



Audit Introduction for Applicants

审核简介（供申请者）

Disney 审核

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

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

1. Audit Type 审核类型

COC audit: 社会责任审核

Announce audit: 通知审核

2. Audit Scope 审核范围

- 1) Initial audit: at least the last 12 month records of working hour and wage should be provided. For new factories, at least 3 month records of working hours and wage are required to provide.

首次审核：需提供至少最近 12 个月的工资工时记录。如果是新厂，需提供至少 3 个月的工资工时记录。

- 2) Follow up audit: Generally at least 2 month records of working hour and wage after the previous audit should be provided.

If Transparency finding (Employees Influenced by Facility Management, Unauthorized Transfer of Employee, Employee Count Discrepancies, or Discrepancies between Documents and/or Employee Responses) was identified in previous audit, should provide the recent 12 months records during the follow up audit.

跟进审核：如果上次审核有工时工资问题，一般情况下至少需要提供从上次审核之后两个月的完整工资工时记录。

如果上次审核有发现透明度的问题，即影响员工；混用员工；隐藏员工；在文件和/或员工访谈出现不一致，在跟进审核时需要提供最近 12 个月工资和考勤记录。

- 3) All area under the same business license of the audited facility will be covered.

同一营业执照下的所有范围都覆盖。

3. Audit Contents 审核内容

Child Labor 童工

Involuntary Labor 非自愿劳工

Coercion & Harassment 胁迫与骚扰

Nondiscrimination 不歧视

Association 结社

Minimum Wage 最低工资

Overtime Wag 加班工资

Working Hours 工作时间
Social Benefits 社会福利
Other Compensation 其它津贴
Monitoring and Compliance 监测与守法
Health & Safety 健康与安全
Protection of the Environment 环境保护
Subcontracting 外包
Other Laws 其它法规
Publication 出版

4. Main Audit Method 审核的主要方法

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

5. Minimum Compliance Standard (MCS) 最低合规标准

Disney requires that all Facilities engaged in the production of Disney-branded products meet and maintain, at a minimum, a requisite level of compliance with the Code referred to as the Minimum Compliance Standard ("MCS"). In order to meet the MCS, a Facility must demonstrate the absence of violations in each of the following categories:

迪士尼要求所有从事生产迪士尼品牌产品的工厂至少要满足最低合规标准(MCS)。为了达到 MCS 标准，工厂必须证明没有违反以下内容：

a. Child Labor 童工

Any confirmed current employment of underage workers (16 years old); inappropriate remediation of child labor violations under applicable laws.

雇佣任何未满16周岁的员工；依照法律规定的不合理的童工补救措施。

b. Involuntary Labor 非自愿劳工

Any confirmed current employment of forced, bonded, indentured or prison labor; mandatory or involuntary overtime, or imposing penalties or fines for refusing overtime; withholding of personal property (e.g., passport, identification papers) or wages; unreasonably limiting freedom of movement during and/or after work hours.

任何已经确认的强迫劳工，抵债工，契约工或者监狱工；强制的或非自愿加班或处罚或由于拒绝加班而罚款；扣押个人物品（如护照，身份证）或工资；上班和/或下班后不合理的限制员工人身自由。

c. Coercion and/or Harassment 胁迫与骚扰

Management policy permitting the use of corporal punishment; threats of termination of employment; imposing penalty or retaliation as disciplinary action; intrusive or intimidating security practices.

管理政策准许使用体罚；胁迫终止雇佣；以罚款/扣款作为纪律处分；不合理的安保措施。

d. Discrimination 歧视

Discriminatory hiring and employment practices (e.g., salary, benefits, advancement,

discipline, termination or retirement) on the basis of race, religion, age, nationality, social or ethnic origin, sexual orientation, gender, political opinion, disability, pregnancy or union membership.

招聘和雇佣过程中任何基于种族，宗教，年龄，国籍，社交或种族本源，性取向，性别，政治观念，残疾，怀孕或者工会成员的歧视行为（如薪水，福利，晋升，纪律，解雇或退休）。

e. **Serious Health and Safety Conditions** 严重的健康安全状况

Conditions in the Facility, including dormitories that could cause immediate severe injury or death to employees or the public.

在工厂，包括宿舍内可能会引起员工或公众直接重伤或者死亡的情况。

f. **Freedom of Association** 自由结社

Policies or practices that prevent employees from exercising their legal right to associate, organize and bargain in a lawful and peaceful manner in accordance with applicable laws of the country or region.

政策或者行为禁止员工使用其合法权利，以国家或地区法律所要求的合法/和平的方式自由结社。

g. **Subcontracting and Homeworkers** 分包与家庭工

Practice of subcontracting illegal home-workers.

使用非法家庭工。

h. **Monitoring and Compliance** 监测与守法

Coaching employees to provide untruthful responses to auditors; dismissing or hiding employees from auditors to evade the audit process; failure to provide true and complete records for review; failure to permit auditor access to required documents, private employee interviews, or health and safety inspection of the entire Facility.

培训员工以提供不真实的反馈；疏散或隐藏员工以规避审核流程；提供非真实和完整的记录；禁止审核员查看相关文件，私密员工访谈或者全厂现场健康安全检查。

6. Main Documents List 主要文件清单

No.	项目与内容 Items
工厂概况部分	
1	公司概括简介-人员/产量/产值/(品牌)市场分布 Factory profile/Employee No.& structure/Production capability/(Brands)Marketing
2	公司组织架构图 Organization chart
3	厂区/厂房平面图 Factory floor plans
4	营业执照 Business license
人事行政管理部分	
5	员工手册/厂纪厂规及处罚记录 Employee manual/handbook, Factory rules & regulations/ Disciplinary practices policy and Records
6	宿舍规章制度 Dormitory regulations

7	招工指引/程序 Recruitment policies & procedures
8	人事记录/员工入厂登记/花名册(所有员工)Employees' personal files/ Employment registration/roster (all employees)
9	劳动合同(所有员工) Labor contracts (all employees)
10	未成年工人体检/岗位安排 Young worker health examination /Job arrangement (if applicable)
11	未成年工名单/登记证/工作安排规定 List of young workers/ registration approval from local labor bureau/regulations on shift arrangement for young workers
12	请假单 Leave records
13	离职记录 Resignation records
14	奖惩记录/警告信 Awards & Penalty Records/Warning notification letters
15	工会组织会议记录/工会代表选举程序及其职责/工人投诉处理程序及记录 Meeting minutes of union/Selection program and Responsibility of workers' Rep./Complaint& handling record
工时工资福利部分	
16	工作时间记录(12 个月) Time cards/attendant records(12 months)
17	休假记录(有薪年假/女工产假/婚丧假) Leave records(Paid annual leave/Maternity leave/Marriage& Funeral leave)
18	综合计时批文/加班批文 Consolidated working hours permit by local labor bureau/Extended Overtime Hours Waiver
19	当地政府最低工资文件 Legal/ Local official minimum wage document
20	工资表(12 个月) (含工人签名) Payroll records with employees' signatures (12 months)
21	最近一年生产运作记录 及其它生产相关记录 (如必要) Production operation records for last 12 months and the other related records if in need
22	工资扣除/罚款记录 Wage deduction/Penalty records
23	社会保险缴付凭证和参保符合性批文/社保登记证/社保购买花名册 Social security insurance (injury/retirement/medical/unemployment etc.) payment receipts/ invoice/Approval from local government/Registration certificate/personnel list
健康安全卫生部分	
24	公司的健康安全政策/规章制度 Health & safety policy/ Regulations and rules
25	房屋建筑工程竣工验收报告/备案表 Certificate of Inspection for Completed Building Construction/ Registration Records

26	厂内建筑消防验收合格证/报告 Fire-Fighting Acceptance Inspection Certificate/ Report
27	安全主任资格证(任命书/培训结业证书) Safety officer certificate
28	保安守则/保安上岗证 Security guard regulation & job description/security guard certificate
29	消防应急预案/程序,消防演习记录(含照片)Fire drill program & records and fire evacuation plan & procedure (including pictures)
30	食堂卫生许可证/食堂员工健康证 Sanitation Permit for Kitchen/ Health Certificate of kitchen employee
31	急救人员资格证书 Trained first aider certificate
32	医护人员执业资格证书 Qualified certificate of doctor or nurse
33	工伤医疗事故处理记录/再发生防范措施 Accident, injury reports & records/Precaution Measures on Reoccurrence
34	电梯等起重设备:使用登记证/验收/年检合格证(如: 电动葫芦/电动叉车) Register of elevator & lift and annual inspection certificate
35	锅炉, 压力容器使用登记证/年检合格证 Register of pressure vessels & boilers and annual inspection certificate
36	特种作业人员(叉车/电工/电焊工/司炉工等)资格(操作)证书 Specialized safety training certificate(Valid safety operation certificate of Lift / Forklift vehicle /Qualified Electrician/ Electric welding operator certificate/Operator certificate of boiler)
37	化学品清单/化学危险品仓许可/(储存物控记录)/ List of chemical/Approval certificate of chemical warehouse/register & storage record
38	安全防范应急措施/物料安全数据表 Chemical Safety Precaution Measures/MSDS (material safety data sheet) of dangerous chemicals
39	危险废弃物处理合同/转移记录 Dangerous chemical waste handling contract/transport records
40	化学危险品仓管员上岗培训证书 Qualified certificate for the keeper of dangerous chemicals warehouse
41	工作场所职业危害因素(空气质量/噪声等)评价报告 The hazardous elements (air quality and noise etc.)evaluation report for Workplace
42	职业健康体检总结报告、个体报告 occupational health examination summary / individual report (if applicable)
其它	
43	Environment impact evaluation report/form/ registration form 环境评估报告书/环境影响评估报告表/环境影响评估登记表

44	Emergency action procedures 紧急预案
45	Minutes of joint committees on OHS and disciplinary matters 安全委员会开会记录和章程
46	Facility policies: 工厂政策 <ul style="list-style-type: none"> • Business Integrity 商业诚信 • Child labour 童工 • Forced labour 强迫劳动 • Freedom of association 工会和自由结社 • Wage and hours of work 工资和工时 • Disciplinary 惩戒 • Benefits and allowances 福利 • Health & Safety 健康和安全 • Environment 环保 • Training 培训 • Discrimination and harassment 歧视和骚扰
47	Other documents if in need 其它文件（如必要）