/> Variable hrs	<input type="checkbox"/> Other		
<p>E. Do any standard/contracted working hours defined in contracts/employment agreements exceed 48 hours per week?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No E1: If yes, please detail hours, %, types of workers affected and frequency Please give details: NA</p>				
<p>F: Are workers provided with at least 1 day off in every 7-day-period, or 2 in 14-day-period?</p>	<p>F2: Please select all applicable: <input checked="" type="checkbox"/> 1 in 7 days <input type="checkbox"/> 2 in 14 days <input type="checkbox"/> No If 'No', please explain:</p> <p>F3: Is this allowed by local law? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Maximum number of days worked without a day off (in sample): 6 days.</p>				
<p>Standard/Contracted Hours worked</p>					
<p>G: Were standard working hours over 48 hours per week found?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No G1: If yes, % of workers & frequency: NA</p>				
<p></p>	<p><input type="checkbox"/> Yes H1: If yes, please give details:</p>				

H: Any local waivers/local law or permissions which allow averaging/annualised hours for this site?	<input checked="" type="checkbox"/> No	NA
Overtime Hours worked		
I: Actual overtime hours worked in sample (State per day/week/month)	Highest OT hours: May 2022: 1 hour per day, 4 hours per week, 11 hours per month February 2022: 1 hour per day, 4 hours per week, 10 hours per month October 2021: 1 hour per day, 10 hours per week, 20 hours per month	
J: Combined hours (standard or contracted + overtime hours = total) over 60 found? Please give details:	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
K: Approximate percentage of total workers on highest overtime hours:	___20___%	
L: Is overtime voluntary?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Conflicting Information	<i>L1: Please detail evidence e.g. Wording of contract / employment agreement / handbook / worker interviews / refusal arrangements:</i>
Overtime Premiums		
M: Are the correct legal overtime premiums paid?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A – there is no legal requirement to OT premium	<i>M1: Please give details of normal day overtime premium as a % of standard wages:</i> 150% wage for working overtime on weekdays, 200% wage for working overtime on rest day
N: Is overtime paid at a premium?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<i>N1: If yes, please describe % of workers & frequency:</i> 100% workers received the full overtime premium per month. 150% for normal OT 200% for Rest Day OT 300% for National Holiday OT
O: If the site pays less than 125% OT premium and this is allowed under local law, are there other considerations? Please	<input type="checkbox"/> No <input type="checkbox"/> Consolidated pay (May be standard wages above minimum legal wage, with no/low overtime premium) <input type="checkbox"/> Collective Bargaining agreements <input checked="" type="checkbox"/> Other	

<p>complete the boxes where relevant.</p>	<p>O1: Please explain any checked boxes above e.g. detail of consolidated pay / CBA or Other</p>
<p>P: If more than 60 total hours per week and this is legally allowed, are there other considerations? Please complete the boxes where relevant.</p>	<p>At least 150% wage was paid for overtime hours</p> <p><input checked="" type="checkbox"/> Overtime is voluntary</p> <p><input type="checkbox"/> Onsite Collective bargaining allows 60+ hours/week</p> <p><input type="checkbox"/> Safeguards are in place to protect worker's health and safety</p> <p><input type="checkbox"/> Site can demonstrate exceptional circumstances</p> <p><input type="checkbox"/> Other reasons (please specify)</p> <p>P1: Please explain any checked boxes above e.g. detail of consolidated pay / CBA or other:</p> <p>The overtime was voluntary by workers</p>
<p>Q: Is there evidence that overtime hours are being used for extended periods to make up for labour shortages or increased order volumes?</p>	<p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No</p> <p>Q1: If yes, please give details: NA</p>
<p>R: If sufficient workers cannot be hired, are new working time arrangements explored to ensure that overtime is the exception rather than the rule.</p>	<p><input type="checkbox"/> Yes</p> <p><input checked="" type="checkbox"/> No</p>

7: No Discrimination is Practiced

[\(Click here to return to summary of findings\)](#)

ETI

7.1 There is no discrimination in hiring, compensation, access to training, promotion, termination or retirement based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The company had non-discrimination policies, provided training for workers, posted the policies at the notice boards.
- Workers had the same opportunity for recruitment, paying, training, promotion, etc.
- There were not any discriminations happened in the factory.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Wage & benefit record
- Worker interview
- Management interview
- Trade Union representative interview
- Worker representative interview
- Resignation record
- Disciplinary record
- Worker's file
- Non-discrimination policy
- Hiring policy & procedure

Any other comments: None

A: Gender breakdown of Management + Supervisors (Include as one combined group)	A1: Male: _70_ % A2: Female _30_ %
B: Number of women who are in skilled or technical roles e.g. where specific qualifications are needed i.e. machine engineer / laboratory analyst:	5
C: Is there any evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or political affiliation?:	<input type="checkbox"/> Hiring <input type="checkbox"/> Compensation <input type="checkbox"/> Access to training <input type="checkbox"/> Promotion <input type="checkbox"/> Termination or retirement

	<input checked="" type="checkbox"/> No evidence of discrimination found C1: Please give details: All workers were treated equally. No case of discrimination was noted.
--	---

Professional Development	
A: What type of training and development are available for workers?	Orientation training, Job skill training

B: Are HR decisions e.g. promotion, training, compensation based on objective, transparent criteria?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No If no, please give details: NA
--	--

Non-compliance: NONE	
1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code: None was observed Local law and/or ETI requirement: NA Recommended corrective action: Nil	Objective evidence observed: (where relevant please add photo numbers) NA

Observation: NONE	
Description of observation: None was observed Local law or ETI requirement: NA Comments: Nil	Objective evidence observed: NA

Good Examples observed: NONE	
Description of Good Example (GE): NA	Objective Evidence Observed: NA

8: Regular Employment Is Provided

[\(Click here to return to summary of findings\)](#)

[\(Click here to return to Key Information\)](#)

ETI

8.1 To every extent possible work performed must be on the basis of recognised employment relationship established through national law and practice.

8.2 Obligations to employees under labour or social security laws and regulations arising from the regular employment relationship shall not be avoided through the use of labour-only contracting, sub-contracting, or home-working arrangements, or through apprenticeship schemes where there is no real intent to impart skills or provide regular employment, nor shall any such obligations be avoided through the excessive use of fixed-term contracts of employment.

Additional Elements: Responsible Recruitment

8.3 Suppliers have full understanding of the entire recruitment process and assess all labour recruiters and intermediaries against legal and/or ethical requirements.

8.4 There are effective management systems in place to identify and monitor the hiring and management of all migrant workers, contract workers, agency workers, temporary or casual labour. The supplier shall implement processes to enable adequate control over agencies with regards the above points and related legislation.

8.5 Employment agencies must only supply workers registered with them.

8.6 Workers pay no recruitment fee at any stage of the recruitment process.

8.7 Worker contracts accurately reflect the agreed payment and terms in the recruitment process and are understood and signed by workers.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The facility confirmed that all production processes are available onsite.
- The facility does not allow any production processes for sub-contracting or homeworking.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Management interview
- Worker interview
- Security record
- Materials in & out record

Any other comments: None

Non-compliance: NONE	
<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code: None was observed Local law and/or ETI requirement: NA Recommended corrective action: Nil</p>	<p>Objective evidence observed: (where relevant please add photo numbers) NA</p>

Observation: NONE	
<p>Description of observation: None was observed Local law or ETI requirement: NA Comments: NIL</p>	<p>Objective evidence observed: NA</p>

Good Examples observed: NONE	
<p>Description of Good Example (GE): None was observed</p>	<p>Objective Evidence Observed: NA</p>

Responsible Recruitment

All Workers	
<p>A: Were all workers presented with terms of employment at the time of recruitment, did they understand them and are they same as current conditions?</p>	<p><input checked="" type="checkbox"/> Terms & Conditions presented <input checked="" type="checkbox"/> Understood by workers <input checked="" type="checkbox"/> Same as actual conditions A1: If any are unchecked, please describe finding and specific category(ies) of workers affected:</p>
<p>B: Did workers' pay any fees, taxes, deposits or bonds for the purpose of recruitment/placement?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No B1: If yes, please describe details and specific category(ies) of workers affected:</p>

C: If yes, check all that apply:	<input type="checkbox"/> Recruitment / hiring fees <input type="checkbox"/> Service fees <input type="checkbox"/> Application costs <input type="checkbox"/> Recommendation fees <input type="checkbox"/> Placement fees <input type="checkbox"/> Administrative, overhead or processing fees <input type="checkbox"/> Skills tests <input type="checkbox"/> Certifications <input type="checkbox"/> Medical screenings <input type="checkbox"/> Passports/ID's <input type="checkbox"/> Work / resident permits <input type="checkbox"/> Birth certificates <input type="checkbox"/> Police clearance fees <input type="checkbox"/> Any transportation and lodging costs after employment offer <input type="checkbox"/> Any transport costs between work place and home <input type="checkbox"/> Any relocation costs after commencement of employment <input type="checkbox"/> New hire training / orientation fees <input type="checkbox"/> Medical exam fees <input type="checkbox"/> Deposit bonds or other deposits <input type="checkbox"/> Any other non-monetary assets <input type="checkbox"/> Other – C1: If other, please give details:
D: If any checked, give details:	NA

Migrant Workers:	
<i>The term "migrant worker" refers to a person who is engaged or has been engaged in a remunerated activity in a country of which they are not a national or permanent resident or has purposely migrated on a temporary basis to another in-country region to seek and engage in a remunerated activity</i>	
A: Type of work undertaken by migrant workers:	There were no migrant workers at the company.
B: Please give details about recruitment agencies for migrant workers:	B1: Total number of (in country recruitment agencies) used: NA B2: Total number of (outside of local country) recruitment agencies used: NA
C: Are migrant workers' voluntary deductions (such as for remittances) confirmed in writing by the worker and is evidence of the transaction supplied by the facility to the worker?	<input type="checkbox"/> Yes <input type="checkbox"/> No C1: Please describe finding: C2: Observations: NA
D: Are Any migrant workers in skilled, technical, or management roles <i>Migrant Workers (this should include all migrant workers including permanent workers, temporary and/or seasonal workers)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No D1: If yes, number and example of roles: NA

NON-EMPLOYEE WORKERS

Recruitment Fees:	
A: Are there any fees?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
B: If yes, check all that apply:	<input type="checkbox"/> Recruitment / hiring fees <input type="checkbox"/> Service fees <input type="checkbox"/> Application costs <input type="checkbox"/> Recommendation fees <input type="checkbox"/> Placement fees <input type="checkbox"/> Administrative, overhead or processing fees <input type="checkbox"/> Skills tests <input type="checkbox"/> Certifications <input type="checkbox"/> Medical screenings <input type="checkbox"/> Passports/ID's <input type="checkbox"/> Work / resident permits <input type="checkbox"/> Birth certificates <input type="checkbox"/> Police clearance fees <input type="checkbox"/> Any transportation and lodging costs after employment offer <input type="checkbox"/> Any transport costs between work place and home <input type="checkbox"/> Any relocation costs after commencement of employment <input type="checkbox"/> New hire training / orientation fees <input type="checkbox"/> Medical exam fees <input type="checkbox"/> Deposit bonds or other deposits <input type="checkbox"/> Any other non-monetary assets <input type="checkbox"/> Other B1 – If other, please give details: NA
C: If any checked, give details:	NA

Agency Workers (if applicable) <i>(workers sourced from a local agent who are not directly paid by the site, but paid by the agency, Usually the agencies are paid by the site and the wages of the individual workers are paid by the agency.)</i>	
A: Number of agencies used (average):	A1: Names if available: NA
B: Were agency workers' age / pay / hours included within the scope of this audit?	<input type="checkbox"/> Yes <input type="checkbox"/> No NA
C: Were sufficient documents for agency workers available for review?	<input type="checkbox"/> Yes <input type="checkbox"/> No NA
D: Is there a legal contract / agreement with all agencies?	<input type="checkbox"/> Yes <input type="checkbox"/> No D1: Please give details: NA

<p>E: Does the site have a system for checking labour standards of agencies? If yes, please give details.</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>E1: Please give details: NA</p>
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Contractors: <i>Note: contractors in this context are generally individuals who supply several workers to a site. Usually the contractors are paid by the site and the wages of the workers are paid by the contractor. Common terms include, gang bosses, labor provider,</i>	
<p>A: Any contractors on site?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>A1: If yes, how many contractors are present, please give details:</p>
<p>B: If Yes, how many workers supplied by contractors?</p>	<p>NA</p>
<p>C: Do all contractor workers understand their terms of employment?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>C1: Please describe finding: NA</p>
<p>D: If Yes, please give evidence for contractor workers being paid per law:</p>	<p>NA</p>

8A: Sub-Contracting and Homeworking

[\(Click here to return to summary of findings\)](#)

[\(Click here to return to Key Information\)](#)

8A.1 There should be no sub-contracting unless previously agreed with the main client.

8A.2 Systems and processes should be in place to manage sub-contracting, homeworking and external processing.

Note to auditor on homeworking:

Report on whether it is direct or via agents. How many workers, relationship with site and what control systems are in place.

Note to auditor on subcontracting: auditor should use this section for subcontractors of part made or wholly made finished goods, this section should not be used for raw material manufacturers unless instructed otherwise by customers

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The facility confirmed that all production processes are available onsite.
- The facility does not allow any production processes for sub-contracting or homeworking.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Management interview
- Worker interview
- Security record
- Materials in & out record

Any other comments: None

Non-compliance: None

1. Description of non-compliance:

- NC against ETI/Additional Elements NC against Local Law
 NC against customer code:

None was observed

Local law and/or ETI /Additional Elements requirement:

NA

Recommended corrective action: NIL

Objective evidence observed:

(where relevant please add photo numbers)
 NA

Observation: NONE

Description of observation:

None was observed

Objective evidence observed:

NA

Local law or ETI/Additional elements requirement: NA	
Comments: Nil	

Good Examples observed: NONE	
Description of Good Example (GE): None was observed	Objective Evidence Observed: NA

Summary of sub-contracting – if applicable	
<input checked="" type="checkbox"/> Not Applicable please x	
A: Has the auditor made a simple calculation to compare capacity with workers' work load in order to identify possible unrecorded work or undeclared sub-contracting	<input type="checkbox"/> Yes <input type="checkbox"/> No A1: Please describe:
B: If sub-contractors are used, is there evidence this has been agreed with the main client?	<input type="checkbox"/> Yes <input type="checkbox"/> No B1: If Yes , summarise details:
C: Number of sub-contractors/agents used:	
D: Is there a site policy on sub-contracting?	<input type="checkbox"/> Yes <input type="checkbox"/> No D1: If Yes , summarise details:
E: What checks are in place to ensure no child labour is being used and work is safe?	

Summary of homeworking – if applicable			
<input checked="" type="checkbox"/> Not Applicable please x			
A: If homeworking is being used, is there evidence this has been agreed with the main client?	<input type="checkbox"/> Yes <input type="checkbox"/> No A1: If Yes , summarise details:		
B: Number of homeworkers	B1: Male:	B2: Female:	Total:
C: Are homeworkers employed direct or through agents?	<input type="checkbox"/> Directly <input type="checkbox"/> Through Agents		C1: If through agents, number of agents:
D: Is there a site policy on homeworking?	<input type="checkbox"/> Yes <input type="checkbox"/> No		

E: How does the site ensure worker hours and pay meet local laws for homeworkers?	
F: What processes are carried out by homeworkers?	
G: Do any contracts exist for homeworkers?	<input type="checkbox"/> Yes <input type="checkbox"/> No G1: Please give details:
H: Are full records of homeworkers available at the site?	<input type="checkbox"/> Yes <input type="checkbox"/> No

9: No Harsh or Inhumane Treatment is Allowed
[\(Click here to return to summary of findings\)](#)

ETI

9.1 Physical abuse or discipline, the threat of physical abuse, sexual or other harassment and verbal abuse or other forms of intimidation shall be prohibited.
 Additional elements:
 9.2 companies should provide access to a confidential grievance mechanism for all workers

<p>A: Are there published, anonymous and/or open channels available for reporting any violations of Labour standards and H&S or any other grievances to a 3rd party?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No A1: Please give details: Any issues of the H&S, grievances can be reported to the H&S Collaborative network, Trade Union committee, Trade Union chief, suggestion boxes that are available at confidential places</p>
<p>B: If Yes, are workers aware of these channels and have access? Please give details.</p>	<p>All interviewees confirmed they know the grievance mechanism & its procedure.</p>
<p>C: If yes, what type of mechanism is used e.g. hotline, whistle blowing mechanism, comment box etc. Please give details.</p>	<p>Direct to Trade Union committee, H&S Collaborative committee Suggestion box Hotline</p>
<p>D: Which of the following groups is there a grievance mechanism in place for?</p>	<p><input checked="" type="checkbox"/> Workers <input type="checkbox"/> Communities <input checked="" type="checkbox"/> Suppliers <input type="checkbox"/> Other D1: Please give details: the locked suggestion boxes with its procedures are available at the confidential places.</p>
<p>E: Are there any open disputes?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No E1: If yes, please give details None</p>
<p>F: Does the site encourage its business partners (e.g. suppliers) to provide individuals and communities with access to effective grievance mechanisms (e.g. helplines or whistle blowing mechanism)</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No F1: If no, please give details: None</p>
<p>G: Is there a published and transparent disciplinary procedure?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No G1: If no, please explain: None</p>

<p>H: If yes, are workers aware of these the disciplinary procedure?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>H1: If no, please give details: None</p>
<p>I: Does the disciplinary procedure allow for deductions from wages (fines) for disciplinary purposes (see wages section)?</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>I1: If yes, please give details: None</p>

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The facility has policies & procedures to prohibit physical abuses, threat of physical abuses, sexual or other harassments, etc. Any violations against the facility's labour rule will be investigated by the authorized persons & the Trade Union representatives
- The factory had trained the grievance policy to all workers. The workers can raise their comments anonymously via mailbox or Hotline. The management recorded all complaints and feedback to the workers when they were finished. No retaliation happened to the workers when they raised their comments.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Human right policy
- Disciplinary procedure
- Disciplinary record
- Worker interview
- Pay record

Any other comments: None

Non-compliance: NONE

<p>1. Description of non-compliance: <input type="checkbox"/> NC against ETI <input type="checkbox"/> NC against Local Law <input type="checkbox"/> NC against customer code: None was observed Local law and/or ETI requirement: NA Recommended corrective action: NIL</p>	<p>Objective evidence observed: (where relevant please add photo numbers) NA</p>
---	--

Observation: NONE

<p>Description of observation: None was observed Local law or ETI requirement: NA</p>	<p>Objective evidence observed: NA</p>
---	--

Comments: NIL	
---------------	--

Good Examples observed: NONE	
Description of Good Example (GE): None was observed	Objective Evidence Observed: NA

10. Other Issue areas: 10A: Entitlement to Work and Immigration

[\(Click here to return to NC-table\)](#)

Additional Elements

10A.1 Only workers with a legal right to work shall be employed or used by the supplier.
 10A.2 All workers, including employment agency staff, must be validated by the supplier for their legal right to work by reviewing original documentation.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- Company recruited employees directly and complied with legal requirement
- No foreign workers at site
- The factory had proper Recruitment policy.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Recruitment policy.
- Work permit
- Personnel file.
- Management interview.

Any other comments: None

Non-compliance: NONE

1. Description of non-compliance:

- NC against ETI/Additional Elements NC against Local Law
 NC against customer code:

None was observed

Local law and/or ETI /Additional Elements requirement:

NA

Recommended corrective action: Nil

Objective evidence observed:

(where relevant please add photo numbers)
 NA

Observation: NONE

Description of observation:

None was observed

Local law or ETI/Additional Elements requirement:

NA

Comments: Nil

Objective evidence observed:

NA

Good examples observed: NONE	
Description of Good Example (GE): None was observed	Objective Evidence Observed: NA

10. Other issue areas 10B4: Environment 4–Pillar

[\(Click here to return to summary of findings\)](#)

To be completed for a 4–Pillar SMETA Audit and remove the previous page which is 10B2 environment 2 pillar

B.4. Compliance Requirements

10B4.1 Businesses as a minimum must meet the requirements of local and national laws related to environmental standards.

10B4.2 Where it is a legal requirement, businesses must be able to demonstrate that they have the relevant valid permits including for use and disposal of resources e.g. water, waste etc.

10B4.3 Businesses shall be aware of their end client’s environmental standards/code requirements

10B4.4 Suppliers should have an environmental policy, covering their environmental impact, which is communicated to all appropriate parties, including its own suppliers.

10B4.5 Suppliers shall be aware of the significant environmental impact of their site and its processes.

10B4.6 The site should measure its impacts, including continuous recording and regular reviews of use and discharge of natural resources e.g. energy use, water use (see 4–pillar audit report and audit checks for details).

10B4.7 Businesses shall make continuous improvements in their environmental performance.

10B4.8 Businesses shall have available for review any environmental certifications or any environmental management systems documentation

10B4.9 Businesses should have a nominated individual responsible for co–ordinating the site's efforts to improve environmental performance.

B4. Guidance for Observations

10B4.10 Suppliers should have completed the appropriate section of the SAQ and made it available to the auditor.

10B4.11 Has the site recently been subject to (or pending) any fines/prosecutions for noncompliance to environmental regulations.

Note for auditors and readers. This environment section is intended to take not more than 0.25 auditor days. It is an assessment only and the main requirement is to establish whether a site is meeting applicable environmental laws and/or has any certifications or environmental management systems in place. Following this assessment, the client/supplier may decide a full environmental audit is required (see also best practice guidance/environment and guidance for auditor)

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is/are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- The policy about environment management system was established.
- The company had used municipal water with water contract supply
- Wastewater including industrial wastewater and domestic wastewater was connected and treated by Chon Thanh Industrial Park before discharge to outside with available records.
- The company had conducted air emission and wastewater testing quarterly, the last time was on 18/03/2022 with acceptable result.
- The environmental assessment impact was approved by the authority on 23/03/2021.
- Hazardous waste owner book was registered and approved on 12/03/2020.
- Waste including industrial waste, domestic waste and hazardous waste were collected, treated by authority department. Authority department had adequate related permit as legal requirement.
- Hazardous waste was segregated as well as collected, stored and treated by authorized service company.
- Waste separation training had been trained for the employees and they understood about it clearly.

- Risk assessment about environment system is established at the company.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Approved environmental assessment impact
- Hazardous waste contract
- Wastewater and air emission testing record
- Environment monitoring report
- Environment aspect and impact assessment about environment system
- Environment management system policy.
- Environment inspection report from the authority
- Water, wastewater and energy payment bill

Any other comments: NA

Non-compliance: NONE

1. Description of non-compliance:

- NC against ETI/Additional Elements NC against Local
 NC against customer code:

None was observed

Local law and/or ETI/Additional Elements requirement:

NA

Recommended corrective action: NIL

Objective evidence observed:

(where relevant please add photo numbers)
NA

Observation:

Description of observation:

None was observed

Local law or ETI/Additional elements requirements:

NA

Comments:

Nil

Objective evidence observed:

NA

Good examples observed:

Description of Good Example (GE):

None was observed

Objective Evidence Observed:

NA

Environmental Analysis <i>(Site declaration only – this has not been verified by auditor. Please state units in all cases below.)</i>	
A: Is there a manager responsible for Environmental issues (Name and Position):	Mr. Cao Xuan Phu – HR
B: Has the site conducted a risk assessment on the environmental impact of the site, including implementation of controls to reduce identified risks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No B1: Please give details: The Environment Impact Assessment completed on 2018
C: Does the site have a recognised environmental system certification such as ISO 14000 or equivalent? Please give details.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No C1: Please give details:
D: Does the site have an Environmental policy? <i>(For guidance, please see Measurement criteria)</i>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No D1: If yes, is it publicly available? The environmental policy was posted bulletin board for reference.
E: If yes, does it address the key impacts from their operations and their commitment to improvement?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No E1: Please give details: The organization committed to comply and improve environment requirements
F: Does the site have a Biodiversity policy? <i>(For guidance, please see Measurement criteria)</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
G: Is there any other sustainability systems present such as Chain of Custody, Forest Stewardship Council (FSC), Marine Stewardship Council (MSC) etc.? Please give details. <i>(For guidance, please see Measurement criteria)</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No G1: Please give details: NA
H: Have all legally required permits been shown? Please give details.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No H1: Please give details: The environment Impact Assessment and the hazardous wastes report for local authority were available for review
I: Is there a documentation process to record hazardous chemicals used in the manufacturing process?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> N/A I1: Please give details: There is no hazardous chemical used.
J: Is there a system for managing client's requirements and legislation in the destination countries regarding environmental and chemical issues?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No J1: Please give details: Mr. Cao Xuan Phu oversaw checking client's requirement and legislation regarding environment everyone month.

<p>K: Facility has reduction targets in place for environmental aspects e.g. water consumption and discharge, waste, energy and green-house gas emissions:</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No K1: Please give details: Turn off electricity if not needed. Reduction target in place for environment aspect e.g. water consumption and discharge, waste, energy, GHG emission were set up in Dec 2021 and review every 6 months. The last review was conducted in January 2022.</p>
<p>L: Facility has evidence of waste recycling and is monitoring volume of waste that is recycled.</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No L1: Please give details: The factory recycled the major wastes from paper, carton boxes. They did monitor the recycled wastes from these sources.</p>
<p>M: Does the facility have a system in place for accurately measuring and monitoring consumption of key utilities of water, energy and natural resources that follows recognised protocols or standards?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No M1: Please give details: The company had an environment tool for accurately measuring and monitoring consumption of key utilities of water, energy, and natural resources the follows recognised protocol or standard.</p>
<p>N: Has the facility checked that any Sub-Contracting agencies or business partners operating on the premises have the appropriate permits and licences and are conducting business in line with environmental expectations of the facility?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No N1: Please give details: The company had a procedure to check and make sure their business partners operating on the premises have appropriate permit and licenses and are conducting business in line with environmental expectation of the facility.</p>

Usage/Discharge analysis

Criteria	Previous year: Please state period: Jan – December 2021.	Current Year: Please state period: 6 months (Jan – May 2022)
Electricity Usage: <i>Kw/hrs</i>	1,272,100 KWH	15,000 KWH
Renewable Energy Usage: <i>Kw/hrs</i>	0 KWH	0 KWH
Gas Usage: <i>Kw/hrs</i>	Production: 0 kg Kitchen: 0 kg	Production: 0 kg Kitchen: 0 kg
Has site completed any carbon Footprint Analysis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If Yes , please state result	1,161,427-ton CO2	13,695-ton CO2
Water Sources: <i>Please list all sources e.g. lake, river, and local water authority.</i>	<ul style="list-style-type: none"> Municipal 	<ul style="list-style-type: none"> Municipal
Water Volume Used:	17406 m3	8047 m3

(m ³)		
Water Discharged: <i>Please list all receiving waters/recipients.</i>	• IZ Wastewater treatment Plant	• IZ Centralized Wastewater treatment Plant
Water Volume Discharged: (m ³)	2484.8 m3	800 m3
Water Volume Recycled: (m ³)	0 m3	0 m3
Total waste Produced <i>(please state units)</i>	241,667 kg	199 kg
Total hazardous waste Produced: <i>(please state units)</i>	11,200 kg	85.7 kg
Waste to Recycling: <i>(please state units)</i>	0 kg	0 kg
Waste to Landfill: <i>(please state units)</i>	0 kg	0 kg
Waste to other: <i>(please give details and state units)</i>	0 kg	0 kg
Total Product Produced <i>(please state units)</i>	100,000 pieces	8,500 pieces

10C: Business Ethics – 4-Pillar Audit

[\(Click here to return to summary of findings\)](#)

To be completed for a 4-Pillar SMETA Audit

10C. Compliance Requirements

10C.1 Businesses shall conduct their business ethically without bribery, corruption, or any type of fraudulent Business Practice.

10C.2 Businesses as a minimum must meet the requirements of local and national laws related to bribery, corruption, or any type of fraudulent Business Practices.

10C.3 Where it is a legal requirement, businesses must be able to demonstrate that they comply with all fiscal legislative requirements.

10C.4 Businesses shall have access to a transparent system in place for confidentially reporting, and dealing with unethical Business Ethics without fear of reprisals towards the reporter.

10C.5 Businesses should have a Business Ethics policy, covering bribery, corruption, or any type of fraudulent Business Practice,

10C.6 Businesses should have a designated person responsible for implementing standards concerning Business Ethics

10C.7 Suppliers should ensure that the staff whose job roles carry a higher level of risk in the area of ethical Business Practice e.g. sales, purchasing, logistics are trained on what action to take in the event of an issue arising in their area.

10C. Guidance for Observations

10C.8 Businesses should communicate their Business Ethics policy, covering bribery, corruption, or any type of fraudulent Business Practice to all appropriate parties, including its own suppliers.

10C.9 Has the site recently been subject to (or pending) any fines/prosecutions for non-compliance to Business Ethics regulations. If so is there evidence that sustainable corrective actions have been implemented

Note for auditors and readers. This Business Ethics section is intended to take not more than 0.25 auditor days. It is an assessment not an audit.

Current Systems and Evidence Examined

To complete 'current systems' Auditors examine policies and written procedures in conjunction with relevant managers, to understand, and record what controls and processes are currently in place e.g. record what policies are in place, what relevant procedures are carried out, who is /are responsible for the management of this item of the code. Evidence checked should detail any documentary or verbal evidence shown to support the systems.

Current systems:

- Factory had issued Business Ethic Policy covering bribery, corruption, or any type of fraudulent Business Practice
- The factory had transparent system (Hotline, Mailbox and Directly report) for confidentially reporting and dealing with unethical business ethics without fear of retaliation to the reporters.
- Per document review and management interview, the factory complied with all legal regulation about business ethics.
- Mr. Cao Xuan Phu was designated to be the person in chard of business practice policy in the factory.
- All staff were received the new and refresh training about Business Ethics.

Evidence examined – to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate):

Details:

- Training for new workers and yearly training with proper records.
- Training for Business Ethics was provided for all employees on March 20, 2022.

- No records of any serious Business Ethic violation were noted during the audit.

Any other comments:
NA

Non-compliance: NONE	
<p>1. Description of non-compliance:</p> <p><input type="checkbox"/> NC against ETI/Additional Elements <input type="checkbox"/> NC against Local</p> <p><input type="checkbox"/> NC against customer code:</p> <p>None was observed</p> <p>Local law and/or ETI/Additional Elements requirement: NA</p> <p>Recommended corrective action: Nil</p>	<p>Objective evidence observed: <i>(where relevant please add photo numbers)</i> NA</p>

Observation NONE	
<p>Description of observation: None was observed</p> <p>Local law or ETI/Additional elements requirement: NA</p> <p>Comments: Nil</p>	<p>Objective evidence observed: NA</p>

Good examples observed: NONE	
<p>Description of Good Example (GE): None was observed</p>	<p>Objective Evidence Observed: NA</p>

<p>A: Does the facility have a Business Ethics Policy and is the policy communicated and applied internally, externally or both, as appropriate?</p>	<p><input checked="" type="checkbox"/> Internal Policy <input type="checkbox"/> Policy for third parties including suppliers A1: Please give details: Business Ethic Policy</p>
<p>B: Does the site give training to relevant personnel (e.g. sales and logistics) on business ethics issues?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No B1: Please give details: Internal training to staffs by Management Team on March 2022</p>
<p>C: Is the policy updated on a regular (as needed) basis?</p>	<p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No C1: Please give details: following the Code of conduct</p>
<p>D: Does the site require third parties including suppliers to complete their own business ethics training</p>	<p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No D1: Please give details: company trained by themselves</p>

Other findings

Other Findings Outside the Scope of the Code
None










Community Benefits <i>(Please list below any specific community benefits that the site management stated that they were involved in, for example, HIV programme, education, sports facilities)</i>
None

Appendix 1

Comparison between ETI code and Customer's Supplier's Code. Any areas where a site complies with the Customer's Supplier Code, but not with the ETI code are discussed at the audit close out meeting and recorded on the CAPR. Note to supplier "for this customer it may not be necessary to complete corrective actions where NC's DO NOT meet the ETI code, but DO meet your customer's code. If the audit is shared with other customers who work to the ETI code or an equivalent international standard, corrective actions will be necessary."

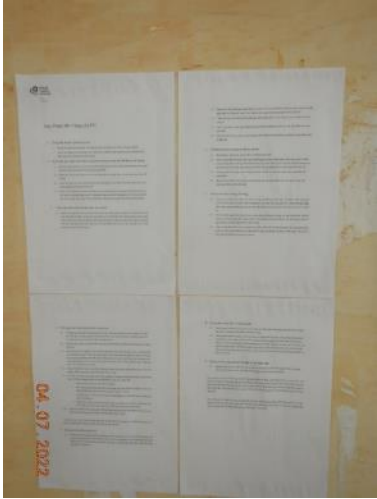
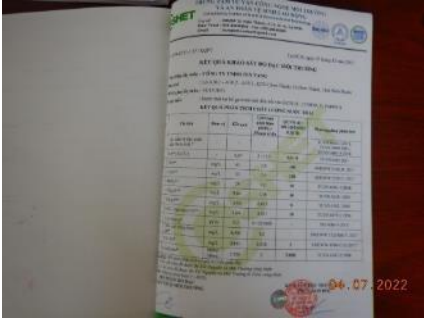
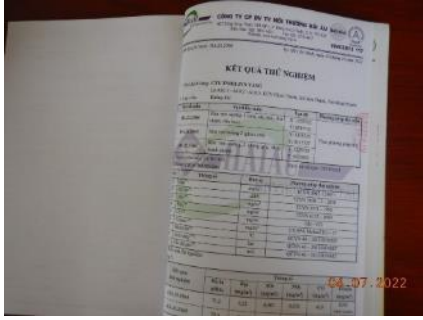

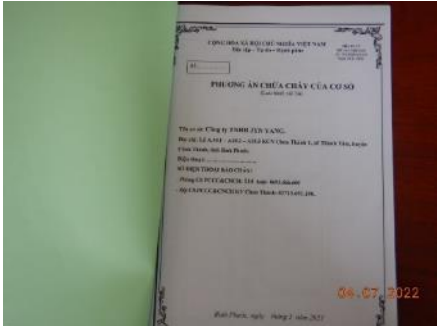




Not Applicable please x

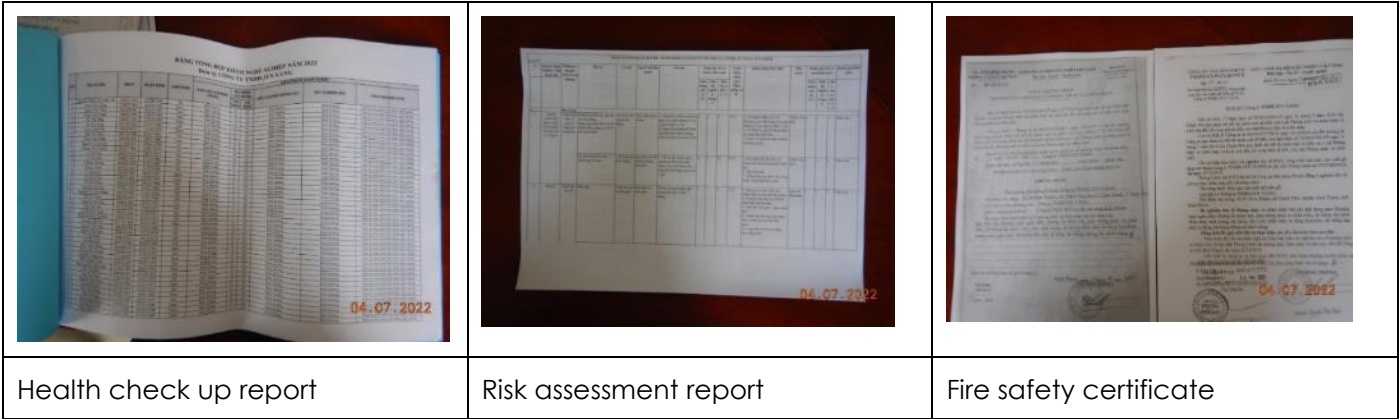
Photo Form

		
Company name	Company gate	Office building
		
Factory building	Eating place without kitchen	Wastewater treatment facility
		
Material storage	Machinery processing	Sanding section

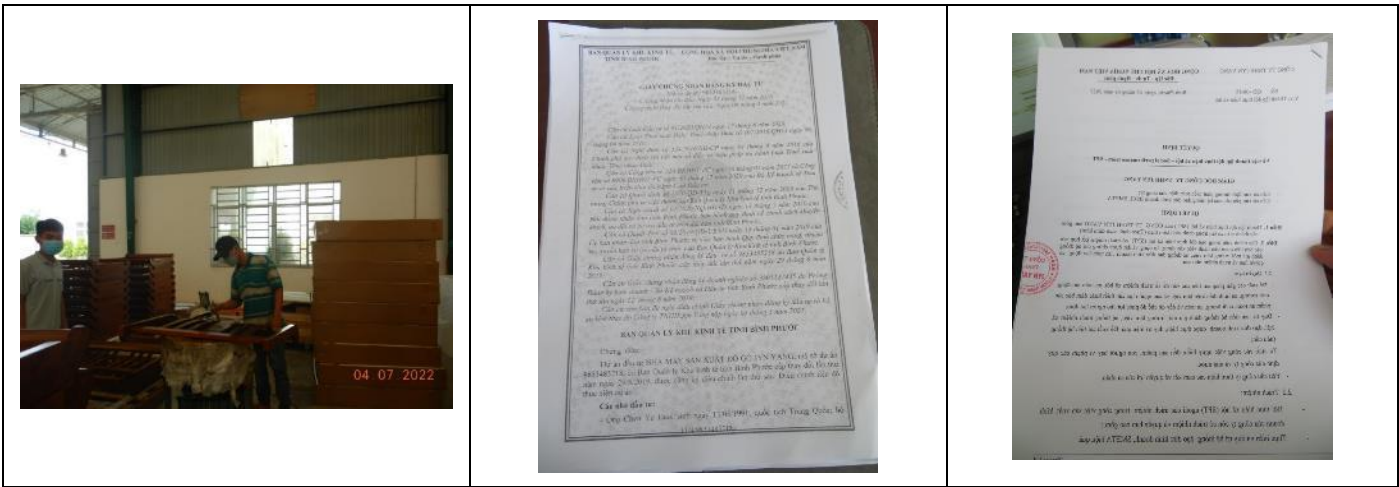
<p>Painting section</p>	<p>Packing section</p>	<p>Finished goods storage</p>
<p>Fire extinguishers</p>	<p>Fire alarm</p>	<p>Automatic smoke detector</p>
<p>Emergency exit and emergency light</p>	<p>Evacuation map</p>	<p>Sprinklers system</p>

<p>Drinking water</p>	<p>First aid room</p>	<p>First aid kit</p>
<p>Eyewash tool</p>	<p>Chemicals storage</p>	<p>MSDS</p>
<p>Toilet area</p>	<p>Buildings construction completion acceptance report</p>	<p>Environment permit</p>

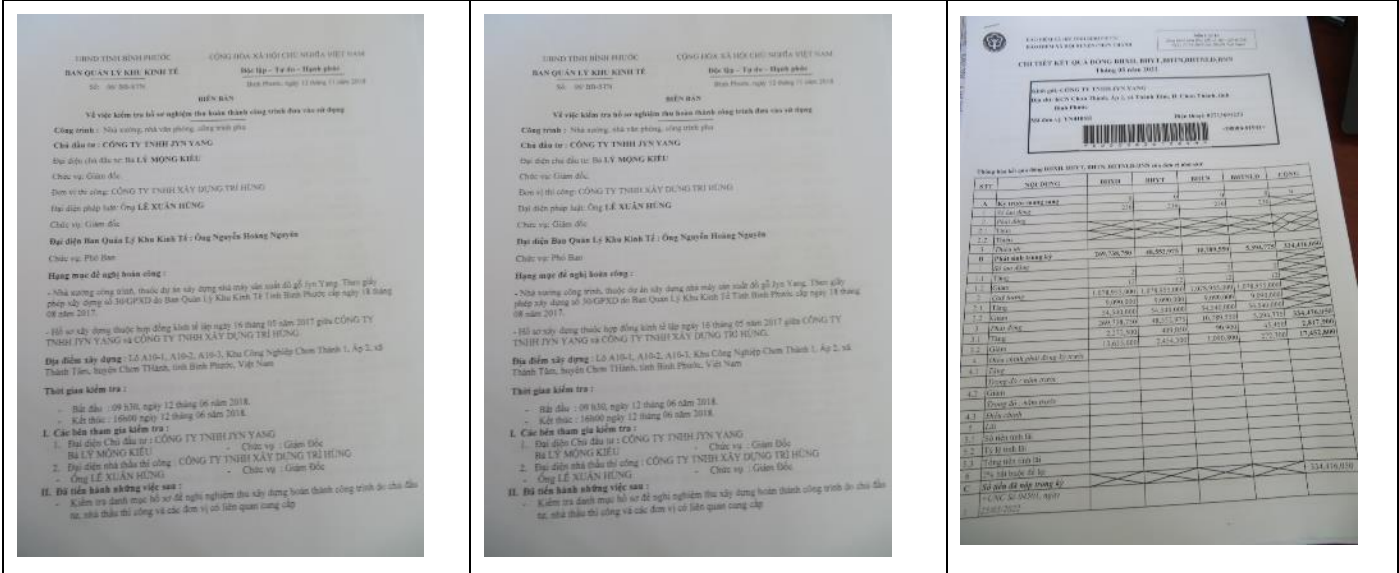
		
<p>ETI code posted</p>	<p>Waste water monitoring result</p>	<p>Air emission monitoring result</p>
		
<p>Fire safety training certificates</p>	<p>Fire safety scenario</p>	<p>Air compressor safety verification certificate</p>
		
<p>Forklift safety verification certificate</p>	<p>Lightning testing report</p>	<p>Safety training for employees report</p>



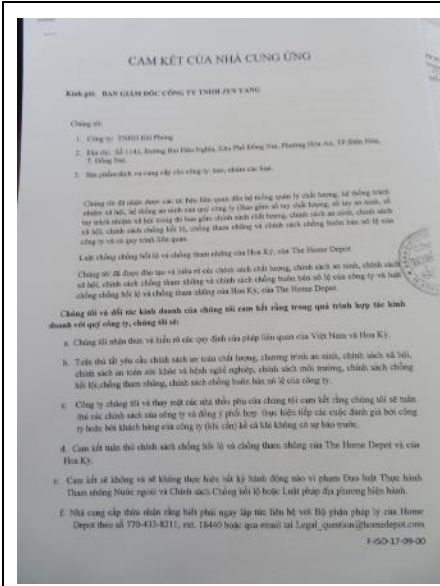
Health check up report Risk assessment report Fire safety certificate



NC-1: Improper mask wearing Business License CSR Management Team



Building License Internal assessment Social Insurance Receipt



Commitment of Supplier about CSR Compliance

PHIẾU TÍNH LƯƠNG - TH 05 2022

Mã nhân viên	190819-013
HỌ VÀ TÊN	Đoàn Hồng Chuyển
Lương và Phụ cấp độc hại	5,500,000
Trách nhiệm	-
Thâm Niên	-
Ngày công thực tế làm việc TG	25
Giờ công bổ sung	28
Giờ công tăng ca TG	-
Giờ công tăng ca TG ngày CN	-
Số ngày nghỉ phép / L&E	1
Số ngày nghỉ ngừng việc	-
Số ngày nghỉ không hưởng lương	-
Lương TG trong tháng	5,288,462
Lương bổ sung	-
Lương ngày nghỉ hưởng nguyên lương	211,539
Lương ngừng việc	-
Chế độ VSPN	-
Phụ cấp tiền cơm	-
Chuyển cần	500,000
Phụ cấp làm thêm TG	1,110,577
BHXH VÀ PHÉP (21.5% BHXH, 4% P)	50,000
CÁC KHOẢN KHÁC	8,160,578
Các khoản trích	-
- Công đoàn	55,000
- BHXH, YT, TN (10.5%)	577,500
TRỪ THUẾ THU NHẬP	-
Tổng trích	632,500
Thực lãnh cuối kỳ	7,528,000

Sample Payslip

Mã số	NGÀY	GIỜ QUÉT THE VÀO	GIỜ QUÉT THE RA
Đoàn Hồng Chuyển	190819-013	01-05-22	
Đoàn Hồng Chuyển	190819-013	02-05-22	
Đoàn Hồng Chuyển	190819-013	03-05-22	6:53 16:12
Đoàn Hồng Chuyển	190819-013	04-05-22	6:46 16:00
Đoàn Hồng Chuyển	190819-013	05-05-22	6:47 16:01
Đoàn Hồng Chuyển	190819-013	06-05-22	6:47 19:11
Đoàn Hồng Chuyển	190819-013	07-05-22	6:57 20:05
Đoàn Hồng Chuyển	190819-013	08-05-22	
Đoàn Hồng Chuyển	190819-013	09-05-22	6:46 16:10
Đoàn Hồng Chuyển	190819-013	10-05-22	6:57 16:04
Đoàn Hồng Chuyển	190819-013	11-05-22	6:52 17:07
Đoàn Hồng Chuyển	190819-013	12-05-22	6:55 19:02
Đoàn Hồng Chuyển	190819-013	13-05-22	6:48 16:11
Đoàn Hồng Chuyển	190819-013	14-05-22	6:48 16:00
Đoàn Hồng Chuyển	190819-013	15-05-22	
Đoàn Hồng Chuyển	190819-013	16-05-22	6:54 19:07
Đoàn Hồng Chuyển	190819-013	17-05-22	6:54 16:10
Đoàn Hồng Chuyển	190819-013	18-05-22	6:54 19:05
Đoàn Hồng Chuyển	190819-013	19-05-22	6:52 16:00
Đoàn Hồng Chuyển	190819-013	20-05-22	6:50 16:04
Đoàn Hồng Chuyển	190819-013	21-05-22	6:57 18:04
Đoàn Hồng Chuyển	190819-013	22-05-22	
Đoàn Hồng Chuyển	190819-013	23-05-22	6:50 19:12
Đoàn Hồng Chuyển	190819-013	24-05-22	6:56 18:00
Đoàn Hồng Chuyển	190819-013	25-05-22	6:48 16:08
Đoàn Hồng Chuyển	190819-013	26-05-22	6:58 18:10
Đoàn Hồng Chuyển	190819-013	27-05-22	6:54 18:07
Đoàn Hồng Chuyển	190819-013	28-05-22	6:48 16:04
Đoàn Hồng Chuyển	190819-013	29-05-22	
Đoàn Hồng Chuyển	190819-013	30-05-22	6:46 19:10
Đoàn Hồng Chuyển	190819-013	31-05-22	6:53 16:06

Sample Time Record



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Your feedback on your experience of the SMETA audit you have observed is extremely valuable. It will help to make improvements to future versions.

You can leave feedback by following the appropriate link to our questionnaire:

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