



Facility Documents for Audit Document Review

Below is a list of documents that may be requested during a SMETA Audit. This is not an exhaustive list, but rather a sample of the types of documents that the facility should have readily available for review during the audit.

General & Human Resources

- Business/Operating license
- Hiring Practices of the facility and induction materials
- Employment Contracts (if applicable)
- Personnel Files (employee applications, disciplinary records)
- Employee Manual
- Grievances & Disciplinary Procedures
- Any policies on: Child Labor, Wage and Hours of work, Benefits and allowances, Health and Safety, Environment, Training, Discrimination and Harassment, and Homeworkers
- Company and Operating Policies and Procedures
- Collective Bargaining Agreement (if applicable)
- Age documentation
- In the USA only - proof of worker's compensation insurance, I-9 Forms
- Proof of insurance payment; tax payment; Other Benefits and Allowances
- Required legal, government, regulatory postings (minimum wage, equal employment opportunity, etc.)
- Subcontractor agreements, policies and procedures
- Previous ethical trade audit reports, corrective action logs, internal audits
- Production Records

Payroll & Working Hours

- Time records for the past 12 months (timecards, attendance records)
- Payroll and Working Hour policies and procedures
- Benefits and Compensation records and policies
- Payroll records for the past 12 months (paystubs or piece rate records, etc.)
- Holiday pay, sick leave, vacation, disability policies and procedures
- Proof of social security benefit payments

Health & Safety & Environmental

- Health & Safety policies and procedures
- Health and Safety training records
- Internal risk assessment (If undertaken)
- Accident/Injury Log
- Chemicals and Solvent List
- Emergency evacuation plan and emergency evacuation drill logs
- Fire extinguisher inspection records
- Machinery inspection records/service log
- Broken needle records
- Policies on use of Personal Protective Equipment
- Emergency Evacuation Maps
- Building/structural maintenance records
- Environmental Policy and waste management procedures
- Government Licenses, Certificates of Operation, Inspection Reports re: sanitation, fire safety worker safety, structural safety, environmental compliance, etc.
- Health & Safety Committee team meeting minutes and internal assessment records
- Powered Industrial Trucks (PIT) program and forklift driver certifications or license
- (Material) Safety Data Sheets
- Emergency medical procedures
- First responder/first aid provider certifications
- Records of Noise, Temperature, Air Quality, Ergonomics assessments or monitoring
- Bloodborne Pathogen Policies and Procedures
- Drinking water analysis
- Dormitory inspection reports (sanitation, fire safety etc. – if applicable)
- Stormwater, wastewater, radioactive substances or hazardous materials permits
- Government Inspection Reports (i.e., sanitation, fire safety, structural safety, environmental compliance, etc.)