


DOCUMENTS CHECKLIST

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SL	List of Documents		SL	List of Documents
License and Certificate			Training	
1	Factory License			Training First aid, Health & Safety, Firefighting, Fire drill, PPE, Mid-level management, Orientation/New workers, Machine safety & operating procedure, Chemical handling, MSDS, etc.
2	Incorporation certificate			
3	Trade License			
4	Fire License			
5	ERC/ IRC		Risk Assessment	
6	Generator License			1. Health & Safety risk assessment records (For all areas & functions). 2. Transmittable and non-transmittable diseases risk assessment. 3. New and expectantmothers. 4. vulnerable workers' risk assessment.
7	Boiler License (If Any)			
8	Environmental Clearance Certificate (If required)			
9	Group Insurance Confirmation Certificate			
10	Acid License (If required)		23	Grievance/Suggestion box register
11	Approved Building Construction Approval		24	Disciplinary action log/records
12	Approved Floor / Machine Layout Approval		25	Accident register & investigation records
	Others (If required)		26	Internal monitoring (audit) system
Test / Contracts Reposts			27	Generator maintenance records
1	Drinking Water Test Report		28	Boiler maintenance records
2	Waste Water test Report		29	Machine maintenance records
3	Air Emission Test Report		30	Electric maintenance records
4	Noise Level Assessment		31	PPEmaintenance records
5	Medical Agreement / Contracts		32	Firefighting equipment checking records
6	Water Disposal Agreements		33	Water consumption records
Wages & Time Records			34	Co2/air emission records
	1. Wages sheets (Last 12 Months or Within the scope), 2. OT sheet (Last 12 Months or Within the scope), 3. Timecards (Last 12 Months or Within the scope) & 4. Personalfiles—Past Months (Within the scope)		35	Sound level measurement records
			36	Waste disposal records
			37	Chemical distribution records
8	Piece rate records (if necessary)		38	Production records
9	Benefits- Resigned workers' files		39	Workers' medical check-up records
10	Increment record (If necessary)		40	Broken needle register
11	Copy of payslip		41	List of chemicals (If necessary)
12	Maternity payment records		42	List of machines (If necessary)
13	Annual Leave payment records		43	Capacity planning
14	Provident Fund record (If necessary)		44	Workers' ID card
15	Others- Attendance records		45	Handbook (if any)
16	Workers' personal files		46	Sub-contractors list
17	Leave Register-Annual, Casual, Sick, etc.		47	Sub-contractors monitoring system
Personal files			48	Organization chart
	Doctor, Nurse, Electrician, Security guards, Boiler operator, Generator operator, Safety officer, Fire trainer, Mgt representativeforCode&Lawimplementation, etc.		49	Updated insurance and licenses (machines, vehicles, drivers etc.)
				Other documents (Depend on Auditor & Requirement)
Policy & Procedure				
	1. Anti-corruption&anti-bribery 2. Recruitment, 3. Workinghours, health & safety, 4. Discrimination, 5. Compensation, 6. Child labor, 7. Force labor, 8. Harassment & abuse, 9. Leave, 10. FOA, 11. Writtenemergency&accident procedures, 12. Grievance Procedure, 13. Wastage disposal procedure, 14. Disciplinary action procedure, 15. Environmental Policy 16. Policy on subcontractors (If necessary) etc.		Environmental Part	
			50	Management Representative Assessment Letter for EMS
			51	Environmental Assessment Report (EIA/ EMP/ESIA)
			52	Annual Plan to reduce energy/ water use
			53	Monthly record of energy consumption & generator of waste.
			54	Daily measure and monitoring record of wastewater.
			55	Agreement with waste collector, Legal license of waste collector, waste disposal record (challan)
Committee Formation & Meeting Records			56	Awareness training on waste disposal/ chemical & energy use
	PC, Safety, Grievance, Canteen & Anti-Harassment Committee.		57	Waste inventory & stock record.