

Version 2.0,2018 (2018年2.0版)

请提前准备以下文件的正本予以现场核查 / Please kindly prepare below original document for Auditor's review.					
No.	Docuemnts and Records 文件与记录	Checking 查核			
工厂概况 /Factory Profile		YES	NO	NA	Notes
1	公司概括简介-人员/产量/产值/(品牌)市场分布 Factory profile/Employee No.& structure/Production capability/(Brands)Marketing				
2	公司组织架构图 Organization chart				
3	厂区/厂房平面图 Factory Layout				
4	营业执照 Business License				
5	适用劳动、职业健康与安全、环保法律及法规清单 Applicable laws and regulations on OHS, Labour, Environmental Protection				
人事行政及CSR /HR and CSR		YES	NO	NA	Notes
1	公司政策Facility policies: <ul style="list-style-type: none"> • 商业诚信Business Integrity • 童工Child labour • 强迫劳动Forced labour • 工会和自由结社Freedom of association • 工资和工时Wage and hours of work • 惩戒Disciplinary • 福利Benefits and allowances • 健康和卫生Health & Safety • 环保Environment • 培训Training • 歧视和骚扰Discrimination and harassment • 家庭工以及分包商Homeworkers and Sub-contractors 				
2	员工手册/厂纪厂规及处罚记录 Employee manual/handbook, Factory rules & regulations/Disciplinary practices policy and Records				
3	宿舍规章制度 Dormitory regulations				
4	招工指引/程序 Recruitment policies & procedures				
5	人事记录/员工入厂登记/花名册(所有员工) Employees' personal files/ Employment registration/roster (all employees)				
6	劳动合同(所有员工) Labor contracts (all employees)				
7	未成年工人体检 & 职业健康体检 Young worker health examination & occupational health examination records,(if applicable)				
8	未成年工名单/登记证/工作安排规定 List of young workers/registration approval from local labor bureau/regulations on shift arrangement for them				
9	请假单 Leave records				
10	离职记录 Resignation records				
11	奖惩记录/警告信 Awards & Penalty Records/Warning notification letters				

12	工会组织会议记录/工会代表选举程序及其职责/工人投诉处理程序及记录 Meeting minutes of union/Selection program and Responsibility of workers' Rep./Complaint & handling record				
13	工会组织会议记录/工会代表选举程序及其职责/劳资双方就工资福利问题与工厂的谈判协议 Meeting minutes of union/Selection program & responsibility of workers' Rep./collective bargaining agreements(CBA)				
14	社会责任政策文件/管理程序/内审报告 Social accountability policy/ Management system/ periodic internal audit records				
15	对外来工/人事代理机构用工的相关监控文件 (如有) Documents proved workers' legal right to work including immingrant & migrants & employment agency staff, if applicable				
16	劳务派遣单位的营业执照,劳务派遣协议,劳务派遣工名单及人事档案,身份证复印件,工资,考勤记录,劳动合同,社保缴费凭证等。 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	如有清洁、餐厅、保安、装卸等服务外包,提供承包商的营业执照和与承包协议,承包方工人的人事档案,身份证复印件以及工资,工时记录等。 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	分包商清单/对分包商社会责任的监控记录 Sub-contractors list/monitoring records on sub-contractors' social responsibilities performance				
19	(如有)家庭工名单/对家庭工社会责任的监控记录 If applicable, homeworkers' namelist/ monitoring records on homeworkers proved to be compliant with social responsibilities,if applicable				
20	如租赁厂房、宿舍、仓库,请提供租赁合同 If the facility was rent, please provide related lease contract				
21	培训记录,如消防安全培训记录,化学品使用和存储的培训等 Training records(i.e fire safety training, chemical handling and storage traing, etc)				
22	以前的社会责任审核报告/改善行动记录 Previous ethical trade audit reports/Corrective Action Logs				
工时工资福利 /Working hours and wage benefits		YES	NO	NA	Notes
1	工资工时政策 Wage and hours of work policies				
2	工作时间记录(与工资相对应的最近12个月+截止到审核当天的考勤) Time cards/attendant records(Last 12 months attendance records corresponded with payroll records + the attendance records till the audit day)				
3	休假记录(有薪年假/女工产假/婚丧假) Leave records(Paid annual leave/Maternity leave/Marriage& Funeral leave)				
4	综合计时批文/加班批文(如有) Consolidated working hours permit by local labor bureau/Extended Overtime Hours Waiver,if applicable				
5	当地政府最低工资文件 Legal/ Local official minimum wage document				
6	最近12个月的工资表(含工人签名) Last 12 months' payroll records with employees' signatures				
7	记件工生产(台班)记录/计件工资表 Production records of piece rate workers/Piece rate records				
8	最近一年生产记录及其它相关记录(如:生产日报表,品管日报表,仓库收发料记录等) 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	工资扣除/罚款记录 Wage deduction/Penalty records				
10	社会保险缴付凭证和参保符合性批文/社保登记证/社保购买花名册(请出示社保缴费基数及缴费比例) Social security insurance(injury/retirement/medical/unemployment etc.) payment receipts/invoice/Approval from local government/Registration certificate/personnel list				
健康安全卫生 /Health and Safety		YES	NO	NA	Notes
1	公司的健康安全政策/规章制度 Health & safety policy/Regulations and rules				
2	房屋建筑工程竣工验收报告/备案表 Certificate of Inspection for Completed Building Construction/Registration Records				
3	厂房消防验收合格证/报告 Fire-Fighting Acceptance Inspection Certificate/Report				
4	安全主任资格证(任命书/培训结业证书) Safety officer certificate				
5	安全委员会架构图,工厂安全制度,紧急事故处置预案 O-chart of safety committee, safety procedures, emergency preparedness				
6	安全委员会开会记录和章程 Minutes of joint committees on OHS and disciplinary matters				
7	保安守则/保安上岗证 Security guard regulation & job description/security guard certificate				
8	消防应急预案/程序,消防演习记录(含照片) Fire drill program & records and fire evacuation plan & procedure(including pictures)				
9	食堂餐饮服务许可证/食堂员工健康证 Sanitation Permit for Kitchen/ Health Certificate of kitchen employee				
10	急救人员资格证书/医护人员执业资格证书 Trained first aider certificate/Qualified certificate of doctor or nurse				
11	工伤医疗事故处理记录/再发生防范措施 Accident,injury reports & records/Precaution Measures on Reoccurrence				
12	特种作业设备:使用登记证/验收/年检合格证(如:升降起重设备、电动葫芦/电动叉车/锅炉/压力容器等) Register and annual inspection certificate for Specialized Equipment (e.g elevator & lift & pressure vessels & boilers)				
13	特种作业人员(叉车/电工/电焊工/司炉工等)资格(操作)证书 Specialized safety training certificate(Valid safety operation certificate of Lift/Forklift vehicle/Qualified Electrician/ Electric welding operator certificate/Operator certificate of boiler)				
14	化学品清单/化学危险品仓许可/(储存物控记录) List of chemical/Approval certificate of chemical warehouse/register & storage record				
15	化学品泄漏的应变程序及化学品泄漏的演习(含照片) Chemical leak program & records and evacuation plan & procedure(including pictures)				
16	安全防范应急措施/物料安全数据表 Chemical Safety Precaution Measures/MSDS (material safety data sheet) of dangerous chemicals				
17	化学危险品仓管员上岗培训证书 Qualified certificate for the keeper of dangerous chemicals warehouse				
18	工作场所职业危害因素(空气质量/噪声等)评价报告 The hazadous elements (air quality and noise etc.)evaluation report for Workplace				
19	危险岗位员工职业健康检查报告 (Employees'occupational health examination reports/certificates)				
20	刀具管控规定及记录 (Sharp tools control procedure and records)				
21	Other documents if in need 其它文件 (如必要)				

