

Zero Tolerance Policy and Ethical Sourcing Program Enhancements

零容忍政策及道德采购项目的强化

Save
money.
Live
better.

Key Areas of Walmart Standards for Suppliers 沃尔玛供应商标准的核心内容

- ▶ Compliance with Laws 遵守法律
- ▶ Voluntary Labor 自愿劳动
- ▶ Labor Hours 工作时间
- ▶ Health and Safety 健康和安全
- ▶ Hiring and Employment Practices
聘用及雇佣实践



Key Areas of Walmart Standards for Suppliers 沃尔玛供应商标准的核心内容

- ▶ Compensation 报酬、福利
- ▶ Freedom of Association and Collective Bargaining 结社和集体协商
- ▶ Environment 环境
- ▶ Dormitories and Canteens 宿舍及餐厅



Ethical Sourcing audits required for factories producing:

生产以下产品的工厂需要做道德采购审核

-  Merchandise imported by Walmart (*Walmart is the importer of record*)
所有由沃尔玛进口的商品（沃尔玛是注册进口商）
-  Merchandise sourced through Walmart Global Sourcing
所有由沃尔玛全球采办采购的商品
-  Any private label, licensed, or non-branded merchandise
任何有沃尔玛自有品牌标识、许可或非品牌的商品
-  Brands exclusive to Walmart 所有由沃尔玛独家销售的商品
-  Merchandise labeled as “distributed by/manufactured for Walmart”
带有如“由沃尔玛销售/生产”等标记的商品

Audit Scope 审核范围

-  Packing materials with logos/brands exclusive to Walmart
包装材料上印有沃尔玛专有标志或商标以示供货给沃尔玛的商品
-  Merchandise components bearing any mark associated with Walmart
任何带有沃尔玛相关标识的商品零部件
-  Augmentation of any merchandise in scope for Walmart Ethical Sourcing including but not limited to washing, embroidering, assembling, printing etc.
沃尔玛道德采购项目范围中的商品，如有外发进行生产或加工工序（包括但不限于洗涤、刺绣、装配、印刷等）

Audit Timeline 审核时间表 (35 Days 35天)

Action Item 操作程序	Timeframe 所需时间
Factory Disclosed by Supplier in Retail Link 供应商在零售链上公开工厂信息	Dependant Upon Supplier 取决于供应商
Factory ID Created and Audit Assigned 工厂编号的建立和指定审核公证行	3 Days 3天
Audit Firm to Collect the Audit Fee 审核公正行收取验厂费用	5 Days 5天
Audit Firm to Conduct the Audit 审核公正行进行审核	15 Days 15天
Ethical Sourcing to Review and Assess Audit Report 道德审核部门审阅审核报告并做出结果判定	10 Days 10天
Assessment Sent-Out 发送结果信	1 Day 1天

Suppliers should ensure that they plan for this timeline and that they execute their responsibilities in a timely fashion.

供应商应确保根据该时间表制定计划并及时完成相关工作

Audit Results: Color-Coded Audit Ratings

审核结果: 审核结果的颜色代码



Green

绿色

Minor Violations 轻微违规

Re-Audit in 2 Years 2年内重新审核



Yellow

黄色

Medium-Risk Violations 中等风险的违规

Re-Audit in 1 Year 1年内重新审核



95%



Orange

橙色

High-Risk Violations 高风险的违规

Re-Audit in 6 Months 半年内重新审核

Note: Factories that receive three Orange ratings in a 2-year period are Red-Disapproved for 1 year

注意: 工厂如在2年内得到3个橙色结果将会被归入“红色 – 不批准”状态, 为期1年



Red

Failed

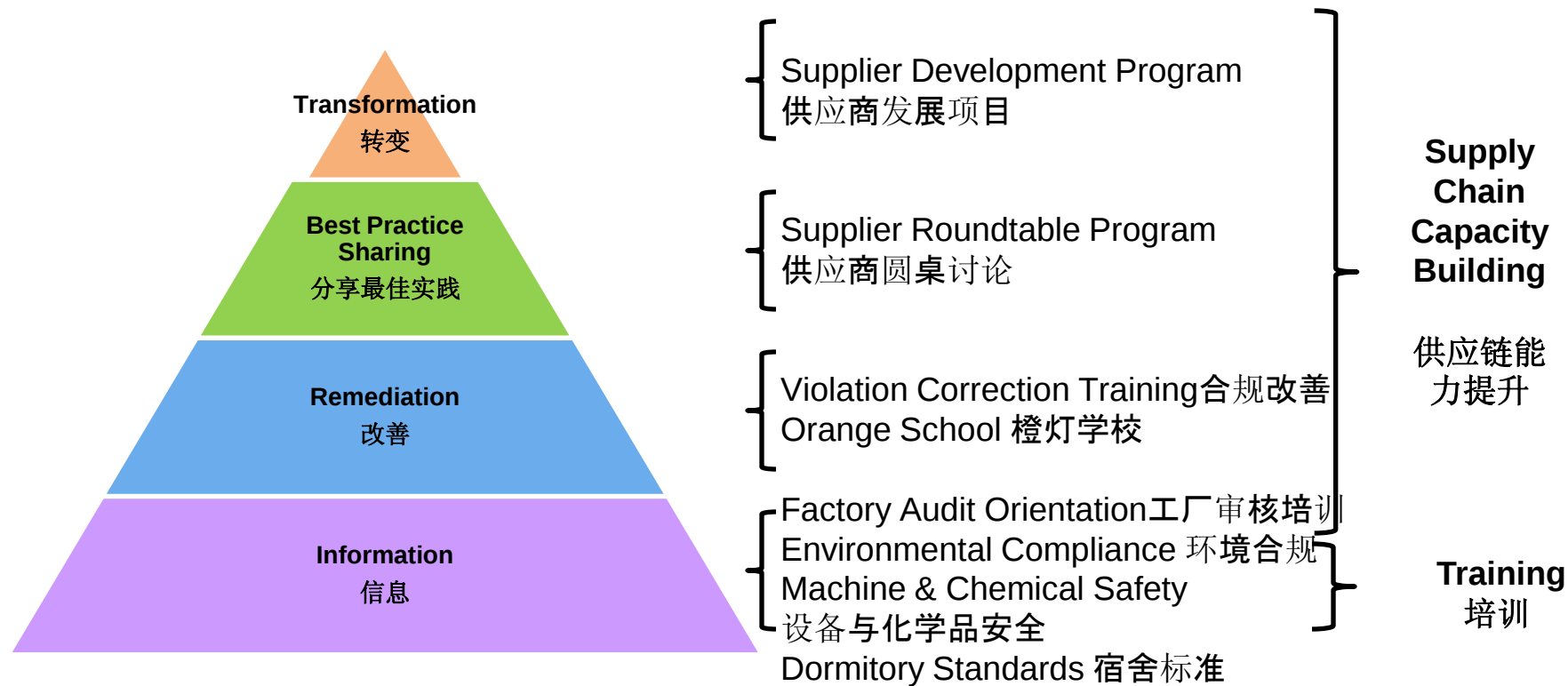
红色

不通过

Most Serious Violations 最严重的违规

No Future Business with the Factory 工厂不得再接沃尔玛的订单

Ethical Sourcing Support Programs 道德采购支持项目



Raising the Bar 提升标准

New Requirements for Suppliers 针对供应商的新要求

- **Mandatory factory disclosure:** Suppliers *must* disclose, in advance, the names and locations of all of their in scope facilities to the buyer or sourcing designee. **Effective Immediately**, Walmart will institute zero tolerance for unauthorized subcontracting and will terminate its relationship with any supplier engaging in unauthorized subcontracting for production of goods for Walmart. Factory IDs will be required to be listed on the sample tag for any items to be considered for finalization.

工厂信息强制披露： 供应商必须提前向买手或相关采购人员披露所有在审核范围内的生产工厂的名称和地点。**即日起**，沃尔玛对未经授权的分包实施零容忍政策，如供应商从未经授权的分包商处为沃尔玛采购商品，沃尔玛将终止与该供应商的合作。任何产品在最终确认前供应商须在样板标签上列出生产工厂编号。

Raising the Bar 提升标准

New Requirements for Suppliers 针对供应商的新要求

- **Pre-qualification – new factories:** All newly disclosed facilities will be required to pre-qualify with a green or yellow Ethical Sourcing audit rating prior to being made active. Orange-rated facilities may no longer be added to the supplier's matrices.
资格预审-新工厂：所有新披露的工厂应进行道德采购资格预审并取得黄色或绿色评级结果后方可激活。橙色级别的工厂不能被增加到供应商的工厂名单中。
- **Pre-qualification – existing factories:** Furthermore, if a supplier wishes to add an already-active factory to their supplier matrix, the factory must have a green or yellow rating. If the factory is currently used by another supplier and has an orange rating, it cannot be added to a new supplier's matrix until it has qualified with a green or yellow rating.
资格预审-现有工厂：如果供应商希望将一家已处于激活状态的工厂增加至其工厂名单中，工厂必须是黄色或绿色评级。如果正在被某供应商使用的一家工厂是橙色评级，这家工厂不可以被其他供应商加至工厂名单中。该工厂取得黄色或绿色评级后，才能被其他供应商加至工厂名单中。

Raising the Bar 提升标准

New Requirements for Suppliers 针对供应商的新要求

- **In-country representatives:** Effective June 1, 2013, all suppliers are required to have a company employee who is responsible for ensuring compliance with our Standards for Suppliers and Ethical Sourcing requirements stationed in each country where the supplier is actively sourcing Walmart product. The name of the in-country representative must be listed on the sample tag for any items to be considered for finalization.
- **供应商生产国代表:** 从2013年6月1日起, 所有供应商应在其为生产沃尔玛采购的生产国有一名员工负责确保在该国采购的商品符合沃尔玛道德采购的要求。任何产品在最终确认前供应商须在样板标签上列出供应商生产国代表的名字。

Raising the Bar提升标准

New Requirements for Facilities针对工厂的新要求

- **Mandatory sub-contracting disclosure:** In keeping with the zero tolerance policy for unauthorized subcontracting – if Walmart discovers that a facility has subcontracted work for in scope items to an unauthorized facility unbeknownst to the supplier, Walmart will terminate the relationship with the supplier and fail the facility so that it may not be used for any Walmart production.

分包信息强制披露: 对未经授权的分包实施零容忍政策 – 如果沃尔玛发现工厂在供应商不知情的情况下将沃尔玛的产品分包予未经授权的其他工厂， 沃尔玛将中止与该供应商的合作同时该工厂将会被给予红色级别（即不合格）， 并将被永久性禁止向沃尔玛所有的零售市场提供商品。

- **Fire safety corrections:** Facilities that have been found to have fire safety violations will have 30 days to take corrective action, with remedial actions beginning immediately. After 30 days, if the violations have not been corrected, Walmart will fail the factory and no further production may occur until the violations have been remedied.

消防安全违规整改: 一旦被发现存在消防安全方面的违规行为， 工厂应立即采取整改措施并有30天时间进行整改。如果30天后相关违规未进行整改， 该工厂将会被评为不合格并禁止进行生产直到相关违规得到有效改善。

Raising the Bar提升标准

New Requirements for Facilities针对工厂的新要求

- **For factories in Bangladesh:**

针对孟加拉工厂：

- **Mandatory safety audits:** All factories in Bangladesh will be subjected to a mandatory third-party electrical and building safety assessment. The first assessment cost will be incurred by Walmart, not the suppliers.

强制安全审核：所有在孟加拉的工厂应进行强制性第三方电路和建筑物安全审核。第一次审核的费用将由沃尔玛承担，供应商无需付费。

- Walmart is also evaluating the establishment of a revolving fund to help factory owners to make improvements

沃尔玛也在考虑建立一个循环基金以帮助工厂进行改善。

- **One factory ID per building:** Factories who have multiple facilities in the same building will be combined under one factory ID in Retail Link.

一栋建筑一个工厂ID：如果同一建筑内有多家工厂则所有工厂应在零售链中合并至同一工厂ID下。

Expectations of Suppliers 对于供应商的期待

1. Identify and disclose all facilities producing items in the audit scope.
确认并披露所有生产在审核范围之内商品的工厂
2. Register all new factories in Retail Link which you plan to use to manufacture items in the audit scope. Maintain an up-to-date factory matrix for all of your manufacturing facilities.
在零售链中注册登记所有将要生产在审核范围之内商品的工厂。确保工厂名单及时更新并已包含所有生产工厂。
3. Work diligently with your facilities to correct and improve all violations which are identified.
与生产工厂密切配合以整改并完善所有审核中发现的违规。
4. Be proactive – Actively communicate Walmart's Standards for Suppliers to your facilities and agents and ensure that they are not subcontracting any production without Walmart's prior authorization.
积极主动 – 针对沃尔玛供应商标准的内容，积极与工厂及代理商沟通，以确保他们不会在没有得到沃尔玛提前许可的情况下将产品进行外发
5. We are here to help. 沃尔玛将随时提供必要帮助

Enhancements to Fire Safety Requirements – All Countries

消防安全要求的强化——适用于所有国家

Fire Safety / 消防安全

As part of our effort to work with suppliers globally to improve facility conditions related to risk of fire, we have made several modifications to our protocol for auditing and assessing facilities.

在全球范围内与供应商一起改进工厂的消防安全条件是我们努力实现的目标的一部分，我们已对工厂审核和结果评定方案作了一些修改。

Facilities found to have fire safety related violations must initiate corrective actions immediately. All repairs or changes that are not able to be completed immediately must be completed no later than thirty (30) days from identification. **During this thirty-day period, the factory must implement plans to mitigate the identified risks or further production will be barred.**

一旦发现工厂设施存在消防方面的违法行为，工厂应立即采取整改措施。如果补救措施或纠正措施无法立即完成，则应在确认后三十日内完成。在此三十日的期限内，工厂必须采取方案降低已确认的风险，否则工厂应停工。

Requirements which may be above and beyond legal requirement(s) that must be implemented and adhered to. These include:

工厂也需执行以下要求, 尽管这些要求可能高于或独立于法定要求:

- No locked doors. Doors should have push bar operation for easy exit in case of emergency

门不可锁死。门应该有门推手以便在紧急情况下易于操作

- Barred windows must have an internal mechanism for emergency release or removal to allow for worker escape and must remain unlocked

有栏杆的窗户必须有内部装置以便紧急情况下可以打开或卸下栏杆以便工人逃生, 且应保持不上锁状态

- All floors and buildings, including dormitories, must have a secondary exit, and preferably an external fire escape route

所有楼层和建筑物, 包括宿舍, 必须具有第二出口, 且最好是建筑外部的火灾逃生路线



Continued...继续...

- Fire escape routes must lead to safe assembly points without any obstructions. Assembly points must be designated and marked as such and must be kept clear at all times.

火灾逃生路线必须无障碍地通向安全的集合地点。集合地点必须被指定并标明是此用途，并且任何时候不得占用。

- Proper access for fire department vehicles and other fire-fighting equipment in the factory premises.

应为消防车和消防器械进出工厂留出合适的通道。

- Adequate water supply for sprinkler and fire hydrant systems.

应有足够的水源供喷淋系统和消防栓使用。

- Audible and operable fire alarms that can be heard in all parts of the building, that operate as one system amongst all floors and areas of the building

火灾报警应在建筑物范围内任何位置都能被听到，且可在各楼层和建筑物所有区域范围内可作为一个系统进行操作。



Continued..继续...

- Marked and lighted exit routes for all floors and areas of the building, including stairwells. Emergency lights to be fire grade 'industrial emergency lights' for use in smoke and fire environments.

所有楼层及建筑物任何位置，包括楼梯，应有明确标志和闪亮的出口路线。应急灯在有烟或火的环境下，达到“工业应急灯”的亮度

- Quarterly joint fire drills including all floors of the building to be overseen by an external party, such as the fire authority, for timely and effective personnel evacuation. Documentation of these drills must be retained by the facility for review during any visit to the facility.

每季度进行所有楼层的消防演习，消防演习应由外部第三方（如消防部门）监督所有人员及时有效地进行疏散。工厂应保存好有关消防演习的资料以供到访人员查阅

- Fire safety training conducted for all personnel every 6 months
应每6个月对全体人员进行消防安全培训



Continued...继续...

- Personnel on-boarding process should include fire safety training upon hiring
人员入职培训应包括消防培训
- Trained firefighters for each floor of the facility
工厂每一层设一名受过训练的消防协调人员
- Valid fire license where required by law . Valid construction approval where required by law
持有有效的消防许可证（如法律要求）。持有有效的建筑许可（如法律要求）
- Hazardous/flammable chemicals must be kept away from ignition sources
危险化学品或易燃物应远离火源放置
- Crèche/childcare facilities must be on the ground floor of the building, preferably located in a separate non-industrial facility.
育婴所或托儿所必须设于建筑物的首层，最好设置于单独的非工业厂房

Suppliers must work with their facilities to ensure the above requirements are being met.
供应商必须确保所有工厂执行并达到上述要求

Thank you

Additional Safety Requirements for Bangladesh 孟加拉国的额外安全要求

All facilities must go through a mandatory electrical and building safety assessment provided by a credible independent external certification agency. Production may not begin until after the facility has passed the full Ethical Sourcing prequalification process, which includes the electrical and building safety assessment. Production in a facility that has not been prequalified will be deemed unauthorized subcontracting.

所有工厂应通过由可信赖的独立外部认证机构实施的强制性电路和建筑物安全评估。在通过全部道德采购资格预先审核程序（包括电路和建筑物安全评估）之前，不可进行生产。在未经资格预先审核的工厂生产将被视为未经授权的分包

Additional Safety Requirements for Bangladesh 孟加拉国的额外安全要求

While an overall global approach is necessary, there is a need for heightened attention to the risks specifically related to building structure in Bangladesh. A facility that meets one or more of the below Structural Fire Safety Criteria is deemed to be at high risk for fire related incidents and will be assessed as Red-Unauthorized and inactivated according to protocol. A facility assessed as Red-Unauthorized is no longer eligible for Walmart production for any retail market.

在采取全球整体措施的情况下，有需要对孟加拉国与建筑结构相关的风险更加关注。以下一项或多项符合结构性消防要求的工厂应被视为具有火灾高发风险，应根据方案被认定为红色——未经授权及不可为沃尔玛提供商品。被评定为红色——未经授权的工厂不再具有资格在任何零售市场为沃尔玛提供商品。

Structural Fire Safety Criteria 结构性消防要求

- Residential building converted into an industrial facility 居民楼转为工业用房
- Facilities in multi-story building with a ground-floor marketplace or commercial shops on any floor 工厂位于多层建筑中、而底层为市场，或任意楼层有商铺
- Facilities in multi-story building shared with other factories/enterprises under separate ownership 工厂位于与其他工厂/企业共有的多层建筑
- Facilities with a rooftop that does not meet legal requirements and is not 100% clear 工厂的顶部不符合法定要求且并非100%无障碍物
- Facilities where there is a residence located within the building 工厂建筑内含有民居

Rooftop Requirements 屋顶要求

- Rooftops must conform to all legal requirements and must be 100% clear. Evacuation must lead to a designated assembly point clear of the main roads and other obstructions during an emergency.

屋顶必须符合所有法定要求，并必须保证100%无障碍物。疏散路径必须指向指定的集合地点，集合地点必须远离主要道路，且在紧急情况下不得被障碍物占用。

Combining Factory IDs in Retail Link 在Retail Link(零售链) 合并工厂ID

- A unique aspect of production in Bangladesh is the co-location of various facilities on different floors of multi-story buildings. Oftentimes, these facilities are owned by the same organization. In order to address this issue, effective immediately, multiple facilities in the same building under one owner will be combined into one Factory ID in Retail Link regardless of the suppliers attached.

在孟加拉国的生产的一个独有特点是在多层的建筑物上不同楼层有不同的工厂。通常，这些工厂由同一个组织拥有。为处理这个问题，在同一个业主所有的同一建筑物内的多个工厂，不论所属的供应商，将在Retail Link（零售链）合并在一个工厂ID下，以上要求即时生效。

Combining Factory IDs in Retail Link 在Retail Link(零售链) 合并工厂ID

- The facilities will be combined under one facility name but the other facility names will be referenced in the Comments section of the facility history screen in Retail Link for reference.

所有工厂应被合并到一个工厂名称下，但其他工厂名称将在Retail Link（零售链）工厂历史屏幕注释栏中被提及作为参考。

- All audit histories will be transferred to the primary facility history.

所有审核记录将转移至主要工厂记录。

- The primary facility assessment will reflect the least favorable grading of the combined facilities.

主要工厂评估将反映所有工厂合并后的最差评级

- To complete this process, we will be asking all suppliers sourcing from Bangladesh to provide specific facility details.

为了完成这个程序，沃尔玛将要求所有在孟加拉进行采购的供应商提供具体的工厂信息。

Audit Protocol for Multiple-Facility Compounds

复合设施的审核方案

The protocol for including multiple facilities in a compound into one audit is outlined below. For facilities in a compound that have not been sourcing for Walmart, **suppliers have until April 1, 2013** to work with these in preparation for inclusion in the audit process. If a combined facility refuses to participate in the audit or denies the audit firm access to facilities or documentation upon request, the entire facility will be assessed as Access Denied as per our standard Ethical Sourcing audit protocol. The facility will be inactivated precluding shipment and new order placement.

对于在一个围区内的多个工厂（设施）合并审核的审核方案概要如下。对于在围区内但未为沃尔玛提供商品的工厂（设施），供应商应在**2013年4月1日**前做好将之纳入审核的准备工作。如果合并后的工厂拒绝参与审核或拒绝审核机构进入工厂或获取文档的要求，根据道德采购审核方案，整个工厂将被评定为拒绝提供便利。工厂将不可再为沃尔玛提供商品，不具资格装运和接收新订单。

Please be aware that audit firms are instructed to use the following guidelines related to Bangladesh facilities. All facilities in the building and compound involved in sourcing the same product type (i.e. garments) are to be included in the audit.

请注意审核机构获指示在处理孟加拉工厂事务时采用以下指引。所有在建筑物内和围区内的工厂如提供相同的产品类型（如衣服）则应包含在审核内。

- Facilities from which non-similar products are sourced will require a walk-through for validation of environmental, health and safety conditions, age violation related spot interviews, and observation for other high-risk issues.

如工厂提供不相似产品，则应要求走访以确认环保、健康和安全条件的有效性，通过现场访谈确认违反年龄的相关规定，及监督其他高风险事项

- Fire License will be reviewed for all facilities in the building/compound.

审核所有工厂的建筑物的消防许可证

- Building Approvals / Layout Plan will be reviewed for all facilities in the building/compound.

应审核所有工厂的建筑物许可 / 平面图

- Rooftop will be reviewed for compliance with all legal requirements and included in the audit findings.

应检查屋顶是否符合所有法定要求、并包括在审核违规项中

- Joint Fire Drills will be confirmed among the facilities.

将确认所有工厂进行联合消防演习

Thank you