



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		
Risk Assessment		Risk Assessment	
5	ERC/ IRC		1. Health & Safety risk assessment records (For all areas & functions). 2. Transmittable and non-transmittable diseases risk assessment. 3. New and expectant mothers. 4. vulnerable workers' risk assessment.
6	Generator License		
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	PPE maintenance 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. Personal files—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 representative for Code & Law implementation, etc.	49	Updated insurance and licenses (machines, vehicles, drivers etc.)
Policy & Procedure			Other documents (Depend on Auditor & Requirement)
1. Anti-corruption & anti-bribery 2. Recruitment, 3. Working hours, health & safety, 4. Discrimination, 5. Compensation, 6. Child labor, 7. Force labor, 8. Harassment & abuse, 9. Leave, 10. FOA, 11. Written emergency & 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.