

供应商企业社会责任稽核表 Supplier CSR Audit Check List

类别/Type: 新供应商验证/New Supplier Audit 年度稽核/Annual Audit

供应商名称: Supplier Name:	
地址: Factory Location:	
稽核日期: Audit Date:	
稽核成员: Auditors:	
最终判定结果: Result:	

No.	项目 Item	单项最高分 MAX Score	结果 Score	合格率 Rate	目标 Target
1	劳工 Labor	56	0	0.00%	80%
2	健康和安安全 Health and Safety	86	0	0.00%	80%
3	环境 Environment	16	0	0.00%	80%
4	商业道德 Business Ethics	16	0	0.00%	80%
5	管理体系 Management system	12	0	0.00%	80%
综合评分 Overall Assessment		186	0	0.00%	80%

分数Score	评分标准Evaluate Standard
2	有文件规定, 有执行, 有完整记录 Documents and regulations are available and have been implemented with complete records.
1	有文件规定但未执行无记录或记录不完整; 有执行记录但无文件规定或文件规定不完善。 There are documented provisions but not implemented, no records or incomplete records; There is a record of execution but no documentation or incomplete documentation.
0	无规定也无执行无记录 No documents or regulations, or records of implementation.
NA	不适用 Inapplicable

判定标准Judgement Standard	
通过/PASS	80-100%
条件通过/Conditionally Passed	70-79%
不通过/NG	< 70 %

作成/Prepared By:	审核/Approved By:
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1.劳工 Labor	得分/Score [0]	自评	他评	支持证据 Supportive evidences
	总分/Total Score [56]	Self Score	Innoight Score	
1.01	供应商是否知道关于童工和未成年工的法律规定（提供法规清单及法规文件）？ Does the supplier know about the child labor&juvenile worker laws(provide document list of the laws)?			
1.02	*供应商是否有禁止招聘童工的规定，包括招聘时是否采用有效的流程来确认员工的年龄（除提供身份证明文件外是否在公安网上进行核对）？ Does the supplier have an employment policy implemented to prevent child labour? Whether have effective process to confirm workers' age(to confirm their age on Public Security Website and have their ID cards provided for view)?			
1.03	供应商是否依法保护未成年工，如建立未成年工名单，岗前体检、限制加班、禁止夜班工作或危险作业？ Does the supplier protect young worker per law with updated young worker name list, pre-work health examination, overtime control, restriction of night work and hazardous work?			
1.04	供应商是否向政府的劳动行政机构进行了未成年工登记（提供《未成年工登记表》）？ Does the supplier undertake registration procedure with the local labor administration department (provide Registration Certificate for teenagers(under 18 years old) Labor)			
1.05	供应商是否依法保护学生工/实习学生/学徒工，包括鉴别年龄、签订书面协议、合理支付报酬，购买保险等？ Does the supplier protect apprenticeship/student worker per law with updated student worker name list including verification of age, signing agreement, paying reasonable wages, providing necessary insurance?			
1.06	供应商是否使用监狱劳动或强迫劳动，是否禁止供应商和分包商使用监狱劳动或强迫劳动？是否限制人身自由或扣留员工身份证明文件？ Does the supplier use prison/forced labor or use prison labor/forced labor as supplier or subcontractor? Or restrict the freedom of workers or retain workers' identification papers?			
1.07	供应商是否使用奴役劳工或参与人口贩卖，包括以剥削为目的，通过威胁、强迫、压制、诱拐或欺诈的手段来运输、窝藏、招聘、转让或接收非自愿人士？ Does the supplier use slavery labor or engage in human trafficking including transporting, harboring, recruiting, transferring or receiving vulnerable persons by means of threat, force, coercion, abduction or fraud for the purpose of exploitation?			
1.08	供应商是否强迫员工加班？员工是否有权在完成标准的工作时间后离开工作场所？ Does the supplier force workers to work overtime? Do workers have the right to leave the workplace after the standard working hours?			
1.09	供应商是否限制工人的上厕所及饮水频率及时间，如使用离岗证等？ Does the supplier restrict the freedom of workers' access to toilets or frequency of drinking water such as using a leaving card for toilets or drinking?			
1.10	*没有员工被要求上交身份证、学位证、其它证书原件或被要求交纳押金？没有扣留工人的部分工资、福利和财产。 No workers are required to lodge deposits or original documents such as ID paper, training certificate, etc. No wage, welfare or property was detained.			
1.11	是否所有员工都与公司签订劳动合同且得到副本？ Do all workers sign employment contracts with the company and get the copies?			
1.12	*供应商是否因种族、肤色、年龄、性别、性取向、族群、残疾、怀孕、宗教信仰、政治派别、工会会员、或婚姻状况等因素而对员工差别对待？ Does the supplier discriminate against workers based on race, color, age, gender, sexual orientation, ethnicity, disability, pregnancy, religion, political affiliation, union membership or marital status? Does the supplier provide necessary conveniences and conditions to accommodate their customs?			
1.13	供应商是否对女工的特殊需要采取有效的保护？如孕妇、女工的三期（孕期、经期、哺乳期）保护及禁忌劳动等？ Does the supplier have appropriate program to protect female workers according to legal requirements and the special needs of female workers, such as restricted work?			
1.14	*供应商是否使用暴力，包括体罚、辱骂或性骚扰，是否禁止非法搜身或异性搜身？ Is there evidence of harsh and inhumane treatment, including corporal punishment, threat or verbal abuse or sex harsh, illegal body search or body search by opposite gender?			
1.15	供应商是否要求员工进行怀孕测试或乙肝检查，并以此作为雇佣条件？ Does the supplier require workers to conduct pregnancy test or hepatitis B test as a condition of employment?			
1.16	供应商是否依据法规要求实施合理的惩戒措施和劳动纪律？是否存在不合理的罚款？ Does the supplier implement legal and reasonable disciplinary practices and rules? is money penalty fair and legal?			
1.17	供应商是否限制员工的结社自由？ Does the supplier restrict workers' freedom of association ?			
1.18	供应商是否有工会或其它工人组织？ Are trade unions or workers' associations formed at the supplier?			
1.19	员工代表或委员均为员工选举产生吗？ Do workers elect their own representatives/spokesperson?			
1.20	供应商是否提供员工或员工代表与公司高层进行沟通渠道？ Does the supplier provide workers to choose a representative from their own group to facilitate communication with senior manager?			
1.21	供应商支付给所有员工的工资（包括试用期）是否达到当地最低工资标准？平均时薪（总收入/总工作时间）是否达到当地最低工资标准？是否拖欠工资？ Does the supplier pay workers including probation period at least local minimum wages for regular work without delay or illegal deduction? Does the average hourly rate (total income/total working hours) meets local minimum wage?			
1.22	加班工资是否合理且合法？（周一到周五150%，周末200%，法定节假日300%） Are fair and legal rates paid for overtime?			
1.23	供应商员工的产假&流产假、婚丧假、病假、年假等是否获得了法规规定的工资？ Are all workers get legal payment when they have Maternity or bereavement leave,marry/funeral leave,sick leave and annual leave?			
1.24	供应商是否确保所有员工（包括学生工和派遣工）在法定时间内收到工资，并提供工资条？ Does the supplier ensure all workers (including student worker and dispatched worker) are paid within legal required payday with payslips?			
1.25	供应商员工最大天/周/月工作时间是否符合当地法律要求（中国为每天加班不超过3小时，每月加班不超过36小时）？如有当地劳动部门所批准的额外加班证明文件，则以证明文件为准。 Does the maximum working hours of individual workers per day/week/month meet local legal requirements? If the company have any valid written approval or permit on extra overtime hours from local labor authority which shall prevail.			
1.26	供应商是否准确记录所有员工（包括临时工、未成年工、学生工和派遣工）的工作时间？供应商是否保留所有员工过去一年完整一致的工时工资记录？ Does the supplier register each worker's working hours completely? Does the supplier maintain complete and consistent time records and payrolls of all workers of last 12 months?			
1.27	供应商员工是否每七天有一天休息？ Are the employees allowed one day off in seven?			
1.28	供应商是否对所有员工都会按照法律要求提供社会保险？ Are all workers provided with social insurance per local legal requirements?			

2. 健康与安全 Health and Safety	得分/Score [0] 总分/Total Score [86]	自评 Self Score	他评 Innolight Score	支持证据 Supportive evidences
2.01	供应商是否制订职业健康安全方针、目标和方案? Did the supplier define its OH&S policy, objectives and programmes?			
2.02	是否对内部的危险源进行了识别和风险评估? Did the supplier identify its internal hazards and assess the risk of hazards?			
2.03	是否对已识别危险源的风险制订相应的控制措施并受控实施? Did the supplier determine controls for identified hazard risks? Does the risk effectively controlled?			
2.04	高风险岗位人员是否经过有效的专项培训和上岗考核? If high-risk employees are specially trained and qualification assessed?			
2.05	高风险工作区域、设备、工具等有无清晰准确的警示标识(如放射、电击等)和安全操作规程? Do high-risk positions have clear warning signs positions (such as radiation, electric shock, etc.)?			
2.06	供应商是否为员工购买工伤保险并严格实施? Does the supplier pay social insurance for employees strictly?			
2.07	*是否定期开展各类紧急事故应急演练活动? Does the supplier regularly carry out various emergency drills?			
2.08	事故(包括职业病和伤害)是否会被报告并妥善处理(包括赔偿、再上岗、向政府机构报告)? Are accidents reported and recorded?			
2.09	对于事故(包括职业病和伤害),是否有采取措施以防止复发? Are corrective actions taken to prevent recurrence of work related accidents?			
2.10	供应商是否有当地消防部门颁发的消防安全检查验收证明? Does the supplier have valid fire inspection certificates issued by local fire service authority?			
2.11	每层楼内是否有充足的消防灭火设施? Does the company have adequate number of fire extinguishers at each company floor?			
2.12	是否对消防设施进行年检? Are fire drills conducted regularly at least once a year?			
2.13	*每层楼是否有足够的安全出口和逃生通道,且未被堵塞或锁住? No fire exit and escape route blocked or locked?			
2.14	出口及安全出口是否有标识或指示灯? Are exits and fire exits identified with sign or indicator lamps?			
2.15	每一楼层是否有充足的应急灯并定期点检? Are adequate emergency lights installed at each company floor?			
2.16	供应商是否识别了特种设备并全面符合相关法律法规的管理要求(例如出厂合格证、使用登记证明、年检证书、特种设备管理档案、定期维护记录)? Does the supplier identify its special equipments and ensure all their special equipments meet local law requirements(such as qualified certification,Registration, annual inspection certification, special equipment management file and terminal maintain records)			
2.17	特种岗位作业人员是否大于18周岁,并按照当地法律法规要求取得了有效的资格证书? Are all the special equipments operators above 18 years old? And are all the operators get qualification certifications according to local law requirement?			
2.18	电气和机械设备是否有有效的防护装置安置? Are safety devices installed on electric, machines and equipments, including guards, interlock devices and safety signs?			
2.19	是否建立了电气安全管理流程,包括电气设备均有良好接地、漏电保护、定期测试、老化检查等措施? Does the supplier set up a electric management process about electric safety, which include all the equipment are well landing,leakage protection,terminal test and aging inspections etc?			
2.20	配电箱、插座、线缆接头、线缆是否均处于安全状态,无乱拉线? Are all the switch box, plug base, wire joint and electrical wires installed in fully acceptable condition and no confused bracing wire?			
2.21	在电气设备维修保养期间是否采取了上锁/标识等措施(防止误合闸)? Are all the equipments locked or labeled when the equipments in maintain period(avoid of opening by mistake)			
2.22	外来施工或临时动火作业是否有批准程序? Does the supplier have approved process about external construction and temporary hot work?			
2.23	是否所有建筑物外表及结构都处于很好的状态? Are all site building maintained in good condition in both physical surface and structure?			
2.24	供应商是否向有资质的供应商购买危险化学品,可提供完整规范的MSDS,并在内部将其作为外来文件有效管理? Does the supplier buy their dangerous chemicals from qualified vendors? Whether they could provide integrity and normative MSDS and manage them as external document effectively?			
2.25	*供应商是否将危险化学品安全可靠的存储和使用,且符合相关标识要求? Are dangerous/hazardous substances used or stored at the supplier safely and security? And are the labels meet related requirement?			
2.26	供应商是否根据有害化学品的数量及其火灾、爆炸或泄漏风险制定必要的紧急响应方案,并定期演习和测试? Does the supplier develop an emergency response program in consideration of the amount and character (fire, explosion or leak) of hazardous chemicals, and organize regular drills and testing?			
2.27	供应商是否有效管理诸如护目镜、耳塞、手套、安全鞋、呼吸防护等个人防护用品(PPE)并且提供给所有进入相关区域人员? Does the supplier manage their PPEs effectively such as eye protection glasses, earplugs, glove, protection shoes and other protection products?			
2.28	存在职业危害因素的环境中是否定期由专业机构按照国家标准实施危害因素检测(空气、噪音等)? Does the supplier conduct terminal Elements of Occupational health hazardous monitoring by professional organization according to our standard(air, noises etc)			
2.29	供应商的工作环境在空气流通,温度,光线,洁净,整洁及拥挤度方面是否合适? Does the supplier have a suitable working environment in respect of ventilation, temperature, lighting, cleanliness, and tidiness (voercrowding)?			
2.30	供应商是否按照法规要求对存在职业病危害岗位的员工实施管理(建立职业健康档案,上岗前、在岗定期、离岗前进行职业健康检查)? Does the supplier arrange regular health examination for workers exposed to hazardous environment?			
2.31	是否有足够的员工接受了急救培训并掌握了急救技能? Are adequate workers trained on first aid?			
2.32	供应商是否提供了方便、卫生、安全的饮水环境及饮用水源? Does the supplier provide convenience, sanitary and safety drinking environment and potable water?			
2.33	厕所是否足够、隐私、整洁卫生? Is sufficient potable water available at workplace and drinking water facilities separated from hazardous workplace?			
2.34	食堂是否有有效的卫生许可证,食堂工作人员都具有有效的健康证? Is there a legally required hygiene permit for kitchen? Is there a regular health examination for kitchen workers?			
2.35	食堂是否采购来源清楚的食品原料,如经过检验的肉类,安全卫生的食用油等,并确保食品安全? Does the kitchen purchase food materials including meats and cooking oils from reliable resources to ensure food safety?			
2.36	食堂采取有效的食品卫生措施,如餐具消毒柜,生熟食分开存放,生熟食案板分开,口罩,手部卫生,对食品进行留样保存? Does the kitchen take sufficient actions such as conditions clean and acceptable?			
2.37	食堂是否干净整洁?采取有效的防鼠防蝇防虫措施? Are the kitchen/canteen conditions clean and acceptable? Are effective controls taken against insects and rats?			
2.38	供应商是否发生过集体食物中毒事件? Does the supplier have collective food poisoning incident?			
2.39	每一员工的生活空间是否充足且符合当地法规要求? Is there adequate living space for each worker and meet the requirements of relevant local regulations?			
2.40	供应商是否有宿舍管理制度、职责并加以落实? Does the supplier have management rules and responsibility about dormitory and execute well?			
2.41	员工集体宿舍楼至少有两个安全出口,安全出口夜间不得锁闭,楼层间没有铁门隔离,疏散通道保持畅通? Are there at least two exits installed in collective dormitory building free of obstruction? Are exits not locked at night or iron doors not installed at stairway or floor? Is evacuation passage free of obstruction?			
2.42	宿舍是否安全且适于居住(足够隐私、降温/保暖、通风、采光、卫生、热水洗浴、干净的饮用水)? Is the dormitory clean, safe and well lit?			
2.43	没有员工宿舍位于生产区域或仓库区域? No worker's dormitory located in the building of production and/or warehouse?			

3.环境 Environment	得分/Score [0] 总分/Total Score [16]	自评 Self Score	他评 Innolight Score	支持证据 Supportive evidences
3.01	*供应商是否禁止违法排放有毒有害污染物，包括废水、废气或废渣，是否存在重大环保违规、保投诉或诉讼？检索IPE网站（www.ipe.org.cn）是否发现负面记录？ Does the supplier forbid any critical environmental violation including illegal discharge of wastewater, waste gas or solid waste? Does the supplier have any case of punishment, litigation, complaint or negative media exposure resulted from pollution? Is any violation record identified at IPE website www.ipe.org.cn?			
3.02	供应商是否有有效的环境影响评估、环保批文和污染控制设施批文？是否获得环境信用评价或获得行业规范条件认证？ Does the supplier have valid environmental impact assessment, environmental permits of pollution control facilities? Does the supplier receive environmental credit rating or qualification of industry production regulation?			
3.03	*供应商哪些生产工序产生有害废水？是否有效自行处理或者交由有资格的污水处理厂处理，并保存追溯记录？是否有连续监测，是否保留内外部检测报告？ Does the supplier release wastewater from production and dispose effectively or transfer to qualified agency for treatment with appropriate traceability? Is continual monitoring available? Are internal and external testing reports available?			
3.04	供应商哪些生产工序产生有害气体和异味、噪音？涂装工序是否采用低挥发性涂料？是否有连续监测，是否有效收集、处理、检测并保存记录？ Does the supplier release hazardous waste gas or fume、noise from production? Is low volatile paint used in coating process? Is continual monitoring available? Is the waste gas collected, disposed and tested appropriately with record?			
3.05	供应商哪些生产工序产生有害固体废物？是否妥善存放和处理有害固体废物？有害固体废物是否由具备资格的机构处理并保留记录？ Does the supplier release hazardous solid waste from production and dispose appropriately or transfer to qualified agency for treatment with appropriate traceability?			
3.06	是否对储存和分装过程的危险化学品采取了防泄漏的措施？ Does the company take actions to prevent dangerous chemical liquids from flooding and spreading during store and split charging?			
3.07	供应商是否开展温室气体盘查？是否基于某一基准年制定碳减排目标（绝对目标或强度目标）并提交给客户？ Does the supplier conduct greenhouse gas inventory? Does the supplier set carbon reduction target (absolute or intensity targets) from a base year and provide the target to customers?			
3.08	供应商是否监督管理电镀、表面处理等高污染外包厂的环保表现？是否通过IPE网站（www.ipe.org.cn）检索下级供应商和外包厂？ Does the supplier monitor and control environmental performance of high pollution subcontractor factories especially electro-plating and surface treatment? Does the supplier use IPE website www.ipe.org.cn monitor sub-tier suppliers and subcontractors?			

4.商业道德		得分/Score [0]	自评	他评	支持证据
Business Ethics		总分/Total Score [16]	Self Score	Innolight Score	Supportive evidences
4.01	<p>供应商是否有零容忍所有形式的贿赂，腐败、勒索和贪污的政策？</p> <p>Does the supplier have the policy of zero tolerance on all forms of bribery, corruption, extortion and embezzlement?</p>				
4.02	<p>供应商是否有流程以严格杜绝任何形式的贿赂、腐败、勒索和贪污等行？</p> <p>Does the supplier establish one procedure to strictly prohibit any form of bribery, corruption, extortion and embezzlement?</p>				
4.03	<p>是否遵守旭创诚信廉洁协议的规定，禁止向客户行贿，禁止向客户员工提供现金、有价证券及支付凭证、通讯器材、交通工具、非低值文化用品以及其他贵重物品、旅游、高消费娱乐等任何形式的馈赠？</p> <p>Are the activities listed as follows prohibited in compliance with Innolight HIA : bribing customer employees, offering cash, securities, payment vouchers, communication equipment, vehicles, stationery or office goods of high value, or other valuables to customer employees, or organizing high-value tourism or entertainment activities for customer employees?</p>				
4.04	<p>*在与旭创公司业务交往中，是否遵守诚信廉洁协议的规定，禁止弄虚作假、禁止偷工减料、禁止商业欺诈？本次审核中，供应商是否提供虚假或不完整信息资料？</p> <p>Are the activities such as falsification, cutting corners, or commercial fraud prohibited in business with Innolight in compliance with Innolight HIA? Is there any false or incomplete information provided in this audit?</p>				
4.05	<p>是否向下级供应商沟通宣传并采取协议或其它有效措施，禁止下级供应商向其客户的客户及利益相关人行贿，禁止下级供应商向其客户的客户及利益相关人提供现金、有价证券及支付凭证、通讯器材、交通工具、非低值文化用品以及其他贵重物品、旅游、高消费娱乐等任何形式的馈赠？</p> <p>Does the company communicate to its sub-tier suppliers, sign agreements or take other effective actions to prohibit its sub-tier suppliers from bribing the customers and stakeholders of its customers, offering cash, securities, payment vouchers, communication equipment, vehicles, stationery, office goods of high value, or other valuables to the customers and stakeholders of its customers, organizing high-value tourism or entertainment activities for the customers and stakeholders of its customers?</p>				
4.06	<p>供应商是否有流程确保其知识产权(IPR)保护及其本身和供应商、客户机密信息保护？</p> <p>Does the supplier establish one procedure to ensure the protection of intellectual property rights (IPR) and confidential information of their own and that of their suppliers and customers?</p>				
4.07	<p>供应商是否提供有效的途径或方法以确保其员工能在保密情况下反应可疑的有关商业道德的问题？</p> <p>Does the supplier establish one effective means for employees to confidentially report suspected ethical misconduct?</p>				
4.08	<p>*供应商产品及生产过程中是否使用锡、钽、钨、金(3TG)及钴金属？供应商是否签署“不使用冲突矿产”承诺，并采用 CMRT模板开展冲突矿物供应链调查？</p> <p>Does the supplier use any metal of tin, tantalum, tungsten and gold (3TG) and cobalt in their products and production? Does the supplier sign a written commitment not to use conflict minerals and conduct supply chain survey with CMRT format?</p>				

5.管理体系 Management system	得分/Score [0] 总分/Total Score [12]	自评 Self Score	他评 Innolight Score	支持证据 Supportive evidences
5.01	供应商是否熟悉旭创CSR协议、RBA/JAC行业标准? 供应商人力资源部是否对照CSR要求识别劳工高风险和机遇, 并设定年度目标和行动计划, 包括培训、检查、分析、纠正和预防措施? Does the supplier understand Innolight CSR agreement and RBA/JAC? Does the supplier HR department identify major labor risk and opportunity against CSR and set annual objective and action plan of training, self-assessment, analysis, correction and prevention?			
5.02	供应商是否依法配备专职安全人员? 供应商EHS工程师是否根据CSR协议识别EHS高风险和机遇, 并设定年度目标和行动计划, 包括培训、检查、分析、纠正和预防措施? Does the supplier appointed qualified EHS engineer per laws? Does the supplier EHS engineers identify major EHS risk and opportunity against CSR agreement and set annual objective and action plan of training, self-assessment, analysis, correction and prevention?			
5.03	*供应商是否在其与供应商的协议中, 在遵守职业健康与安全、环境、绿色产品、劳工、道德法律和法规方面作出约定? Does the supplier place a contractual requirement on its suppliers to be in compliance with occupational health & safety, environmental, labour and ethics laws and regulations?			
5.04	*供应商是否要求供应商采取自愿性标准或行为准则? Does the supplier ask it's suppliers to adopt voluntary standards or codes of conduct?			
5.05	供应商是否有流程审核供应商在职业健康与安全、环境、劳工、道德法律和法规方面的管理体系、政策与实践? Does the supplier have a process to audit the management system, the policies and practices of it's suppliers with regards to the occupational health & safety, environmental, labour and ethics laws and regulations?			
5.06	供应商最近2年内接受了哪些RBA/JAC审核和其他客户CSR审核? 是否有效整改前期审核发现的问题? How many RBA/JAC audits and customer CSR audits does the supplier receive in past two years? Does the supplier complete corrective action of previous audit findings?			