



# Sedex Members Ethical Trade Audit Report

**Version 6.1**



Audit Details				
Sedex Company Reference: <i>(only available on Sedex System)</i>	ZC5000029168	Sedex Site Reference: <i>(only available on Sedex System)</i>	ZS1000033881	
Business name (Company name):	LAM TRAN PLASTIC RECYCLING JOINT STOCK COMPANY			
Site name:	LAM TRAN PLASTIC RECYCLING JOINT STOCK COMPANY			
Site address:	Lot A2-1, The 02nd Road, Anh Hong-Duc Hoa III IP, Duc Lap Ha Ward, Duc Hoa Dist, Long An Province, Vietnam Lô A2-1, KCN Anh Hồng - Đức Hòa III, xã Đức Lập Hạ, huyện Đức Hòa, tỉnh Long An Long An 850000 VN	Country:	VN	
Site contact and job title:	Ms. Nguyen Thi Thuy Dung / Vice Director			
Site phone:	0913500052	Site e-mail:	info@lamtranplastic.com.vn	
SMETA Audit Pillars:	<input checked="" type="checkbox"/> Labour Standards	<input checked="" type="checkbox"/> Health and Safety (plus Environment 2-Pillar)	<input checked="" type="checkbox"/> Environment 4-pillar	<input checked="" type="checkbox"/> Business Ethics
Date of Audit:	2024-05-30			

Audit Company Name:
SGS Vietnam

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)			

## 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 (March 2019) 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.

Auditor Team			
Lead Auditor:	Cuong Quach	APSCA Number:	21704544
Additional Auditors:			
Date of declaration:	2024-05-31		

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.

Site Representation	
Full Name:	Ms. Nguyen Thi Thuy Dung
Title:	Vice Director
Date of declaration:	2024-05-31
<b>Comments:</b> <i>Any exceptions to this must be recorded here (e.g. different sample size):  Sampled wage records from the past 5 months were provided for review (5 months only since the operation for digital thermometer just started last Sep 2020).  The audit took 2.0 man-days (9AM-6PM per day). Audit time was extended until 8PM due to the extent of documentation; this was agreed upon with the factory representatives</i>	
Nil	

## Summary of Findings

Issue <small>(please click on the issue title to go direct to the appropriate audit results by clause)</small>	Area of Non-Conformity		Number of issues			Findings
	ETI	Local Law	NC	Obs	GE	
<u>0A - Universal rights covering UNGP</u>	0.A.1 0.A.2 0.A.3		0	3	0	Obs - ZAF600508868 Obs - ZAF600508869 Obs - ZAF600508870
<u>0B - Management systems and code implementation</u>			0	0	0	
<u>1 - Freely chosen employment</u>			0	0	0	
<u>2 - Freedom of association and right to collective bargaining are respected</u>			0	0	0	
<u>3 - Working conditions are safe and hygienic</u>	3.1 3.1 3.1 3.1 3.1	\$1 \$2 \$3 \$4 \$5	5	0	0	NC - ZAF600508863 NC - ZAF600508864 NC - ZAF600508865 NC - ZAF600508866 NC - ZAF600508867
<u>4 - Child labour shall not be used</u>			0	0	0	
<u>5 - Living wages are paid</u>			0	0	0	
<u>6 - Working hours are not excessive</u>			0	0	0	
<u>7 - No discrimination is practiced</u>			0	0	0	
<u>8 - Regular employment is provided</u>			0	0	0	
<u>8A - Subcontracting and homeworking</u>			0	0	0	
<u>9 - No harsh or inhumane treatment is allowed</u>			0	0	0	
<u>10A - Entitlement to work and immigration</u>			0	0	0	
<u>10B2 - Environment 2-pillar</u>			0	0	0	
<u>10B4 - Environment 4-pillar</u>			0	0	0	
<u>10C - Business ethics 4-pillar</u>			0	0	0	

## Local Law Issues

Issue	Description
\$1	According to the Law No. 84/2015/QH13 dated June 25, 2015, Article 16. Responsibility of the employer for assurance of occupational safety and hygiene at the workplace 6. There are warning and instruction signs made in Vietnamese and popular language of employees in relation to occupational safety and hygiene for machinery, equipment, materials and substances that having strict safety and hygiene requirements at the workplace, preservation places, usage places that are placed at obvious locations.

§2	In accordance with the Law on Occupational Safety and Hygiene, No. 84/2015/QH13, Article 16. Responsibility of the employer for assurance of occupational safety and hygiene at the workplace 2. Machinery, equipment, materials and substance shall be used, operated, maintained and preserved at the workplace in conformity with technical standards of occupational safety and hygiene, or technical regulation on occupational safety and hygiene that promulgated, applied and internal regulations and process for assuring occupational safety and hygiene at the workplace.
§3	In accordance with the Law on Chemicals, No. 06/2007/QH12, Chapter V. Use of Chemicals Article 30. Rights and obligations of organizations and individuals using chemicals for production of other products and goods: 1. Organizations and individuals using chemicals for production of other products and goods may request suppliers of hazardous chemicals to provide adequate and accurate information on their properties and characteristics, information on their classification and labeling and their chemical safety data sheets.
§4	In accordance with the Circular No. 19/2016/TT-BYT, Article 6. Requirements for first aid kits 1. First aid kits shall be available in employees' workplace, accessible and visible positions, with Red Cross symbol thereof.
§5	TCVN 13725:2023 ELECTRICAL CABINET ENCLOSURE FOR SWITCHING AND LOW VOLTAGE CONTROL ASSEMBLY - GENERAL REQUIREMENTS 8.4 Access to the inside of the enclosure Adequate access to the protected space shall be provided by door(s) or removable cover(s). Access may be restricted by use of keys or tools. Cable glands and externally removable covers require the use of tools.



## Site Details

Site Details			
Company Name	LAM TRAN PLASTIC RECYCLING JOINT STOCK COMPANY		
Site Name	LAM TRAN PLASTIC RECYCLING JOINT STOCK COMPANY		
GPS location (if available)	GPS Address:	Lot A2-1 Road No. 2, Anh Hong - Duc Hoa III Industrial Park, Duc Lap Ha Commune, Duc Hoa District, Long An Province, Vietnam	
	Coordinates:	10.931786, 106.450157	
Applicable business and other legally required licence numbers and documents, for example, business license number, liability insurance, any other required government inspections	LAM TRAN PLASTIC RECYCLING JOINT STOCK COMPANY has been established under Business and Tax registration No: 1101857138 issued on July 27, 2017 and last updated on January 03, 2023. The facility located at Lot A2-1 Road No. 2, Anh Hong - Duc Hoa III Industrial Park, Duc Lap Ha Commune, Duc Hoa District, Long An Province, Vietnam		
Products/Activities at site, for example, garment manufacture, electricals, toys, grower, cutting, sewing, packing etc	Plastic beads and PE bag		
Site description: (Include size, location, and age of site. Also, include structure and number of buildings)	LAM TRAN PLASTIC RECYCLING JOINT STOCK COMPANY is located at Lot A2-1 Road No. 2, Anh Hong - Duc Hoa III Industrial Park, Duc Lap Ha Commune, Duc Hoa District, Long An Province, Vietnam. It has started its operation at this existing location since 2017 (with 7 years old). The total land area is about 7,893.3 sq. meters. The audited facility consists of one building, where it occupies a land area of 4,200 sq. meters. Supporting area: guard house, waste storage area, wastewater treatment plant, toilets, fire pump area. The facility does not provide any dormitories to the workers and to the management. In addition, the facility also does not share buildings with other businesses.		
Structure and number of buildings	Building Name:		Building #1
	Floor	Description	Remark
	1F	Building #1 is a one-story building of 4,200 square meters is 7 years old; 1F: Plastic Scrap Receiving , Plastic Scrap classify, Chopping & Washing, Plastics Cooking, Granulation, Film Blowing, Packing areas and Main office areas.	Concrete and steels
Visible structural integrity issues (large cracks) observed?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  Please give details:  No significant cracks were found.		

Does the site have a structural engineer evaluation?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: - Construction permit No. 93/GPXD on August 14, 2015; Construction acceptance No. 18/BQLKKT-XD on February 08, 2018. - Land right No. CT45221 on August 07, 2018.
Site function	<div> <input type="checkbox"/> Agent           <input checked="" type="checkbox"/> Factory Processing/Manufacturer         </div> <div> <input type="checkbox"/> Finished Product Supplier           <input type="checkbox"/> Grower         </div> <div> <input type="checkbox"/> Homeworker           <input type="checkbox"/> Labour Provider         </div> <div> <input type="checkbox"/> Pack house           <input type="checkbox"/> Primary Producer         </div> <div> <input type="checkbox"/> Service Provider           <input type="checkbox"/> Sub-contractor         </div>
Months of peak season	Select a month to Select a month
Process overview	The main products of the facility are plastic beads and PE bag products... The main production processes are listed as follows: Plastic Scrap Receiving , Plastic Scrap classify, Chopping & Washing, Plastics Cooking, Granulation, Film Blowing, Packing. The main machine list of the facility: Film Blowing machine, Chopping & Washing machine, Plastics Cooking machine, Granulation machine.
What form of worker representation is there on site?	<input checked="" type="checkbox"/> Union <input type="checkbox"/> Worker Committee <input type="checkbox"/> Other <input type="checkbox"/> None
Please give details:	Grassroots Trade Union of Lam Tran Plastic Recycling Joint Stock Company
Is there any night production work at the site?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Are there any on site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Are there any off site provided worker accommodation buildings	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Were all site provided accommodation buildings included in this audit	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:



Audit Parameters					
Time in and time out	Day 1		Day 2		
	In	08:35	In	08:20	
	Out	16:50	Out	11:45	
Audit type:	FULL_INITIAL				
Was the audit announced?	ANNOUNCED				
Was the Sedex SAQ available for review?	Yes				
Any conflicting information SAQ/Pre-Audit Info to Audit findings?	No				
Who signed and agreed CAPR	Ms. Nguyen Thi Thuy Dung / Vice Director				
Is further information available	No				

Audit attendance	Management	Worker Representatives	
	Senior management	Worker Committee representatives	Union representatives
A: Present at the opening meeting?	Yes	No	Yes
B: Present at the audit?	Yes	No	Yes
C: Present at the closing meeting?	Yes	No	Yes
<i>Reason for absence at the opening meeting</i>	There is no Worker Representative in the facility		
<i>Reason for absence during the audit</i>	There is no Worker Representative in the facility		
<i>Reason for absence at the closing meeting</i>	There is no Worker Representative in the facility		

## 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	10	0	0	24	0	0	0	34
Worker numbers – female	7	0	0	12	0	0	0	19
Total	17	0	0	36	0	0	0	53
Number of Workers interviewed – male	2	0	0	4	0	0	0	6
Number of Workers interviewed – female	1	0	0	3	0	0	0	4
Total – interviewed sample size	3	0	0	7	0	0	0	10

Nationalities Structure		
Nationality of Management	Vietnamese	
Please list the nationalities of all workers, with the three most common nationalities listed first.	Nationality 1: Vietnamese	approx %: 100%
Was this list completed during peak season?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:	
Worker remuneration	Workers on piece rate:	0%
	Paid hourly:	100%
	Salaried:	0%
Payment cycle	Paid daily:	0%
	Paid weekly:	0%
	Paid monthly:	100%
	Other:	0%
	Details for other:	Nil

Worker Interview Summary	
Were workers aware of the audit?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were workers aware of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Number of group interviews:	1 group of 4
Number of individual interviews:	Male: 4 Female: 2
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.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
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
In general, what was the attitude of the workers towards their workplace?	<input checked="" type="checkbox"/> Favorable <input type="checkbox"/> Non-favourable <input type="checkbox"/> Indifferent
What was the most common worker complaint?	Nil
What did the workers like the most about working at this site?	Near their home
Any additional comment(s) regarding interviews:	Nil
Attitude of workers to hours worked:	They were all happy with the current working time (both regular and overtime working hours) and rest day per week.
Is there any worker survey information available?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:

Attitude of workers:
All workers interviewed shows good attitude to their working conditions and management. Most of workers are satisfied with their working conditions and employment terms. There is not any complaint of workers about the management once interviewed or significant of negative information being identified during the interview process.
Attitude of worker's committee/union reps:
Selected sample employees confirm during the interview that they are all knew about their Trade Union chairwoman. The trade union chairwoman is freely elected. Good comments were given toward their trade union representatives.
Attitude of managers:
The site's board of management are co-operated during whole audit processes such as: management interview, worker interview, document review, and site observation). Auditors could access all premises of the site and documents, records needed for audit. During the closing meeting, all positive and negative findings are properly communicated to the management. All issues are agreed to be corrected within suitable timeline and signed by Ms. Nguyen Thi Thuy Dung – Vice General Director



**0A - Universal Rights covering UNGP**  
**[Summary of Findings]**

**0A: Compliance Requirements**

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:**

Evidence collected during the document review as well as management interview indicated that factory had a certain awareness of Human Rights.  
Human Rights policy and/or procedure had been established in written as requirement. Concurrently, no human right violation was noted during this audit.

**Evidence examined:**

It was noted through site tour, the review of Compliant Handling and Grievance policies / procedures, appointment letter as well as written social compliance policies that the policy and procedure on Universal Rights was established and available for review.

**Any other comments:**

Nil

Policy statement that expresses commitment to respect human rights?

☒ Yes ☐ No

Please give details:

The factory had a human right policy and communicate for all employees.

Are the policies included in workers' manuals?

☒ Yes ☐ No

Please give details:

Worker's manual mentioned the human right policy

Does the business have a designated person responsible for implementing standards concerning Human Rights?

☒ Yes ☐ No

Please give details:

Ms. Nguyen Thi Thanh Dieu / HR Manager

## Measuring Workplace Impact

Annual Number of work related accidents and injuries per 100 workers((Number of work related accidents and injuries * 100) / Number of total workers)	Last year	0.0%
	This year	0.0%
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)	0.0%	
Lost day work cases per 100 workers([(Number of lost days due to work accidents and work related injuries * 100) / Number of total workers)	Last year	0.0%
	This year	0.0%
% of workers that work on average more than 48 standard hours / week in the last 6 / 12 months	6 month	0.0%
	12 month	0.0%
% of workers that work on average more than 60 total hours / week in the last 6 / 12 months	6 month	0.0%
	12 month	0.0%

Observation		Evidence																								
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Root cause - Other																										
ETI code	0.A.3 - Businesses shall identify their stakeholders and salient issues.																									
Explanation to the observation	During the audit we found that the facility had not identified its stakeholders and salient issues of human rights impacts.																									
Actions	It is recommended that the factory should identify its stakeholders and salient issues of human rights impacts and keep records.																									



**0B - Management Systems and code Implementation**  
**[Summary of Findings]**

**0B: Compliance Requirements**

0.B.1 Suppliers are expected to implement and maintain systems for delivering compliance to this Code.  
0.B.2 Suppliers shall appoint a senior member of management who shall be responsible for compliance with the Code.  
0.B.3 Suppliers are expected to communicate this Code to all employees.  
0.B.4 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.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:**

- Satisfactory evidence collected during the document review, site observation as well as management interview confirmed that ETI Code was implemented at the site. ,  
- A management representative was assigned to be responsible for engaging requirements (both local laws and ETI Code) to their daily business operations. Relevant social compliance policies and procedures had been established and communicated with employees at every level such as: Child labour, force labour, working hours, wage & benefits ... policies

**Evidence examined:**

-Management interview  
-Training records  
-Worker interview

**Any other comments:**

Nil

**Management Systems**

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

☐ Yes ☒ No

Please give details:

This was confirmed through document review (local's authority inspection reports / records) as well as management interviews

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

☒ Yes ☐ No

Please give details:

Relevant written social compliance policies and/or procedures (such as child labour, forced labour, discrimination, harassment & abuse policies) had been established and provided for review during this audit

If Yes, is there evidence (an indication) of effective implementation? Please give details.

Site observation indicated that social compliance policies and/or procedures had been posted at bulletin board of the facility. There was not any forced labour, child labour, discrimination or harassment and abuse cases had been noted, observed, and reported during this audit

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 Please give details: During management and workers interview, they aware well about these policies.
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 Please give details: Policies and procedures on prohibition of forced labour, child labour, discrimination, harassment & abuse, etc. were established in the facility
Does the site have any internationally recognised system certifications e.g. ISO 9000, 14000, OHSAS 18000, SA8000 (or other social audits)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No internationally recognised system certification (Social audits) was obtained by the facility
Is there a Human Resources manager/department?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Ms. Nguyen Thi Thanh Dieu / HR Manager
Is there a senior person /manager responsible for implementation of the code?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Ms. Nguyen Thi Thuy Dung / Vice General Director
Is there a policy to ensure all worker information is confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Policy stipulate that ensure all worker information is confidential.
Is there an effective procedure to ensure confidential information is kept confidential?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: All employees' private information such as personal identity information managed by HR. Without permission, nobody can review.
Are risk assessments conducted to evaluate policy and procedure effectiveness?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Document review and management interview indicated that, risk assessment to evaluate effective internal policies and procedures conducted yearly.
Does the facility have a process to address issues found when conducting risk assessments, including implementation of controls to reduce identified risks?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Management review was conducted to find root cause analysis and preventive action
Does the facility have a policy/code which require labour standards of its own suppliers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility has established policy that require labour standards of its own suppliers
Land Rights	

Does the site have all required land rights licenses and permissions (see SMETA Measurement Criteria)?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: - Construction permit No. 93/GPXD on August 14, 2015; Construction acceptance No. 18/BQLKKT-XD on February 08, 2018. - Land right No. CT45221 on August 07, 2018.
Does the site have systems in place to conduct legal due diligence to recognize and apply national laws and practices relating to land title?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Legal department checks legal due diligence to recognize and apply national laws and practices relating to land title.
Does the site have a written policy and procedures specific to land rights?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The site has a written policy and procedures specific to land rights.
Is there evidence that facility/site compensated the owner/lessor for the land prior to the facility being built or expanded?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Land lease contract is available to review.
Does the facility demonstrate that alternatives to a specific land acquisition were considered to avoid or minimize adverse impacts?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Not applicable. The site is located in industrial & planned zone.
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 Please give details: No evidence of illegal appropriation of land for facility building or expansion of footprint.

### 1 - Freely chosen Employment [Summary of Findings]

#### 1: Compliance Requirements

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:

Forced labour policies & procedures were established in written. Site observation confirmed that no prison or trafficking labour was used.

Worker interviewed also indicated that no original ID or identity papers certificates ... were retained by the site. No deposit applied too.

#### Evidence examined:

-Satisfactory evidence collected through site observation; document review & employee interview indicated that:

-Employees were free to get out of the site after working hours.

-No personal original documents (such as ID, passport, certificate, etc..) were asked to keep by the factory.

-Employment was freely chosen.

-No fee for recruitment when applying for the job at the site.

-Movement of employees at the facility was not prohibited or limited.

-Employees can access to toilets and potable water

-Overtimes were always performed on voluntary basis.

-The factory does not limit the employees' freedom

#### Any other comments:

None

Is there any evidence of retention of original documents, e.g. passports/ID' (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of a loan scheme in operation (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Is there any evidence of retention of wages / deposits (If yes, please give details and category of workers affected)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
Are there any restrictions on workers' freedom to terminate employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: Employees were free to terminate the employment.
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 Please give details: N/A

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 Please give details: Workers were free to leave the facility when ending of working shift.
Does the site understand the risks of forced / trafficked / bonded labour in its supply chain	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable Please give details: N/A
Is the site taking any steps taking to reduce the risk of forced / trafficked labour?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The factory established a policy and procedure on forced and trafficked labour. It was trained for employees and managers and posted at publicity accordingly

## 2 - Freedom of Association and Right to Collective Bargaining are Respected

### [Summary of Findings]

#### 2: Compliance Requirements

- 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:

It was confirmed with management and employee's interviews as well as document review, noted that grievance mechanism, suggestion box records, trade union chairman election and meeting records were available for review. No discrimination was noted between trade and non-trade union employees. Trade union chairwoman – Ms. Huong was freely elected on April 12, 2021. Board of Trade union with 7 members were provided with adequate facilities to perform their tasks. Freedom of Association procedure was established in written and well communicated to employees.

#### Evidence examined:

- Suggestion box was posted in place to collect worker's idea, suggestions.
- CBA was established and submitted to authority department as legal requirement.
- Activities of Trade union established in place satisfied legal requirements (e.g. regular meeting of trade union board, workers conference...).
- Social dialogue meetings at the workplace were conducted in January 24, 2024

#### Any other comments:

Nil

What form of worker representation/union is there on site? (Please add the name of the union or committee in the textbox)	<input checked="" type="checkbox"/> Union <input type="checkbox"/> Other	<input type="checkbox"/> Worker Committee <input type="checkbox"/> None
Other details:	Grassroot Union of Lam Tran Plastic Joint Stock Company	
Is it a legal requirement to have a union?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
Is it a legal requirement to have a worker's committee?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
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 Please give details: Suggestion box, open dialogue	
Is there evidence of free elections?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	
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 Please give details: Internet, phone, room	



Name of union and union representative, if applicable:	Trade union chairwoman – Ms. Huong
Is there evidence of free elections?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable
If there is no union, is there a parallel means of consultation with workers e.g. worker committees?	There were no parallel means of consultation with workers.
Is there evidence of free elections?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> Not Applicable
Are all workers aware of who their representatives are?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A
Were worker representatives freely elected?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Date of last election:	null
Do workers know what topics can be raised with their representatives?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were worker representatives/union representatives interviewed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, please state how many:	2.0
Please describe any evidence that union/worker's committee is effective? Specify date of last meeting; topics covered; how minutes were communicated etc.	The union's balance sheet is reported and shared quarterly to its employees Document review, payment list for April 2024 and the latest trade union meetings minute was conducted on April 02, 2024
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	100% workers covered by Union CBA. 0% workers covered by worker rep CBA.
If Yes, does the Collective Bargaining Agreement (CBA) include rates of pay?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

### 3 - Working Conditions are Safe and Hygienic [Summary of Findings]

#### 3: Compliance Requirements

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:

### 1. General Health & Safety management:

- Observation from factory tour, noted that the general working environment of the facility was clean and in good conditions. Ventilation and temperature were adequate for the production processes.
- There was toilet facility for all male & female workers installed in factory, which was complied with legal law requirement. The workers' toilets provided with clean as well as segregated for men and women.
- There was suggestion box to collect employees' suggestion.
- PPEs warning signs were posted at related workplaces.
- PPEs were provided free for workers and workers worn them during working time.
- The Risk assessment was conducted on April 02, 2024
- Working environmental inspection was inspected on October 12, 2023.
- Construction permit No. 93/GPXD on August 14, 2015; Construction acceptance No. 18/BQLKKT-XD on February 08, 2018.
- Land right No. CT45221 on August 07, 2018.

### 2. Fire Safety

- Factory had valid fire inspection certificates that were issued by local fire safety police as below:
- Fire safety design No.310/TD-PCCC on August 24, 2015
- Fire safety acceptance on No.09/CAT-PC66 on January 10, 2018
- 15 Fire-fighting members who were being provided fire safety training by local fire police July 17 - 19, 2023.
- Fire prevention and fighting plan issued on April 04, 2023
- The lightning protection system and electrical system inspection record issued on April 04, 2024
- Procedure for inspecting and testing fire-fighting equipment's was in place. The fire extinguishers were inspected internally once per month. All of them were tested regularly by service authorizer.
- Based on site observation, it was noted that all fire emergency exits, and escaped exit routes were adequate, unlocked and free of obstruction.
- Per site observation, auditors noted that all site buildings were maintained in good physical condition.

### 3. Electrical safety and Mechanical safety

- All electrical equipment was maintained in good condition
- The electrical wires were installed in fully acceptable condition and adequately protected by isolated material as legal requirement.
- Annual machine maintenance schedule and records were reviewed it was noted that all equipment was regularly maintained as schedule.
- 01 Air compressor and compressed air pipes were inspected December 29, 2022 valid to December 29, 2024; 02 Forklifts were inspected on December 29, 2022 valid to December 29, 2024.

### 4. Medical services

- Facility has signed the clinic support contract 24/24 with 115 Saigon Medical Company Limited on October 30, 2023 with a 1-year validity.
- 8 first aid teams were trained on November 21, 2023 valid to November 21, 2024.
- There was 1 time for health check to provide for all employees. The last health check was on December 29, 2023. and the occupational disease check was on October 24, 2023.
- Water drinking test No. 011024-6217 on May 08, 2024

### 5. Health and safety training

Per document review, workers and management interview, auditors noted that the factory provided health and safety training for workers and got certificates as below:

- Group I, 2, 3, 6 were trained on occupational health and hygiene on October 17, 2022 valid until October 17, 2024
- Group 4 was trained on occupational health and hygiene on August 05, 2023 valid until August 05, 2024
- Per document review, the facility signed the contract with meal supplier for meal providing and the meal supplier has the document as below:
- Certificate of food safety and hygiene No. 72/2021/ATTP-CNĐK were on May 27, 2022 valid to 3 year.

### Evidence examined:


- Health and safety procedures, instructions, and training records.
- First aid training records, accident records, medical check-up records.
- Firefighting and prevention project, fire drill and firefighting training records.
- 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 manual
- Health and safety committee minutes
- Training records and certificates
- Fire equipment maintenance records
- Fire drill records
- Building structure safety certificate
- Trained first aider register
- Interviews with workers and H&S committee members
- Accident reports
- Potable water testing certificates
- Interviews with H&S manager

**Any other comments:**

None


Does the facility have general and occupational Health & Safety policies and procedures that are fit for purpose and are these communicated to workers?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The general Health & Safety and occupational Health & Safety policy was established and available for review.
Are the policies included in workers' manuals?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: During the documentary review and the worker interviews, we noted that workers were provided with the employee's manual and the training before working in the facility.
Are there any structural additions without required permits/inspections (e.g. floors added)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: No structural additions in facility.
Are visitors to the site informed on H&S and provided with personal protective equipment?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: All visitors were required to wear provided PPE during the facility tour
Is a medical room or medical facility provided for workers?(This section is to list evidence to support system description (Documents examined & relevant comments. Include renewal/expiry date where appropriate))	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Facility has signed the clinic support contract 24/24 with 115 Saigon Medical Company Limited on October 30, 2023 with a 1-year validity.
Is there a doctor or nurse on site or there is easy access to first aider/ trained medical aid?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: 8 first aid teams were trained on November 21, 2023 valid to November 21, 2024.

Where the facility provides worker transport – is it fit for purpose, safe, maintained and operated by competent persons e.g. buses and other vehicles?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The facility did not provide worker transport.
Is secure personal storage space provided for workers in their living space and is fit for purpose?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: There was no dormitory for workers.
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The latest risk assessment was conducted on April 02, 2024
Is the site meeting its legal obligations on environmental requirements including required permits for use and disposal of natural resources?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The Environmental Licence No. 98/GPMT-BTNMT April 11, 2023
Is the site meeting its customer requirements on environmental standards, including the use of banned chemicals?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility does not use any banned chemicals.


Non-Compliance		Evidence																														
<a href="#">[Back to findings summary]</a>																																
<table><tr><th colspan="2">Non-Compliance</th></tr><tr><td>Status</td><td>CLOSED</td></tr><tr><td>Reference</td><td>ZAF600508863</td></tr><tr><td>Clause</td><td>3 - Working Conditions are Safe and Hygienic</td></tr><tr><td>Issue Title</td><td>264 - Machines lack appropriate safety guards (e.g. eye or needle guards on sewing machines, belt / hand guards on other machines)</td></tr><tr><td>Subcategory</td><td>Machinery</td></tr><tr><td>New or carried over?</td><td><input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over</td></tr><tr><td>Resolved by audit</td><td>ZAA600067195</td></tr><tr><td>Root cause</td><td><input type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input checked="" type="checkbox"/> Other</td></tr><tr><td>Root cause - Other</td><td>Lack of monitoring</td></tr><tr><td>Local law issue</td><td>According to the Law No. 84/2015/QH13 dated June 25, 2015, Article 16. Responsibility of the employer for assurance of occupational safety and hygiene at the workplace 6. There are warning and instruction signs made in Vietnamese and popular language of employees in relation to occupational safety and hygiene for machinery, equipment, materials and substances that having strict safety and hygiene requirements at the workplace, preservation places, usage places that are placed at obvious locations.</td></tr><tr><td>ETI code</td><td>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.</td></tr><tr><td>Explanation to the non compliance</td><td>During the site tour, It was noted that the emergency stop and operation buttons of the cutting and stamping machine in the cutting area were not labelled in local language.</td></tr><tr><td>Follow up method</td><td><input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit</td></tr><tr><td>Timescale</td><td><input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other</td></tr></table>			Non-Compliance		Status	CLOSED	Reference	ZAF600508863	Clause	3 - Working Conditions are Safe and Hygienic	Issue Title	264 - Machines lack appropriate safety guards (e.g. eye or needle guards on sewing machines, belt / hand guards on other machines)	Subcategory	Machinery	New or carried over?	<input checked="" type="checkbox"/> New <input type="checkbox"/> Carried Over	Resolved by audit	ZAA600067195	Root cause	<input type="checkbox"/> Training <input type="checkbox"/> System <input type="checkbox"/> Costs <input type="checkbox"/> Lack of workers <input checked="" type="checkbox"/> Other	Root cause - Other	Lack of monitoring	Local law issue	According to the Law No. 84/2015/QH13 dated June 25, 2015, Article 16. Responsibility of the employer for assurance of occupational safety and hygiene at the workplace 6. There are warning and instruction signs made in Vietnamese and popular language of employees in relation to occupational safety and hygiene for machinery, equipment, materials and substances that having strict safety and hygiene requirements at the workplace, preservation places, usage places that are placed at obvious locations.	ETI code	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.	Explanation to the non compliance	During the site tour, It was noted that the emergency stop and operation buttons of the cutting and stamping machine in the cutting area were not labelled in local language.	Follow up method	<input type="checkbox"/> Follow up audit <input checked="" type="checkbox"/> Desktop audit	Timescale	<input type="checkbox"/> Immediate <input checked="" type="checkbox"/> 30 days <input type="checkbox"/> 60 days <input type="checkbox"/> 90 days <input type="checkbox"/> 120 days <input type="checkbox"/> 180 days <input type="checkbox"/> 365 days <input type="checkbox"/> Other
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		<div></div> <p><u>the emergency stop and operation buttons of the cutting and stamping machine were not labelled in local language.JPG</u></p>																														




Actions	The facility agreed to label the emergency stop and operation buttons of the cutting and stamping machine in the cutting area in local language.	
Additional comments	The factory has translated the control buttons of the cutting machine into the Vietnamese language. This Finding was closed	

Non-Compliance		Evidence																															
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Actions	The factory is advised to retrain and remind its forklift operators for using the seat belt while working.			
Additional comments	The factory has re-trained the forklift drivers on the requirement to wear seat belts while driving This Finding was closed			

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Additional comments	The factory has corrected the issue by installing the inner cover on the electric cabinet This Finding was closed	
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#### 4 - Child Labour Shall Not Be Used [Summary of Findings]

##### 4: Compliance Requirements

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 factory established a policy of child labour including remedial action once any incident of child labour has been identified.
- Procedure of recruitment could ensure how effective verifying the work age of workers was. It has been acknowledged by HR and admin staffs.
- No child labour was noted, observed and or reported during this audit. This was confirmed through site observation, document review & worker interview.

##### Evidence examined:

Personnel file  
Policy and procedure  
List of latest total employees  
Site observation

##### Any other comments:

N/A

Legal age of employment:	15
Age of youngest worker found:	19
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
Percentage of under 18's at this site (of total workers)	0.0%
Are workers under 18 subject to hazardous work assignments?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  Please give details: Not applicable. No workers under 18 at the factory.

## 5 - Living Wages are Paid [Summary of Findings]

### 5: Compliance Requirements

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:

- Wage policy was established and followed properly.
- A provided salary scale, the legal minimum wage applied for this facility was VND 4,160,000 per month since July 2022, up to audit date. And the lowest wage applied at facility was 4,700,000 VND
- The site applied time-based wage for 100% employee. The salary calculation cycle was from 1st of this month to the end of the month and salary was full paid from 10th of following month for employees in Cash
- Wage slip was provided to individual workers at the payment salary.
- The 14 days of annual leave is sufficiently provided to all direct production employees and 12 days of annual leave is sufficiently provided to all indirectly production employees in the year.
- Total 11 holidays are provided and paid to all employees in the year.
- The sick and maternity leave allowance is paid correctly to all employees.
- The maternity leave of 6 months was provided to all female pregnant employees with full payment
- Extra allowances were such as below:
  - + Meal: 25,000 VND per month
  - + Phone allowance 700,000 - 1,700,000 VND
  - + Attendance allowance: 1,000,000 VND
  - + Transportation and housing allowance: 200,000 - 3,000,000 VND
  - + Telephone allowance: 300,000 VND
  - + Menstruation allowance: 36,058 VND
  - + The 13th-month bonus salary is paid to employees at the end of each year.

### Evidence examined:

Payrolls and time records of the most recent 12 months were provided for review (from May 2023 to April 2024). Wage was paid correctly. Payslip was provided for employees during the pay period. No inconsistencies were noted during this audit.

### Any other comments:

Nil

## Summary Information

Criteria	Local Law	Actual at the Site	Is this part of a Collective Bargaining Agreement?
Standard/Contracted work hours: (Maximum legal and actual required working hours excluding overtime, please state if possible per day, week, and month)	Legal Maximum Per Day: 8.0 Per Week: 48.0 Per Month: null	Actual Per Day: 8.0 Per Week: 48.0 Per Month: 208.0	YES

Overtime hours: (Maximum legal and actual overtime hours, please state if possible per day, week, and month)	Legal Maximum Per Day: 4.0 Per Week: null Per Month: 40.0	Actual Per Day: 4.0 Per Week: 11.0 Per Month: 38.0	YES
Wage for standard/contracted hours: (Minimum legal and actual minimum wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: null Per Week: null Per Month: 4680000	Actual Per Day: 180769 Per Week: 1175000 Per Month: 4700000	YES
Overtime wage: (Minimum legal and actual minimum overtime wage at site, please state if possible per hr, day, week, and month)	Legal Maximum Per Day: null Per Week: null Per Month: null	Actual Per Day: 135576 Per Week: 372834 Per Month: 1287972	YES
<b>Wages Analysis:</b>			
Were accurate records shown at the first request?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
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)	10 samples in April 2024 (Current month) 10 samples in January 2024 (Random month) 10 samples in December 2023 (Random month)		
Are there different legal minimum wage grades? If Yes, please specify all.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
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"/> Not Applicable Please give details:		
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		
Lowest actual wages found: Note: full time employees and please state hour / week / month etc.	VND 4,700,000 per month from July, 2022		
Please indicate the breakdown of workforce per earnings	0.0% of workforce earning under minimum wage 0.0% of workforce earning minimum wage 100.0% of workforce earning above minimum wage		
Bonus Scheme found: Please specify details:	Bonus Scheme found: The facility management provides additional benefits and working conditions to all employees, exceeding the requirements of local law. Details are as follows: + Meal: 25,000 VND per month + Phone allowance 700,000 - 1,700,000 VND + Attendance allowance: 1,000,000 VND + Transportation and housing allowance: 200,000 - 3,000,000 VND + Telephone allowance: 300,000 VND + Menstruation allowance: 36,058 VND + The 13th-month bonus salary is paid to employees at the end of each year. Note: type of employee (e.g. full time, temp, etc.) and please state which units e.g. /hour /week /month etc.		

What deductions are required by law e.g. social insurance? Please state all types:	1. Social insurance 2. Health insurance 3. Unemployed insurance 4. Trade union fee
Have these deductions been made?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Please list all deductions that have been made.	1. Social insurance: 8% of monthly basic wage 2. Health insurance: 1.5% of monthly basic wage 3. Unemployed insurance 1% of monthly basic wage. 4. Trade union fee 1% of monthly basic wage
Please list all deductions that have not been made.	Not applicable
Were appropriate records available to verify hours of work and wages?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Were any inconsistencies found? (if yes describe nature)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Do records reflect all time worked? (For instance, are workers asked to attend meetings before or after work but not paid for their time)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please give details: Through the worker interview we confirmed that all working hours were recorded adequate and compensated properly.
Is there a defined living wage: This is not normally minimum legal wage. If answered yes, please state amount and source of info: Please see SMETA Best Practice Guidance and Measurement Criteria.	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No  Please give details:
If yes, what was the calculation method used.	<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 <input type="checkbox"/> Other – please give details:
Are there periodic reviews of wages? If Yes give details (include whether there is consideration to basic needs of workers plus discretionary income).	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please give details: During the documentary review, worker interviews, and confirmation from facility management, it was verified that the facility reviewed wages of the employees in accordance with local laws.
Are workers paid in a timely manner in line with local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Is there evidence that equal rates are being paid for equal work:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please give details: Through the review of the facility rules, payroll records, and employee interviews, it was confirmed that equal rates are being paid for equal work
How are workers paid:	<input checked="" type="checkbox"/> Cash <input type="checkbox"/> Cheque <input type="checkbox"/> Bank Transfer <input type="checkbox"/> Other

## 6 - Working Hours are not Excessive [Summary of Findings]

### 6: Compliance Requirements

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:

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:

- Employees work on Monday to Saturday and Sunday is rest day as follow:
- + The regular work time for office: 8:00 - 17:00 with one hour break 12:00 - 13:00.
- + The work time for production workers with 3 shifts:
- o 1st Shift: 7:00 - 17:00 with 60 minutes break 12:00 - 13:00.
- o 2nd Shift: 19:00 - 5:00 with 60 minutes break 0:00 - 1:00.
- Face Scanning Attendance Recording System has been used to monitor working hours of the employees.
- There was no peak season.
- Employees worked overtime voluntarily.
- Workers who were pregnant and nursing child under 12 months of age were entitled 1 hour off per day.
- The factory provided 12 past months of attendance records (May 2023 - April 2024)
- There was total 10 employees randomly being selected among in 03 months (April, January 2024 and December 2023).

### Evidence examined:

- Employee interview
- Management interview
- Local and national laws
- Facility policy on working hours
- Time records from May 2023 to April 2024 (12 months).
- Pay slips with recorded hours all workers interviewed
- Workers contracts
- Quality and production records to cross check hours
- Daily production records
- Security logbooks

### Any other comments:

None

## Working hours' analysis

### Systems & Processes

What timekeeping systems are used?	Face Scanning Attendance Recording System
------------------------------------	---

Is sample size same as in wages section?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:		
Are standard/contracted working hours defined in all contracts/employment agreements? (If no, please give details including % and which type of workers do NOT have standard hours defined in contracts/employment agreements.)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Are there any other types of contracts/employment agreements used?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Do any standard/contracted working hours defined in contracts/employment agreements exceed 48 hours per week? (If yes, please detail hours, %, types of workers affected and frequency.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
Are workers provided with at least 1 day off in every 7-day-period, or 2 in 14-day-period?	<input checked="" type="checkbox"/> 1 in 7 days	<input type="checkbox"/> 2 in 14 days	<input type="checkbox"/> No (please explain)
Is this allowed by local law?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Maximum number of days worked without a day off (in sample):	6		
<b>Standard/Contracted Hours worked</b>			
Were standard working hours over 48 hours per week found? (If yes, % of workers & frequency)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No % of workers: null% Frequency:		
Any local waivers/local law or permissions which allow averaging/annualised hours for this site? (If yes, please give details.)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
<b>Overtime Hours worked</b>			
Actual overtime hours worked in sample (State per day/week/month)	4 hours per day; 11 hours per week; 38 hours per month.		
Combined hours (standard or contracted + overtime hours = total) over 60 found?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: There was total 10 employees randomly being selected among in 03 months (April, January 2024 and December 2023).		
Approximate percentage of total workers on highest overtime hours:	20.0%		
Is overtime voluntary? (Please detail evidence e.g. Wording of contract / employment agreement / handbook / worker interviews / refusal arrangements)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Conflicting Information Please give details: Employees OT application form		
<b>Overtime premium</b>			



Are the correct legal overtime premiums paid? (Please give details of normal day overtime premium as a % of standard wages)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A – there is no legal requirement to OT premium  Please give details: - 150% of normal wage on regular day time - 200% of normal wage for rest day - 300% of normal wage for holiday (not including the salary of holidays for employees enjoying a daily salary.)
Is overtime paid at a premium?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No - 150% of normal wage on regular day time - 200% of normal wage for rest day - 300% of normal wage for holiday (not including the salary of holidays for employees enjoying a daily salary.)
If the site pays less than 125% OT premium and this is allowed under local law, are there other considerations? Please complete the boxes where relevant.	<input type="checkbox"/> No <input type="checkbox"/> Consolidated pay <input type="checkbox"/> Collective Bargaining agreements  <input checked="" type="checkbox"/> Other
Please give details	N/A The facility paid correctly overtime permium.
If more than 60 total hours per week and this is legally allowed, are there other considerations? Please complete the boxes where relevant. (Please explain any checked boxes above e.g. detail of consolidated pay / CBA or Other)	<input type="checkbox"/> Overtime is voluntary <input type="checkbox"/> Onsite Collective bargaining allows 60+ hours/week is voluntary <input type="checkbox"/> Safeguards are in place to protect worker's health and safety  <input type="checkbox"/> Site can demonstrate exceptional circumstances <input checked="" type="checkbox"/> Other reasons (please specify)
Please give details	N/A. The total working hour per week under 60 hours
Please explain any checked boxes above e.g. detail of consolidated pay / CBA or other	N/A. The total working hour per week under 60 hours
Is there evidence that overtime hours are being used for extended periods to make up for labour shortages or increased order volumes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If sufficient workers cannot be hired, are new working time arrangements explored to ensure that overtime is the exception rather than the rule?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No



## 7 - No Discrimination is Practiced [Summary of Findings]

### 7: Compliance Requirements

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:

- Policy on non-discrimination performance was established in place.
- No evidence of discrimination based on race, caste, national origin, religion, age, disability, gender, marital status, sexual orientation, union membership or politics was found.
- The facility explicitly prohibited mandatory pregnancy testing as a condition of employment or continued employment.
- The employees were paid of the same job and seniority with the same rate irrespective of gender, age, or other issues

#### Evidence examined:

- Reviewing recruitment documents, Payrolls and time records, Disciplinary records confirmed that 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.
- Policy on Anti-Discrimination
- Disciplinary procedure

#### Any other comments:

Nil

Gender breakdown of Management + Supervisors (Include as one combined group)	Male: 48.0%Female: 52.0%		
Number of women who are in skilled or technical roles (e.g. where specific qualifications are needed i.e. machine engineer / laboratory analyst)	4		
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"/> Promotion	<input type="checkbox"/> Compensation  <input type="checkbox"/> Termination or retirement	<input type="checkbox"/> Access to training  <input checked="" type="checkbox"/> No evidence of discrimination found
Please give details	N/A		
Professional Development			
What type of training and development are available for workers?	All workers are given H&S training. females as well as males are trained to become supervisors and managers. Workers were provided health and safety, fire drill, first aid training.		
Are HR decisions e.g. promotion, training, compensation based on objective, transparent criteria? (If no, please provide details)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		



## 8 - Regular Employment Is Provided [Summary of Findings]

### 8: Compliance Requirements

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:

- Based on reviewed documents and interviewed employees, all employees were interviewed and hired directly by the facility.
- They were given an orientation on the facility rules and regulations including labor issues, wages and benefits, working time, and health and safety.
- A labor contract was signed by both employee and employer after employee's probation period was passed.
- All workers were not required to sign blank papers, resignation letter etc.

### Evidence examined:

- The hiring and termination practices (not formalized)
- Personal files
- Payroll records were provided for review.

### Any other comments:

None

## Responsible Recruitment

### All Workers

Were all workers presented with terms of employment at the time of recruitment, did they understand them and are they same as current conditions?

- ☒ Terms & Conditions presented ☒ Understood by workers
- ☒ Same as actual conditions

Did workers pay any fees, taxes, deposits or bonds for the purpose of recruitment/placement? (If yes, please describe details and specific category(ies) of workers affected)

- ☐ Yes ☒ No

### Migrant Workers

Type of work undertaken by migrant workers:	No foreign migrant worker in the facility
Please give details about recruitment agencies for migrant workers:	Number of (in country) recruitment agencies used: 0 Number of (outside of local country) recruitment agencies used: 0
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 checked="" type="checkbox"/> No Please give details: No foreign migrant worker at the factory (N/A)
Is there any observation on this finding?	N/A
Are any migrant workers in skilled, technical or management roles? (This should include all migrant workers including permanent workers, temporary and/or seasonal workers)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Non-employee workers</b>	
<b>Recruitment Fees</b>	
Are there any fees?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<b>Agency Workers (if applicable) (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.)</b>	
Number of agencies used (average):	0
Please provide the names of agencies if applicable	N/A
Were agency workers' age / pay / hours included within the scope of this audit?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Were sufficient documents for agency workers available for review?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there a legal contract agreement with all agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A
Does the site have a system for checking labour standards of agencies?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A
<b>Contractors (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.)</b>	
Any contractors on site?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A
Do all contractor workers understand their terms of employment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A



### 8A - Sub-Contracting and Homeworking [Summary of Findings]

#### 8A: Compliance Requirements

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

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

### 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:

During a site tour, it was observed that all production processes were conducted within the facility itself. Additionally, there were no subcontractors or home workers utilized by the facility.

#### Evidence examined:

- Site tour (Calculation on total production and estimated capacity)
- Materials in/out records
- Management interview
- Workers' interviews

#### Any other comments:

None

### Summary of sub-contracting – if applicable

Is there any sub-contracting at this site? ☐ Yes ☒ No

### Summary of homeworking – if applicable

Is homeworking used at this site? ☐ Yes ☒ No

## 9 - No Harsh or Inhumane Treatment is Allowed [Summary of Findings]

### 9: Compliance Requirements

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.

9.2 companies should provide access to a confidential grievance mechanism for all 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:

Disciplinary procedure for workers' misbehavior was established by factory management, encompassing oral warnings, written warnings, and termination. Additionally, a training program on this procedure was developed for all employees. Workers confirmed their awareness of this procedure through interviews, while management interviews and document reviews corroborated its existence. Furthermore, there was a policy in place regarding Harsh Treatment.

-An internal grievance process was implemented, featuring a grievance box installed in the workshop. This allowed workers to anonymously report grievances such as harassment, bullying, or discrimination. Any complaints received were handled by management without reprisal for the worker in question. This system was widely known among the workers.

-No deductions from wages or benefits were made for any reason.

-Interviews with facility management and employees revealed that no cases of abuse or disciplinary issues had occurred in the facility. The disciplinary procedure primarily involved verbal warnings, with employees signing a slip to confirm their understanding of the procedure.

#### Evidence examined:

- The relevant policy on prevention of harassment and abuse
- Training records
- Internal grievance procedure documentation

#### Any other comments:

None

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?

☒ Yes ☐ No

Please give details:

Any violations of labor standards, health and safety (H&S) regulations, or other grievances can be reported to either the Trade Union representative or the local labor authority. To facilitate reporting, two suggestion boxes were installed in the workshop for workers to anonymously report any such violations or grievances to a third party.

If yes, are workers aware of these channels and have access? Please give details.

During interviews with employees and the Trade Union representative, it was observed that workers were knowledgeable about the process for reporting violations of labor standards, health and safety (H&S) issues, or any other grievances.

If yes, what type of mechanism is used e.g. hotline, whistle blowing mechanism, comment box etc. Please give details.

- Suggestion boxes
- Verbal exchange
- Trade Union discussion

Which of the following groups is there a grievance mechanism in place for?

- ☒ Worker ☐ Communities  
☐ Suppliers ☐ Other

Please provide grievance mechanism details	An internal grievance process was established, featuring a grievance box installed in the workshop. Workers had the opportunity to report any grievances anonymously, including instances of harassment, bullying, or discrimination. Any complaints received were handled by management without reprisal against the worker in question. This system was implemented, and a majority of workers were aware of it.
Are there any open disputes?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:
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)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Is there a published and transparent disciplinary procedure?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
If yes, are workers aware of these the disciplinary procedure?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details:
Does the disciplinary procedure allow for deductions from wages (fines) for disciplinary purposes (see wages section)?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details:



**10A - Entitlement to Work and Immigration**  
**[Summary of Findings]**

**10A: Compliance Requirements**

10.A.1 Only workers with a legal right to work shall be employed or used by the supplier.

10.A.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:**

-According to document reviews, facility management representation, and interviews with workers, it was confirmed that 100% of the workers in the facility were Vietnamese nationals.

-All workers possessed the legal rights to work in the region.

-The youngest worker was 18 years old, meeting legal age requirements for employment.

-All workers were directly recruited by the facility, with no involvement of any recruitment agencies.

-No agency staff or foreign migrant workers were identified during the audit.

**Evidence examined:**

- Hiring procedure
- Personnel files
- Procedures and policies

**Any other comments:**

None

#### 10B4 - Environment 4-Pillar [Summary of Findings]

##### 10B4: Compliance Requirements

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

10.B4.2 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.

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

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

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

10.B4.6 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).

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

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

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

##### 10B4: Guidance for Observations

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

10.B4.11 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:

Satisfactory evidence collected through site observation, document review, and employee interviews indicated the following:

- The Environmental Licence No. 98/GPMT-BTNMT April 11, 2023
- Hazardous waste was collected and treated quarterly by a competent contractor company with adequate licenses, as required by law. A contract was signed from June 01, 2023 to June 01, 2024 with Trai Dat Xanh Environmental Technology Joint Stock Company and The most recent collection was on November 11, 2024.
- Industrial and living waste were stored in separate areas and treated by a functional company, with adequate records available for review.
- Hazardous and normal wastes were stored in separate areas and marked with identified labels. No substantial pollution was observed throughout the factory, and environmental impact factors such as wastewater and air emissions were periodically analyzed.
- Environmental monitoring reports were conducted as per legal requirements, with the latest report dated March 8, 2024, showing that testing results met local standards.
- During a factory tour, the general working environment was observed to be clean and in good condition.
- No substantial pollution was observed throughout the factory during the audit.
- An environmental protection policy, signed by top management, was communicated to all employees.
- Mr. Thang - the HSE Staff, was appointed to monitor environmental issues at the facility. Environmental awareness training was provided to all employees on an annual basis.

##### Evidence examined:

- Environmental protection policy.
- Wastes transfer records between the factory and wastes collector.
- Environmental monitoring assessment results.
- Worker and management interview.
- Site observation.

**Any other comments:**

None

Environmental Analysis	
Is there a manager responsible for Environmental issues (Name and Position):	Mr. Thang - the HSE Staff
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 Please give details: Environment Impact Assessment Report was approved on March 8, 2024.
Does the site have a recognised environmental system certification such as ISO 14000 or equivalent?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: The factory did not have environmental system certification such as ISO 14000
Does the site have an Environmental policy?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If yes, is it publicly available?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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 Please give details: the factory had address the key impacts from their operations such as waste generating, air emissions, wastewater discharging, noise emissions and their commitment to improvement
Does the site have a Biodiversity policy?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Is there any other sustainability systems present such as Chain of Custody, Forest Stewardship Council (FSC), Marine Stewardship Council (MSC) etc.?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: N/A
Have all legally required permits been shown?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No Please give details: All legally required permits available for review
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"/> Not Applicable Please give details: TThere was no hazardous chemical being used in facility.

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  Please give details:  This was included in the facility's internal management system.	
Facility has reduction targets in place for environmental aspects e.g. water consumption and discharge, waste, energy and green-house gas emissions:	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please give details:  The factory set a target to reduce energy use annually	
Facility has evidence of waste recycling and is monitoring volume of waste that is recycled.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please give details:  The factory tracked volume of waste recycling every month.	
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please give details:  The factory has a system in place for accurately measuring and monitoring consumption of key utilities of water, energy and natural resource monthly	
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?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No  Please give details:  The facility has established a procedure to verify that its business partners operating on the premises possess the necessary permits and licenses and are conducting their activities in accordance with the environmental standards set by the facility.	
Usage/Discharge analysis		
Criteria	Previous year: 2023	Current year: 2024
Electricity Usage: Kw/hrs	3621500	1411500
Renewable Energy Usage: Kw/hrs	0	0
Gas Energy Usage: Kw/hrs	0	0
Has site completed any carbon Footprint Analysis?	No	No
If Yes, please state result		
Water Sources	Water from Anh Hong - Duc Hoa III Industrial Park	Water from Anh Hong - Duc Hoa III Industrial Park
Water Volume Used	90	59
Water Discharged	Connector to the wastewater collection manhole of Anh Hong - Duc Hoa III Industrial Park	Connector to the wastewater collection manhole of Anh Hong - Duc Hoa III Industrial Park
Water Volume Discharged	86	41
Water Volume Recycled	0	0
Total waste produced	404,38 ton	158,27 ton

Total hazardous waste produced	89 kg	76 kg
Waste to recycling	0	0
Waste to landfill	0	0
Waste to other	0	0
Total Product Produced	13726	3610

### 10C - Business Ethics – 4-Pillar Audit [Summary of Findings]

#### 10C: Compliance Requirements

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

10.C.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.

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

10.C.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.

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

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

10.C.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

10.C.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.

10.C.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:

-The Admin department issued a written policy on business practices, explicitly prohibiting all forms of bribery, corruption, or unethical behavior within the facility's operations. Definitions of prohibited activities were outlined in the policy, which underwent a review in March 2024.

-Ms. Nguyen Thi Thuy Dung / Vice General Director, was appointed as the person responsible for implementing standards regarding Business Ethics.

-Periodic training on business integrity was provided to all relevant employees.

-Complaints from workers and suppliers were directed to Ms. Nguyen Thi Thuy Dung / Vice General Director.

-The facility employed three methods to identify ethical issues: employee feedback through hotlines and suggestion boxes, as well as a highly confidential email system.

-Supplier evaluation and selection procedures were established by the Admin department.

#### Evidence examined:

- Bribery and Anti-corruption policy

- Training records

- Personal data

- Confidential grievance mechanism to report unethical business behaviour.



- Management and workers interview.

#### Any other comments:

None

Does the facility have a Business Ethics Policy and is the policy communicated and applied internally, externally or both, as appropriate?	<input checked="" type="checkbox"/> Internal Policy <input checked="" type="checkbox"/> Policy for third parties including suppliers Please give details: The Business Ethics Policy was communicated annually to both internal and external parties.
Does the site give training to relevant personnel (e.g. sales and logistics) on business ethics issues?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: Staff members in roles with a higher level of risk in ethical business practices, such as sales, purchasing, and logistics, received training on the appropriate actions to take in the event of an issue arising in their area.
Is the policy updated on a regular (as needed) basis?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The Business Ethics policy underwent an annual review.
Does the site require third parties including suppliers to complete their own business ethics training	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Please give details: The facility communicated its Business Ethics policy, which addresses bribery, corruption, and fraudulent business practices, to all relevant parties, including its suppliers.

Attachments

 <u>Signed CAP of Lam Tran.pdf</u>	 <u>SMETA Photo of LAM TRAN PLASTIC RECYCLING JSC May 30 - 31, 2024.pdf</u>
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