
WCA Audit Document Checklist-Business Practice

(Issue No.: 05; Issue Date: 25 Nov 2014)

Please prepare the ORIGINAL documentation listed below for verification and sample photocopying.

All the following documents, unless the context of the document otherwise requires, the singular includes the plural and vice versa.

1. Payroll records (Recent 12 months)
 - (1) Payroll register with employee signature (if wages paid in cash)
 - (2) Bank statement corresponding to payroll register (if wages paid by bank deposit)
2. Time card/ Attendance records (Recent 12 months)
3. Production records (tickets/ sheet) (Recent 12 months) (if applicable)
4. Personnel records
5. Young worker registration and health examination (if applicable)
6. Employment/ Labor contracts
7. Agency workers agreement (if any)
8. Foreign employees work permits and approval letter from government (if applicable)
9. Collective bargaining agreements (if any)
10. Employees social Insurance receipt, names list and certificate of social insurance
11. Business Registration/ License
12. Fire safety inspection / certificates and building / construction permits for facility / dormitory buildings
13. Fire drill records
14. Facility regulation or employee handbook, in regard to the following areas:

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- (1) Recruitment policy
 - (2) Disciplinary procedure
 - 15. Local minimum wage standard (if any) and/ or Government Labor Law notice (if any)
 - 16. Special appliance certificates such as certificate for elevator, boiler
 - 17. Permits for special appliance operations such as lift operator, electrician, and boiler
 - 18. Canteen or eating facilities hygiene certificate, cook/ kitchen staff health certificates
 - 19. Facility building layout/ evacuation plan
 - 20. Special waivers from local government regarding working hours arrangement (if applicable)
 - 21. Health & Safety program and training records
 - 22. Work-related accidents/ injury records
 - 23. Environmental certificates (if applicable)
 - 24. Any written policy or process that governs company and employee business practices. e.g. business integrity & anti-corruption, fair competition (optional if Business Practice module is applicable in the assessment) and data