

Please kindly prepare below original document for Verifier's review.

请提前准备好以下文件的正本,以供现场核查。

No	Documents and Records (If applicable) 文件与记录(如适用)	Checked Results /检查结果			
		YES	NO	NA	Note
Factory Profile 公司基本资料					
1	Company Profile 公司简介				
2	Business Registration License 营业执照				
3	Tax Registration 税务登记				
4	Organization Chart 组织架构图				
5	Land Use/Construction Permit 土地使用证/建筑许可证				
6	List of Machineries 机器设备清单				
7	Company Vehicle List 公司车辆清单				
8	Production Process Flow Chart 生产流程图				
9	List of Suppliers/Subcontractors if any 供应商/分包商清单(若适用)				
10	Dormitory Details 宿舍具体信息				
11	List of Fire-fighting Equipment 消防设施清单				
12	Any Certificates by any other independent organization like SA8000, ICTI etc. 独立机构颁发的证书:例如 SA8000,ICTI 等				
13	Building approval plan (architectural & structural) from concern Govt. authority; Approved building construction lay out from engineering authority if applicable 建设工程规划许可证(如适用)				
14	Building Layout Approval from Fire Service & Fire Occupancy Certificate 建筑消防设计批复/验收报告				
15	Employee name list 员工名册				
16	Applicable laws and regulations on OHS, Labour, Environmental Protection 适用劳动、职业健康与安全、环保法律及法规清单				
17	Factory Layout 厂区/厂房平面图				
18	If the facility was rent, please provide related lease contract 如租赁厂房、宿舍、仓库, 请提供租赁合同				
Recruitment / Hiring & Termination 招聘/雇佣/终止					
1	Recruitment policies and procedures & Age verification process 招聘政策和程序/年龄识别程序				
2	Child Labor Remediation Procedure 童工补救措施				
3	Security Service Contract 安保合同				
4	Training Records other than Health & Safety 除健康安全外的其它人事培训记录				
5	Work Permits (internal /external) 工作许可证(内部/外部)				
6	Employment Contracts 劳动合同				
7	Job announcement/description, job application form if applicable 工作岗位简介,职位申请表(若适用)				
8	Labor broker contract & dispatching worker personal records/contract 劳务合同、派遣员工人事记录/合同				
9	Apprenticeship program (if applicable) 学徒培训(若适用)				
10	Foreign Migrant Workers (working permit /visa, passport, contract, personal records)				

	外籍员工的工作许可证/签证,护照,合同,及人事档案(若适用)				
11	Adolescent/Young Workers (Registration/Approval letter from local labor bureau, health checking record, regulations on shift arrangements) 未成年工(注册/劳动局批准函/体检记录/工作安排规定)				
12	Termination policy and procedure, training records 合同终止政策和程序,培训记录				
13	Employee resign records 雇员离职记录				
14	Documents proved workers' legal right to work including foreign migrant & domestic migrants & employment agency staff, if applicable 对外籍劳工/外来工/人事代理机构用工的相关监控文件 (如有)				
15	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. 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。				
16	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. 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。				
17	If applicable, homeworkers' name list/ monitoring records on homeworkers proved to be compliant with social responsibilities, if applicable (如有)家庭工名单/对家庭工社会责任的监控记录				
Working Hours 工作时间		YES	NO	NA	Note
1	Time in/out records (Working hour & overtime hour records), Time cards/attendant records (Last 12 months attendance records corresponded with payroll records + the attendance records till the audit/verification day) 上下班工时记录(正常工作小时+加班小时记录), 工作时间记录(与工资相对应的最近 12 个月+截止到当天的考勤)				
2	Production operation records (Cutting, stitching, quality etc.) for last 12 months and the other related records (i.e Daily production records, daily QC report, warehouse material in/out records, etc) 最近 12 个月生产记录(切割, 缝合, 质量等记录)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)				
3	Extended Overtime waiver if any 加班批文(若适用)				
4	Consolidated working hours permit by local labor bureau if applicable 综合计时批文 (如有)				
5	Working hours policy including voluntary overtime policy 工时政策包含自愿加班政策				
6	Overtime approval process/procedure and OT request records if applicable 加班审批流程/手续,加班申请记录(若适用)				
7	Production records of piece rate workers/Piece rate records 计件工生产(台班)记录/价目表				

Wages & Benefits 工资&福利		YES	NO	NA	Note
1	Local Minimum Wage Notification 当地最低工资标准文件				
2	Last 12 months' Payroll (Wage records) with employees' signatures 最近 12 个月的工资表 (含工人签名)				
3	Full & Final Settlement 工资发放记录及离职员薪资结算记录				
4	Leave Records (Paid Annual Leave/Maternity Leave/Paternity Leave/Marriage& Funeral Leave/Sick Leave, any paid leave payment record) 休假记录(有薪年假/女工产假/陪产假/婚丧假/病假/其他带薪假期记录)				
5	Bonus records 奖金记录				
6	EOBI (Employees Old Age Benefit) records 雇员高龄津贴(若适用)				
7	Social security records & commercial insurance records 社会保险记录或商业保险记录				
8	Receipts showing tax payments / Social security remittances to appropriate public agencies/Social security insurance receipts (injury/retirement/medical/unemployment etc.) / invoice/Approval from local government/Registration certificate/personnel list 支付给政府机构的纳税/社保汇款的收据/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)				
9	Evidence of granting maternity/paternity leave and subsequent return to work. 产假/陪产假记录,返回工作岗位的证明				
10	Piece rate wages sheet if applicable 计件工资清单(若适用)				
11	Bank transferring records (for wages if applicable) 银行转账记录(针对工资部分,若适用)				
12	Wage deduction/Penalty records 工资扣除/罚款记录				
13	Wage and Benefits policies 工资及福利政策				
14	List of in-kinds Benefits 实物福利清单				
Employee Treatment & Involvement, FoA, CBA 员工待遇/员工参与/自由结社/集体谈判		YES	NO	NA	Note
1	Records from disciplinary procedures 纪律处分程序的记录				
2	Meeting notes from any type of worker/management committee. 任何形式的员工组织管理委员会的会议记录				
3	Meeting minutes of Trade Union/Selection program and Responsibility of workers' Rep./ collective bargaining agreements (CBA) 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				
4	Grievance register / Grievance mechanism (procedure, intake channel, investigation/ solution/ feedback records) 申诉登记/申诉机制(流程,受理渠道,调查/解决方案/反馈记录)				
5	Org Chart of Trade union, worker/management committee 工会, 工人/管理委员会组织结构图				
6	Written policies regarding anti-harassment, physical/sexual/emotional abuse and no n-discrimination, no forced labor. 反骚扰,反体罚/性骚扰/精神虐待,反歧视,反强迫用工书面政策				
7	Freedom of association procedure 自由结社程序				

Health & Safety, Environment 健康/安全/环保		YES	NO	NA	Note
1	Building plan approval / Permit 建筑设计核准/许可证				
2	Fire NOC 建筑消防验收报告/备案				
3	Genset installation approval 发动机组安装审批				
4	Building Stability Certificate 建筑结构稳定性证书				
5	Appointment of Labor Welfare / Safety Officer 劳工福利/安全管理员任命书				
6	Drinking Water Potability test 饮用水测试报告				
7	Boiler License 锅炉证				
8	Lift License / Inspection certificate 升降机许可证/检验证				
9	Boiler Operator and Electrician Certificate 锅炉操作工证和电工证				
10	Noise and Illumination level test Certificate 噪音和照明度测试报告				
11	Sanitation Certificate 卫生许可证				
12	Health Certificate for Workers 员工健康证				
13	Doctor / Nurse Appointment Letter 医生/护士任命证书				
14	First Aid Training Certificate/Trained first aider certificate/Qualified certificate of doctor or nurse 急救培训证书急救人员资格证书/医护人员执业资格证书				
15	Fire Fighting Training Certificate 消防培训证书				
16	Fire Mock drill training records 消防演习培训记录				
17	Industrial accident records/Accident, injury reports & records/Precaution Measures on Reoccurrence 工伤事故记录/工伤医疗事故处理记录/再发生防范措施				
18	Pollution Control board – Consent order 污染控制管理委员会-同意书				
19	Waste disposal records / Procedures 废水处理记录/流程				
20	Personal Protective Equipment (PPE) training records 个人防护用品培训记录				
21	Chemical safety training records 化学品安全培训记录				
22	List of chemicals used (Hazardous / Non-hazardous) 化学品使用清单(危险品/非危险品)				
23	Material Safety Data Sheets (MSDS) records 物料安全数据表记录				
24	Maintenance records of eye wash station 洗眼器维护记录				
25	Machines maintenance/service records 机器保养/维修记录				
26	Lock Out/Tag Out survey report, LOTO training records 上锁与挂牌的评估报告及培训记录				
27	Water Extraction Permit, if applicable 地下水取水许可证 (若适用)				
28	Permit for onsite waste disposal 废弃物处理许可证				
29	License issued by government authority to hazardous waste collector 政府颁发的危废收处理许可证				
30	Contract agreement with licensed contractor for hazardous waste collection 与具有危废处理资质机构签订的合同协议				
31	Hazardous Waste Transfer Contract/ License of Hazardous Waste Handler/License of Hazardous Waste Transporter/Hazardous Waste Manifest, if applicable 危废转移合同/危废处理执照/危废运输执照/危废清单(若适用)				
32	Waste inventory and tracking records 废弃物清单以及处理转移记录				

33	Wastewater monitoring records 废水监测记录				
34	Flow Chart (indicating all key processes) 污水处理流程图(标识所有关键流程)				
35	Drainage layout 排水管网图				
36	Waste treatment equipment's maintenance records 废物处理设备的维修记录				
37	Wastewater Treatment Plant operator certificate if applicable 废水处理站操作员工作证(若适用)				
38	Approval of waste treatment system i.e. IEE (Initial Environmental Examination) / E IA (Environmental Impact Assessment) 环保设施许可文件, 例如:环境竣工验收/环境影响评估				
39	Environmental Impact Assessment Reports and Approval / Environmental Protection Acceptance Report / Pollutant Discharge Permit if applicable 环境影响评估报告和批复/环境保护验收报告/排污许可证(若适用)				
40	Air emissions control equipment's maintenance records 废气排放处理设施维护记录				
41	Ozone Depleting Substances (ODS) inventory and maintenance records 臭氧层消耗物质清单以及维护记录				
42	Fuel consumption record for factory's transportation 企业交通工具燃料使用记录				
43	Green House Gases (GHG) emissions inventory 温室气体排放清单				
44	Emergency response plan including relevant training and drills records Fire drill program & records and fire evacuation plan & procedure (including pictures) 应急响应计划,包括培训和演习记录,消防应急预案/程序,消防演习 (含照片)				
45	Risk Assessment (procedure & records) 风险评估(程序&记录)				
46	Banned Chemicals List if any 禁用化学品清单(若适用)				
47	Vehicle operator licenses for any/all types of motorized vehicles 车辆操作员许可证/适用于所有机动车辆				
48	Meeting notes from recent health and safety committee meetings 最近的健康安全委员会会议记录				
49	Air receiver is fit to operate certificate 储气罐适用证书				
50	Steam receiver is fit to operate certificate 蒸汽储气罐适用证书				
51	Food test reports 食品测试报告				
52	Accident records / accident analysis records 事故记录/事故分析记录				
53	Electrical safety test report 电器安全测试报告				
54	Thermographic survey report 温度监测报告				
55	VOC test reports /Air emission monitoring report if applicable 有机挥发物检测报告/空气排放监测报告(若适用)				
56	Cooling tower water reports / legionella reports 冷却塔水质监测报告/军团病杆菌检测报告				
57	Inspection reports (fire hydrant system, sprinkler, detection system, extinguisher, firefighting equipment, emergency lamps) 检测报告(消防栓系统,喷淋,探测系统,灭火器,消防设备,应急灯具)				
58	PPE suitability assessment, PPE selection criteria, PPE list, PPE inspection				

	records 个人防护用品适用性评估,选择标准,清单,检查记录				
59	Confined space list, confined space entry procedure 密闭空间清单, 密闭空间进入程序				
60	PCB survey, PCB training records PCB 多氯联二苯评估及 PCB 培训记录				
61	Asbestos Assessment Report, Training records 石棉评估报告及培训记录				
62	Food supplier's medical reports 食品供应商健康体检报告				
63	PHI report for the canteen 餐厅的 PHI(过氧化氢干雾空间灭菌)报告(若适用)				
64	Canteen License 餐饮经营许可证				
65	Hot Work operation procedure 热处理工操作程序				
66	Compressed gas cylinder operation procedure 压缩气瓶操作流程				
67	Work permits for special & dangerous operations – forklift driver, lift operator, Electrician and Welder, boiler operator 特殊工种&危险作业工作许可证/资格(操作)证书: 例如叉车司机,升降机操作员,电工,焊接工,锅炉操作工,司炉工				
68	Register and annual inspection certificate for Specialized Equipment (e.g elevators & lift & pressure vessels & boilers) 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)				
69	The hazardous elements (air quality and noise etc.) evaluation report for Workplace 工作场所职业危害因素(空气质量/噪声等)评价报告				
70	Employees' occupational health examination reports/certificates 有毒有害岗位员工职业健康检查报告				
	Childcare Center 托儿所/幼儿园	YES	NO	NA	Note
71	Permit for the Pre-School Education 学前教育机构办学许可证				
72	Teacher Certificate for Pre-School Education 幼儿教师证				
73	Physical Body Check Report for all Staff 全体职员从业健康证				
74	Medical Service Permit for Clinic (卫生室/保健室)医疗机构执业许可证				
75	Certificate for Nurse / Doctor 护士/医生执业证				
76	Kids Release Permission Card 家长接送卡				
77	Vaccination Certificate for Kids 幼儿免疫接种记录				
78	Physical Body Check for Kids Entrance 幼儿入园健康检查				
79	Hygiene Evaluation Report for Childcare Center 幼儿园卫生评价报告				
80	Food Safety Permit for Canteen 幼儿园食堂卫生许可证				
81	Health Certificate for Canteen Staff 食堂从业人员健康证				
82	Fire Safety Inspection Certificate 消防验收意见书				
83	Structure Safety Inspection Certificate 建筑结构验收意见				
84	Fire Evacuation Drills Plan &Records 幼儿园消防演习方案及消防演习				
85	Portable Water Test Report 饮用水检测报告				
	Management Systems 管理体系	YES	NO	NA	Note
1	Social & Labor Policies and Procedures (including goal/strategy/performance,				

	responsible persons (roles & responsibility, CSR team org chart) 社会责任&劳工政策和程序(包括目标/战略/绩效),负责人(职责与权), 企业社会责任组织架构图				
2	Factory rules and regulations / Employee handbook 企业规章制度/员工手册				
3	EHS policy & procedure 健康安全环境政策及流程				
4	Communication and training records for employees, suppliers, subcontractors. 员工,供应商,分包商培训交流记录				
5	Internal audit records and CAP improvement plan 内审记录和 CAP 改进计划				
6	O-chart of safety committee, safety procedures, emergency preparedness 安全委员会架构图,工厂安全制度,紧急事故处置预案				
7	Monitoring records on sub-contractors' social responsibilities performance 分包商社会责任监控记录				
8	Security guard regulation & job description/security guard certificate 保安守则/保安上岗证				
9	Management Review Records 管理评审记录				
10	Previous ethical trade audit reports/Corrective Action Logs 以前的社会责任审核报告/改善行动记录				
Business Ethics 商业道德 (Only applicable for 4 pillar SMETA audit) (仅适用于 4 Pillar 审核)		YES	NO	NA	Note
1	Business ethics (anti-corruption, anti-bribery, anti-improper competition, etc) Policy/Procedure 商业道德(反腐败,反贿赂,反不正当竞争等)书面方针/程序				
2	Business Ethics Training Records/Investigation Reports 商业道德培训/调查报告				
环境保护 Environment (Only for SMETA audit) (仅适用于 SMETA 审核)		YES	NO	NA	Note
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. 环境影响评估报告书/报告表/登记表以及批复, 排污许可证、监测报告、辐射设备(如有)的环评、验收及安全许可证等				
2	Dangerous chemical waste handling contract/transport records 危险废弃物处理合同/转移记录				
3	Environmental System Policy/Procedure 环境保护方面的系统文件及程序				
4	Water consumption records (SMETA 4-Pillar only) 工业用水数据				
5	Electricity consumption records (SMETA 4-Pillar only) 工业用电数据				
6	Waste water disposal records (SMETA 4-Pillar only) 废水排放数据				