

AUDIT DOCUMENT LIST

The following is a list of the documents that the auditor will need to review on the day of the audit. It would be helpful if you would consider this list carefully, and prepare any documents, as this will greatly facilitate the smooth running of the audit.

The list has been laid out with headings corresponding broadly to the ETI base code, to help clarify the relevance of the documents to the audit.

Note: while we will need to review the documents above we do not require hard copies, (although we may request photocopies or print-outs of specific documents on the day).

0A. UNIVERSAL RIGHTS

Policy on Human Rights

0B. MANAGEMENT SYSTEM AND CODE IMPLEMENTATION

SAQ Complete

Sedex Membership

Policy on Ethical Trade and Corporate Social Responsibility

1. EMPLOYMENT IS FREELY CHOSEN

Sample contracts

Recruitment policies and procedures

Job application forms

2. FREEDOM OF ASSOCIATION & THE RIGHT TO COLLECTIVE BARGAINING ARE RESPECTED

Names of Trade Unions recognised on site, and copy of the union agreement

Details of any Collective Bargaining Agreements

Minutes from recent Union meetings

If there is no recognised trade union; any documentation regarding any consultative committees and minutes of meetings

3. WORKING CONDITIONS ARE SAFE AND HYGIENIC

Health and safety policy and manual

Health and safety management system

Examples of risk assessments, including young workers and pregnant workers

Systems to prevent repetitive strain injury (upper limb disorder), if relevant

Fire; fire prevention procedures, record of fire alarm checks and drill

Training records

Accident and injury reporting system, accident log, resulting actions

Minutes from health and safety meetings

Internal safety audit reports

External health and safety assessment reports

Induction training and sign-off sheet

Records on controlling chemicals

Accommodation checklists if applicable

4. CHILD LABOUR SHALL NOT BE USED

Personnel files and HR database

System to verify date of birth

Young workers risk assessments and procedures

5. LIVING WAGES ARE PAID

Access to payroll system, facility to print of samples of payslips from within the last year
Job type and wage grades
How overtime is calculated and list of overtime rates
Sample payslips will be requested on the day of the audit for specific employees and periods.

6. WORKING HOURS ARE NOT EXCESSIVE

Access to Time & Attendance system, facility to print detailed clock-ins for any worker within the last year
Any monitoring for the working time directive; periodical 'average weekly hours' reports

7. NO DISCRIMINATION IS PRACTISED

Equal Opportunities policy, evidence of integration into procedures (e.g. recruitment policy/procedures)
Pay grades and rates of pay
Advertisements for job openings

8. & 8A REGULAR EMPLOYMENT IS PROVIDED/SUB-CONTRACTING AND HOMEWORKERS

Sample contracts for specific employees will be requested on the day
Job descriptions
Temp to Perm policy and procedure

Responsible Recruitment

Agency Workers

- Contracts or Service Level Agreements with agencies
Sample agency invoice
- Sample of Terms of Engagement/Contract for Services of agency workers
Sample ID and Right to Work documents for agency workers
- Agency audits
- Agency worker induction
- 'Temp to Perm' policy and procedures
- Time and attendance records for agency workers
Sample payslips for agency employees

Where applicable, records of any home workers and/or sub-contractors, and documents pertaining to these

9. NO HARSH OR INHUMANE TREATMENT IS ALLOWED

Employee Handbook
Policies and procedures for; discipline and grievance, anti-harassment and bullying or 'dignity at work'
'whistle blowing' procedures

10A. ENTITLEMENT TO WORK & IMMIGRATION

Procedure and policy regarding Right to Work Checks
Sample ID and Right to Work documents for employees

10B. ENVIRONMENT

Environmental policy and procedures
Environmental management system
Waste disposal records
Energy use monitoring

10C. BUSINESS ETHICS

4-Pillar Only
Business Ethics Policy
Anti Bribery and Corruption Policy
Whistle Blowing Policy

COMMUNITY BENEFITS

Social events for work force
Any examples of social or community-based projects, fund-raising and charitable events or donations