

## **Costco Factory Audit Document List (Checklist)**

The following documents should be prepared in advance of the auditor's arrival at the factory to ensure that the audit is conducted efficiently and smoothly. In addition, in order to further understand the factory situation during the audit process, additional documents are also available upon request.

Factory documents and policies

- ☐ Business license and other government requirements for license, permit, etc.
- ☐ In-house policies and measures
- ☐ Employee handbook includes wage hours policy, anti-discrimination, anti-harassment, employee/management complaints, free association ☐ social security receipts, tax documents and other welfare allowance documents
- ☐ Subcontractor's name and address
- Labor and management agreement and other union documents, such as meeting minutes ☐ Employee compensation insurance receipt (only for the United States)

Employee file

- ☐ Wage working hours record: The salary record of the most recent year is available for reference. The salary record must include the regular salary and overtime pay as well as the various deductions. Working hours records must reflect the current month. Workers go to work every day to punch time, including all regular and overtime hours.
- ☐ Production record form, piece count record
- ☐ Government-provided neutralization timing approval, extension of approval or postponement of payment approval, employee welfare certificate, such as paid leave, production inspection, etc.
- ☐ Labor contract (if required by local law)
- ☐ Employees File, including employment application form, employment record, punishment record, etc. All employees' age documents, including copy of ID card, etc.
- ☐ Employees I-9 Form (US only)

Health and Safety

- ☐ Factory floor plan or plane escape map
- ☐ Safety and health manual and written safety and health outline
- ☐ Emergency plan
- ☐ Accident investigation form
- ☐ Safety and Health Committee records (schedule, meeting minutes, activity

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records)

Staff training records (employee signature records, schedules, training arrangements)

☐ Inspection records (fire extinguishers, first aid kits, eye wash stations, emergency lights, alarm systems, machine equipment services, etc.)

☐ Safety production record sheet (chemical, noise, temperature, ventilation test)

☐ Post risk assessment

Chemical storage and material safety data sheet

☐ Personal protective equipment list

Environmental protection

☐ Environmental permit and record (exhaust permit, sewage permit, etc.)

☐ Drinking water test report

☐ Waste disposal documents / test results / waste analysis report

☐ Hazardous substance discharge permit or transshipment record

Supply chain security:

☐ Counter-terrorism policies and procedures, including access control, personal safety, shipment safety and information technology security

☐ Staff training records

☐ Visitor registration form and employee identification procedures (eg employee wearing a label)

☐ Vehicle entry and exit registration check record

☐ Bill of lading and seal tracking

☐ Background investigation policy and investigation records

Review the relevant shipping documents to confirm the origin

\* If you hire temporary workers, seasonal workers, contractors, and auditors through a manpower dispatch company, some of the workers will be selected to participate in employee visits and related document records. The scope of the audit includes production personnel and support production personnel (such as maintenance workers, cleaners, warehouse workers/factory shippers, security/security personnel, kitchen workers, etc.). Please communicate this request to the manpower dispatch company prior to review.