

Version 2.0,2018

Please kindly prepare below original document for Auditor's review.					
No.	Docuemnts and Records	Checking			
Factory Profile		YES	NO	NA	Notes
1	Factory profile/Employee No.& structure/Production capability/(Brands)Marketing				
2	Organization chart				
3	Factory Layout				
4	Business License				
5	Applicable laws and regulations on OHS, Labour, Environmental Protection				
HR and CSR		YES	NO	NA	Notes
1	Facility policies: <ul style="list-style-type: none"> • Business Integrity • Child labour • Forced labour • Freedom of association • Wage and hours of work • Disciplinary • Benefits and allowances • Health & Safety • Environment • Training • Discrimination and harassment • Homeworkers and Sub-contractors 				
2	Employee manual/handbook, Factory rules & regulations/Disciplinary practices policy and Records				
3	Dormitory regulations				
4	Recruitment policies & procedures				
5	Employees' personal files/ Employment registration/roster (all employees)				
6	Labor contracts (all employees)				
7	Young worker health examination & occupational health examination records,(if applicable)				
8	List of young workers/registration approval from local labor bureau/regulations on shift arrangement for them				
9	Leave records				
10	Resignation records				
11	Awards & Penalty Records/Warning notification letters				

12	Meeting minutes of union/Selection program and Responsibility of workers' Rep./Complaint & handling record				
13	Meeting minutes of union/Selection program & responsibility of workers' Rep./collective bargaining agreements(CBA)				
14	Social accountability policy/ Management system/ periodic internal audit records				
15	Documents proved workers' legal right to work including immingrant & migrants & employment agency staff, if applicable				
16	Business license of Labor Dispatch Company, contract signed with Labor Dispatch Company, dispatched workers' personal file, ID copies, payroll and attendance records, labor contracts, social insurance payment evidence, etc.				
17	If applicable, subcontracted service like cleaning,canteen,security guards,loading and unloading,please provide business license of contractor,the agreement signed between contractor and the audited factory,the contractor staff's personal file,ID copies,payroll records,attendance records,etc.				
18	Sub-contractors list/monitoring records on sub-contractors' social responsibilities performance				
19	If applicable, homeworkers' namelist/ monitoring records on homeworkers proved to be compliant with social responsibilities,if applicable				
20	If the facility was rent, please provide related lease contract				
21	Training records(i.e fire safety training, chemical handling and storage traing, etc)				
22	Previous ethical trade audit reports/Corrective Action Logs				
Working hours and wage benefits		YES	NO	NA	Notes
1	Wage and hours of work policies				
2	Time cards/attendant records(Last 12 months attendance records corresponded with payroll records + the attendance records till the audit day)				
3	Leave records(Paid annual leave/Maternity leave/Marriage& Funeral leave)				
4	Consolidated working hours permit by local labor bureau/Extended Overtime Hours Waiver,if applicable				
5	Legal/ Local official minimum wage document				
6	Last 12 months' payroll records with employees' signatures				
7	Production records of piece rate workers/Piece rate records				
8	Production operation records for last 12 months and the other related records (i.e Daily production records, daily QC report, warehouse material in/out records, etc)				

9	Wage deduction/Penalty records				
10	Social security insurance(injury/retirement/medical/unemployment etc.) payment receipts/ invoice/Approval from local government/Registration certificate/personnel list				
Health and Safety		YES	NO	NA	Notes
1	Health & safety policy/Regulations and rules				
2	Certificate of Inspection for Completed Building Construction/Registration Records				
3	Fire-Fighting Acceptance Inspection Certificate/Report				
4	Safety officer certificate				
5	O-chart of safety committee, safety procedures, emergency preparedness				
6	Minutes of joint committees on OHS and disciplinary matters				
7	Security guard regulation & job description/security guard certificate				
8	Fire drill program & records and fire evacuation plan & procedure(including pictures)				
9	Sanitation Permit for Kitchen/ Health Certificate of kitchen employee				
10	Trained first aider certificate/Qualified certificate of doctor or nurse				
11	Accident,injury reports & records/Precaution Measures on Reoccurrence				
12	Register and annual inspection certificate for Specialized Equipment (e.g elevator & lift & pressure vessels & boilers)				
13	Specialized safety training certificate(Valid safety operation certificate of Lift/Forklift vehicle/Qualified Electrician/ Electric welding operator certificate/Operator certificate of boiler)				
14	List of chemical/Approval certificate of chemical warehouse/register & storage record				
15	Chemical leak program & records and evacuation plan & procedure(including pictures)				
16	Chemical Safety Precaution Measures/MSDS (material safety data sheet) of dangerous chemicals				
17	Qualified certificate for the keeper of dangerous chemicals warehouse				
18	The hazadous elements (air quality and noise etc.)evaluation report for Workplace				
19	Employees'occupational health examination reports/certificates				
20	Sharp tools control procedure and records)				
21	Other documents if in need				

Environment		YES	NO	NA	Notes
1	Environment impact evaluation report/form/registration form and approval, Pollutant discharging permit, monitoring report, Radiation equipment (if any) environment impact evaluation report and acceptance check and permit, etc.				
2	Dangerous chemical waste handling contract/transport records				
3	Environmental System Policy/Procedure				
4	Water consumption records (4 Pillar only)				
5	Electricity consumption records (4 Pillar only)				
Business Ethics (Only applicable for 4 pillar audit)		YES	NO	NA	Notes
1	Business ethics (anti-corruption, anti-bribery, anti improper competition, etc) Policy/Procedure				
2	Business Ethics Training Records/Investigation Reports				
Client Specific Required Documents		YES	NO	NA	Notes
Audit Notes					