

# Ethical Sourcing Code Pre-Audit Questionnaire

## Factory is to supply:

1. an organisational chart
2. a floor plan for all buildings on and off site
3. a process flow of production and also indicating any sub-contracting
4. a listing of key equipment by department

1. Pre-audit questionnaire completed by: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

Email Address: \_\_\_\_\_

2. Agent/Supplier Name: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Tel. No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

Email Address: \_\_\_\_\_

## Factory Detail

Factory Name: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Town/City: \_\_\_\_\_

Country: \_\_\_\_\_ Postcode: \_\_\_\_\_

Tel. No.: \_\_\_\_\_ Postcode Fax No.: \_\_\_\_\_

Email Address: \_\_\_\_\_

Years established: \_\_\_\_\_

Age of current factory buildings: \_\_\_\_\_

Percentage of production with the agent / supplier: \_\_\_\_\_

Low period (give month): \_\_\_\_\_

Peak period (give month): \_\_\_\_\_

No. of direct employees: Low Period = \_\_\_\_\_ Peak Period = \_\_\_\_\_

No. of indirect staff (managers): Low Period = \_\_\_\_\_ Peak Period = \_\_\_\_\_

PREMISES: Owned \_\_\_\_\_ Leased \_\_\_\_\_

Total operating space (m2): \_\_\_\_\_

Dormitory area (m2): \_\_\_\_\_

3. List the Target Australia Businesses supplied: \_\_\_\_\_

List the articles produced: \_\_\_\_\_

4. Has another retailer or third party auditor audited the factory?  Yes  No

Which organizations have approved the factory?: \_\_\_\_\_

**INFORMATION SOURCES**

What sources of information does the factory use to keep up-to-date with country specific legal and safety standards? e.g.

i) P.R.C. Labour Law  Yes  No

ii) P.R.C. Fire Service Law  Yes  No

iii) P.R.C. Consolidated Standard on Sewage Discharge  Yes  No

others: \_\_\_\_\_

5. What are the operational hours of this facility? (list all hours from Monday-Sunday)

Mon: \_\_\_\_\_

Tue: \_\_\_\_\_

Wed: \_\_\_\_\_

Thu: \_\_\_\_\_

Fri: \_\_\_\_\_

Sat: \_\_\_\_\_

Sun: \_\_\_\_\_

What is the maximum number of working hours per day / per week at standard rate of pay?: \_\_\_\_\_

Is time given for lunch and morning / afternoon breaks?  Yes  No

What is the MAXIMUM number of overtime hours allowed per week?: \_\_\_\_\_

Is ANY / ALL overtime worked paid at an increased rate to the normal working hour rate?  Yes  No

Is overtime voluntary?  Yes  No

Are all employees entitled to paid leave?  Yes  No

If "yes", please detail: \_\_\_\_\_

Are all employees entitled to paid sick leave?  Yes  No

If "yes", please identify the MINIMUM number of days given: \_\_\_\_\_

**6. PERSONNEL AND TRAINING**

Has the factory had an E.T.I. (Ethical Trading Initiative) or a S.A. 8000 audit / assessment?  Yes  No

If "yes", please indicate if a copy of the report has been included on returning with this questionnaire.  Yes  No

What is the MINIMUM working age required by government?: \_\_\_\_\_

What is the age of the youngest worker?: \_\_\_\_\_

How many young workers 16-18 employed by department and are they registered?: \_\_\_\_\_

Does the factory have documented evidence of EVERY employee's age? (e.g. Birth certificate, school leaving certificates, ration card etc)?  Yes  No

6. continued.

What is the MINIMUM wage required by government?: \_\_\_\_\_

What is the MINIMUM wage paid by the factory?: \_\_\_\_\_

How are the production staff paid?: \_\_\_\_\_

How often are they paid?: \_\_\_\_\_

Are any deduction made?  Yes  No

If "yes", please list the deductions made: \_\_\_\_\_

Describe benefits paid to employees: \_\_\_\_\_

7. Do all employees come to work of their own free will?  Yes  No

Has any form of prison labour currently or in the past been used?  Yes  No

Are employees able to join any association of their choosing?  Yes  No

Are there procedures in place that allow all employees to be represented with regards to their working conditions (e.g. union membership)?  Yes  No

Are there disciplinary procedures currently in place within the factory?  Yes  No

Are there procedures in place to avoid any employee being discriminated against?  Yes  No

8. THIRD PARTY PRODUCTION (SUB-CONTRACTING)

How many sub-contractors does the company use?: \_\_\_\_\_

Is any part of the production sub-contracted out to a third party?  Yes  No

Has the factory audited the sub-contractors for social compliance?: \_\_\_\_\_

Is there a system in place for control?: \_\_\_\_\_

Are products or components identifiable as CML items produced by sub-contractors?  Yes  No

9. RAW MATERIALS SPECIFICATION AND RISK ASSESSMENT

Are there documented specifications for all raw materials?  Yes  No

Provide a list of the hazardous waste and/or chemicals in the facility: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_