



WORKPLACE
CONDITIONS
ASSESSMENT

WCA Audit Document Checklist-Business Practice (Eng & Chi)

WCA-D02 (Issue No.: 04; Issue Date: 10 Feb 2014)

Please prepare the **ORIGINAL** documentation listed below for verification and sample photocopying. 请准备以下文件正本供核查及复印。谢谢！

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

所有下述文件除非有特别说明，所有文件都需要提供无论是单份文件或多份文件。

1. Payroll records (Recent 12 months) 工资表 (过去十二个月)
 - ❖ Payroll register with employee signature (if wages paid in cash) 有员工签名工资表 (如工资以现金支付)
 - ❖ Bank statement corresponding to payroll register (if wages paid by bank deposit) 相对应工资表的银行存款证明 (如以银行存款支付工资)
2. Time card/ Attendance records (Recent 12 months) 工卡或考勤记录 (过去十二个月)
3. Production records (tickets/ sheet) (Recent 12 months) (if applicable) 生产记录 (过去十二个月) (如适用)
4. Personnel records 人事花名册及员工个人档案
5. Young worker registration and health examination (if applicable) 未成年工体检及劳动局登记记录
6. Employment/ Labor contracts 劳动合同
7. Agency workers agreement (if any) 中介工人协议 (如适用)
8. Foreign employees work permits and approval letter from government (if applicable) 外籍员工 (如适用) 许可证和政府批文
9. Collective bargaining agreements (if any) 集体谈判协议 (如适用)
10. Employees social Insurance receipt, names list and certificate of social insurance 社会保险收据，名单和社会保险凭证
11. Business Registration/ License 工商营业执照
12. Fire safety inspection or certificates for facility/ dormitory buildings 消防检查报告或合格证明文件

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1

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13. Fire drill records 消防演习记录、急救演习/紧急疏散计划
14. Facility regulation or employee handbook, in regard to the following areas: 厂规或员工手册, 包括以下几个方面:
 - ❖ Recruitment policy 招聘政策
 - ❖ Disciplinary procedure 纪律处分程序
15. Local minimum wage standard (if any) and/ or Government Labor Law notice (if any) 政府有关当地最低工资规定文件/政府的劳动法的通知 (如适用)
16. Special appliance certificates such as certificate for elevator, boiler 特种设备认证证书如电梯、锅炉
17. Permits for special appliance operations such as lift operator, electrician, and boiler 特种工人上岗证(如:电梯工锅炉工上岗证, 电工, 锅炉许可证等)
18. Canteen or eating facilities hygiene certificate, cook/ kitchen staff health certificates 厨房卫生许可证, 厨工卫生许可证
19. Facility building layout/ evacuation plan 厂房平面图
20. Special waivers from local government regarding working hours arrangement (if applicable) 从当地政府就工作时间的特殊批文 (如适用)
21. Health & Safety program and training records 健康与安全计划及培训记录
22. Work-related accidents/ injury records 工伤事故记录及工伤记录等
23. Environmental certificates (if applicable) 环保证书(如适用)
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 protection (optional if Business Practice module is applicable in the assessment) including (but not limited) to the



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following: 任何书面政策或程序去规范公司和员工的商业道德规范。例如诚信经营，反腐败，公平竞争(如商业道德规范是适用于评估)，资料保护(如商业道德规范是适用于评估)包括(但不限于)以下内容

- ❖ Job Description (JD) of the assigned responsible managers for the management of Bribery at the facility. 指定负责处理贿赂的管理人员的岗位描述
- ❖ Written ethical/integrity training records 书面的道德/诚信培训记录
- ❖ Written bribery policy and what are included. For instance, objective, commitment, definitions of company policy on giving and receiving of gifts, procedure, work instruction, how the policy is externally available. 书面贿赂政策和包括什么内容。例如，目标，承诺给予和接受礼品，程序，工作指引，政策是如何外部使用。
- ❖ Procedures for attempted bribery 企图贿赂程序
- ❖ Procedure on how employees are protected from retaliation. 如何保护员工免遭报复的程序。
- ❖ Internal/ external audit reports regarding ethics/ integrity 关于诚信道德内部/外部审计报告。
- ❖ Employees declaration on conflict of interests 员工申报利益冲突

25. Other documents, subject to actual circumstances during the audit and in that specific regions facility is located 其他文件，根据工厂位于特定区域的实际情况

26. Other Local Specific Documents (if applicable), please specify: 其他地方的文件(如适用)，请注明

- a)
- b)
- c)

NB The above are suggested general documents which would be requested for review during assessment, auditors have the right to request to review other documents not included in the above list, if auditors have reasonable grounds to believe other unlisted documents are related to the assessment.

注：以上是 WCA 审计要求的一般文件，如果审计人员有合理理由相信其他文件与 WCA 审计有密切关系，审计人员有权要求查阅其他不在上述清单内的文件。