



Being an employee of "LOCK, STOCK & BARREL" every employee will have to follow the below mentioned conduct & Discipline.

General Requirements

The governing board respect and insist our performance compliance with Company Code of Conduct, which concentrated and extracted as key words as below:

- Independent & Objective.
- Professional & High Quality.
- Integrity & Confidentiality.
- Impartiality & Due Diligence.

Health and Safety Policy

- Taking reasonable care to protect the health and safety of yourself and other people in the workplace.
- Not engaging in improper behavior that will endanger yourself or others.
- Reporting any defects (faults) in equipment or the workplace which might be a danger to health and safety.
- Be aware of workers' safety if interrupting their operations is necessary.
- When there is any accident happening at the factory, auditors shall be aware of their own safety. Auditor shall consider keeping a safe distance from it or leaving the audit site if necessary.
- As a visitor, respect rules of EHS requirements/ rules of the client.

Responsibility

- Compliance Manager is responsible to set up the procedure.
- Operation Manager is responsible for review the procedure.
- General Manager is responsible for approving this procedure.
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- General Manager is responsible for approving this procedure.
- If there is serious complaint or violation, Compliance Manager or above will make final decision on disciplinary measure and report to General Manager if necessary.
- Managerial staff (e.g. branch manager, compliance manager, operation manager, marketing manager, etc.) is responsible for monitoring salespersons' and auditors' performance.
- All the LSB staff including auditors shall study and well understand the Code of behavior and obey it.
- Zero Tolerance staff are forbidden to solicit or accept any form of bribery or incentive. It will result in termination of employment immediately.



Dress Code

- Business casual.
- Wear appropriate work attire.
- Tidy personal appearance. Wear Lock, Stock & Barrel badge only (if any).

Punctuality

- Arrive at the office punctually in order to manage departure time and lunch time
- Any specific time requirement (e.g. night shift audit, off-site interview, etc.)

Leave and time off work Policy

Provided that:

- 2 Hours short leave per month is allowed.
- 2 Days of paid leave per month is allowed.
- 10 SL are allowed in a year.

Work Meal

- 30 Minutes for lunch-break and 5 Minutes for tea breaks pre & post lunch.
- Alcohol drinking is strictly forbidden.
- LSB staff shall not accept meals, except for beverages such as water, coffee, tea or soda which are customarily provided to visitors at the facility, from any party directly or indirectly related to a social compliance service.
- LSB staff may accept lunch in factory's supervisor canteen, or fast food in lunch box, or go out for lunch, but the related LSB staff shall pay for the meal at the current market rate and obtain a receipt to evidence payment.

Integrity

- Strictly forbid to any bribery.
- LSB staff shall not solicit, accept or facilitate any form of benefit or value including currency, goods, services, or entertainment from any party directly or indirectly related to a social compliance service & they shall not accept gifts, whether goods or services, from any party directly or indirectly related to a social compliance service.

Behavior Policy

- Be polite based on respect.
- Be gentle based on cooperative attitude.
- Initiative & positive.
- Adequate communication.
- Neither overbearing nor servile.
- Forbid any inappropriate behavior.

Other Disciplines



- Respect factory staff.
- Do not smoke inside the factory at any time.
- Don't put auditor's bag on desk.
- Concentrate on the work task.
- Any abnormal situation should be reported to department manager or delegated staff immediately.
- Auditor should avoid long time phone call during audit, in case it was not avoidable, auditor need to explain to factory representative(s) politely.

Travel Policy (Transportation)

- Arrange reasonable travel according to schedule and company policy.
- LSB staff shall not accept transportation from any party directly or indirectly related to a social compliance service.
- Please follow:
 - ✓ Requirements of client.
 - ✓ HR policy and regulations.
- LSB staff shall pay for the transportation at the current market rate and obtain a receipt to evidence payment, in some special circumstance if any transportation provided by any party directly or indirectly related to a social compliance service.

Employee punctuality and attendance Policy

Employees must be at the place of work by the fixed/ notified time.

Every employee will mark their login time and logout time in software.

Non-discrimination and anti-harassment Policy

These policies prohibit harassment and discrimination from taking place in the workplace.

At-will employment Policy

Either the employee or the employer can end the employment at any time, as long as the reason is lawful.

Confidentiality Policy

Acknowledge that in course of your employment with the company, you shall come into the proprietary information of the company. You confirm that all confidential information shall remain the sole and absolute property of the company.

Anti-Bribery & Corruption Policy

LSB staff shall not have obligations, kinship or other special interests with customers, auditee and/or stakeholders.



LSB staff shall not accept accommodation from any party directly or indirectly related to a social compliance / inspection service. All accommodation shall be arranged and paid by LSB staff.

Introduction and explanation wording

- Polite.
- Simple.
- Clear.
- Logical.
- Be objective.
- Avoid commenting on the impact or influence of the audit result or non-conformance issues.
- Avoid talking other factories' situations.
- Avoid talking non-audit related topics.

Purpose

This procedure is designed to help and encourage all employees to achieve and maintain standards of conduct, attendance and job performance. The Company Code of Conduct (a copy of which is displayed in the office) and this procedure apply to all employees. The aim is to ensure consistent and fair treatment for all in the organization.

Scope

Disciplinary Procedure will be used only when necessary and as a last resort. Where possible, informal and/or formal counseling or other good management practice will be used to resolve matters prior to any disciplinary action being taken. The procedure is intended to be positive rather than punitive but takes cognizance of the fact that sanctions may have to be applied in some circumstances.

You shall carry out the instructions given to you by your management and superiors, in connection with the business of the company diligently and faithfully.

We believe in our employees and we appreciate their loyalty and commitment towards their work and organization, every employee in **LOCK, STOCK & BARREL** can look forward to a professional working environment, with a clear focus on performance.

We wish you all the best and looking forward to a long mutually-rewarding relationship.

With Warm Regards,

LOCK, STOCK & BARREL