

PRE-AUDIT DOCUMENTATION CHECKLIST

To ensure that you are prepared for an audit, please make sure that you have the following records onsite all the time. If you do not, you will have to send these in to the audit company at a later date for which there will be an additional fee.

We have provided examples of the documents and policies you will need in place:

Business Documents:

- Facility floor plan
- Applicable laws and regulations
- Permits, operating licences, certificates of operations, etc.
- Insurance, tax and other required receipts
- Production records
- Photocopies of accurate employee identification that has a photo and a date of birth
- Previous ethical trade audit reports/corrective action logs (if applicable)

Employee Documents:

- Labour contracts for all staff
- Photocopies of official employee identification that has a photo and a date of birth
- Employee handbook (terms and conditions of employment)
- Collective Bargaining Agreements (CBA)
- Time records for the past 12 months for all staff including agency/temp labour
- Payroll records for past 12 months for all staff including agency/temp labour
- Piece rate records for the past 12 months (if applicable) for all staff
- Minutes of joint committees on H&S, disciplinary matters and trade union/worker rep.
- Training records

Health and Safety Documents:

- A list of all the chemicals and solvents used on this site and MSDS sheets & logs
- Government Inspection reports, e.g, sanitation, fire safety, structural safety, environmental compliance, etc.
- Machinery inspection/service logs
- Accident and injury logs
- Emergency action procedures
- Evacuation plan

Facility polices:

- HR policies covering: Disciplinary & grievance, discrimination & harassment, recruitment, training, benefits & allowances, child labour, homeworkers, outworkers, sub-contractors, and wage & hours of work
- Health and Safety
- Environment