

Appendix C – Factory Checklist

This checklist will assist you in preparing all required documentation that the auditor will need to have access to so please ensure you have these ready **prior** to the audit taking place. **Please note:** This is **not** an exhaustive checklist and will not be used by the certification bodies during the audit.

1. FACTORY OVERVIEW	工厂概况	
Business License of Supplier	供应商营业执照	☐ Yes ☐ No
Business License of Factory	工厂营业执照	☐ Yes ☐ No
Factory layout plan	工厂布局结构	☐ Yes ☐ No
2. QUALITY SYSTEM	质量认证体系	
ISO 9000 Certificate (if available)	ISO 9000 证书（如适用）	☐ Yes ☐ No
Any other certification	任何其他认证	☐ Yes ☐ No
Policy manual	政策手册	☐ Yes ☐ No
Quality manual	质量手册	☐ Yes ☐ No
Quality procedure manual	质量程序手册	☐ Yes ☐ No
Job descriptions	职位描述	☐ Yes ☐ No
Organisational chart	组织结构图	☐ Yes ☐ No
Employee file	员工档案	☐ Yes ☐ No
Training records	培训记录	☐ Yes ☐ No
Recruitment procedure	招聘程序	☐ Yes ☐ No
Internal Audit Program	内部审计程序	☐ Yes ☐ No
Non-conformance report	不合格报告	☐ Yes ☐ No
Internal review for quality system	质量体系内部审查	☐ Yes ☐ No
3. REGULATORY STANDARDS AND COMPLIANCE	监管标准和遵守	
Packing legislation of the export country	出口国包装法	☐ Yes ☐ No
Mandatory Std. (test in-house)	强制性标准 (内部测试)	☐ Yes ☐ No
Client's accredited laboratory	客户的认可实验室	☐ Yes ☐ No
Relevant updated Std for the products	产品的相关标准	☐ Yes ☐ No
4. FACTORY PRACTICES	工厂运作	
Documentation of key area of risk	关键领域的风险记录	☐ Yes ☐ No
Building inspection report	厂房检测报告	☐ Yes ☐ No
Cleaning procedure	清洁程序	☐ Yes ☐ No
Documentation of process product development	产品开发过程记录	☐ Yes ☐ No
5. PROCESS CONTROL	流程控制	
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6. INSPECTION AND TESTING	检验和测试	
Client's tolerances and specs	客户的公差和规格	☐ Yes ☐ No
Corrective action of inspection & testing	检验和测试纠差	☐ Yes ☐ No
Packaging and assembling instructions	包装和装配指示	☐ Yes ☐ No
In-line inspection report	检测报告	☐ Yes ☐ No
Final inspection report	终审报告	☐ Yes ☐ No
Accreditation certificate of testing lab (if applicable)	测试实验室的认可证书（如适用）	☐ Yes ☐ No
7. PRODUCT TRACEABILITY	产品追溯	

Incoming material record	材料入库记录	☐ Yes	☐ No
Outgoing material record	材料出库记录	☐ Yes	☐ No
Internal audit program on traceability system	内部审计-产品追溯	☐ Yes	☐ No
8. SUPPLIER APPROVAL AND CONTROL	供应商的选择和控制		
Supplier evaluation procedure	供应商评估程序	☐ Yes	☐ No
Supplier selection criteria (?8.2)	供应商的选择标准	☐ Yes	☐ No
Record of supplier evaluation	供应商评价记录	☐ Yes	☐ No
Monitors performance of material supplier	供应商表现监控	☐ Yes	☐ No
Approved supplier list	核准供应商名单	☐ Yes	☐ No
Test record of incoming component/raw materials	组件和原材料的测试记录	☐ Yes	☐ No
9. CALIBRATION	标定		
Calibration record	标定记录	☐ Yes	☐ No
Equipment accuracy standard	设备精度的标准	☐ Yes	☐ No
Internal audit program for machine calibration	机器标定的内部审计程序	☐ Yes	☐ No
10. DOCUMENT CONTROL	文件控制		
Document control system	文件控制系统	☐ Yes	☐ No
Archived system procedure	存档系统	☐ Yes	☐ No
Testing standard for the product	产品的测试标准	☐ Yes	☐ No
11. SPECIFICATIONS	规格		
Product technical file	产品的技术文件	☐ Yes	☐ No
Woolworths Product Category Standards	Woolworths 的产品分类标准	☐ Yes	☐ No
Purchasing resuscitation specification sheet (PRSS)	采购复苏规格表 (PRSS)	☐ Yes	☐ No
Product reference files	产品的参考文件	☐ Yes	☐ No
MSDS for raw materials/ components	原材料和组件的化学品安全技术说明书 (MSDS)	☐ Yes	☐ No

12. CUSTOMER FOCUS	顾客导向	
Example of product recall	产品召回的示例	☐ Yes ☐ No
Product recall procedure	产品召回程序	☐ Yes ☐ No
13. ENVIRONMENTAL STANDARDS	环境标准	
Environmental policy	环境政策	☐ Yes ☐ No
Environmental action plan	环保计划	☐ Yes ☐ No
Manufacturing approval license	生产许可证	☐ Yes ☐ No
Example of year on year reductions in environmental impacts	比去年同期减少了对环境的影响的示例	☐ Yes ☐ No
14. LABOUR RIGHTS	劳工权利	
Social accountability/ ethical policy	社会责任/道德政策	☐ Yes ☐ No
Terms and condition of employment	就业的条款及条件	☐ Yes ☐ No
Employee contract	员工合同	☐ Yes ☐ No
15. FREEDOM OF ASSOCIATION	结社自由	
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16. WORKING CONDITIONS	工作条件	
Smoking policy	吸烟政策	☐ Yes ☐ No
Pest control record	虫害控制记录	☐ Yes ☐ No
Certificate of hygiene permit	卫生许可证	☐ Yes ☐ No
Health certificate at food operators	健康认证	☐ Yes ☐ No
Local labour law	劳工法 (当地)	☐ Yes ☐ No
Children's safety procedure in accommodation (if applicable)	儿童的住宿安全程序 (如适用)	☐ Yes ☐ No
17. CHILD LABOUR	童工	
Child labour policy	童工政策	☐ Yes ☐ No
Record of ID cards showing Proof of Age	记录身份证显示的年龄证明	☐ Yes ☐ No
18. LIVING WAGES	生活工资	
Pay slips	工资单	☐ Yes ☐ No
payment procedure	付款程序	☐ Yes ☐ No
19. WORKING HOURS	工作时间	
Time cards/ Bundy cards	考勤卡	☐ Yes ☐ No
Days-Off/ Leave Records	休息日/休假记录	☐ Yes ☐ No
20. DISCRIMINATION	歧视	
Employee folder - employee resigned	员工档案 — 辞职	☐ Yes ☐ No

21. REGULAR EMPLOYMENT	员工	
Apprenticeship program (if applicable)	学徒计划 (如适用)	☐ Yes ☐ No
22. HARSH / INHUMANE TREATMENT	非人道待遇	
Disciplinary procedures	纪律处分程序	☐ Yes ☐ No
Factory rules	工厂规章制度	☐ Yes ☐ No
23. ENTITLEMENT TO WORK AND IMMIGRATION	工作和移民的权利	
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24. SUB CONTRACTING AND HOME WORKING	承包和家庭工作	
Terms and condition of legal requirement for sub contractor	承包商的法律要求和条件	☐ Yes ☐ No
Agreement between Woolworths & sub contractor	Woolworths 和承包商的协定	☐ Yes ☐ No
25. BRIBERY AND CORRUPTION	行贿和受贿	
Code of conduct	行为守则	☐ Yes ☐ No
Anti- bribery policy	反贿赂政策	☐ Yes ☐ No
Confidentiality agreement	保密协议	☐ Yes ☐ No
26. HEALTH AND SAFETY	健康与安全	
Hazardous chemical/ material handling method	危险化学品/物料处理方法	☐ Yes ☐ No
OHS policy	职业安全与健康政策	☐ Yes ☐ No
First aid certificate (if applicable)	急救证书 (如适用)	☐ Yes ☐ No
Accident record (if applicable)	意外纪录 (如适用)	☐ Yes ☐ No
Evacuation procedure	疏散程序	☐ Yes ☐ No
Fighting equipment maintenance record	消防设备维修记录	☐ Yes ☐ No
Safety procedure for machineries	机器的安全程序	☐ Yes ☐ No

Please ensure all documentation is prepared and compiled prior to your scheduled audit