



DOCUMENTS CHECKLIST

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SL	List of Documents	SL	List of Documents
License and Certificate		Training	
1	Factory License	21	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	22	1. Health & Safety risk assessment records (For all areas & functions). 2. Transmittable and non-transmittable disease risk assessment. 3. New and expectant mothers. 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	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
8	Piece rate records (if necessary)	36	Waste disposal records
9	Benefits- Resigned workers' files	37	Chemical distribution records
10	Increment record (If necessary)	38	Production records
11	Copy of pay slip	39	Workers' medical check-up records
12	Maternity payment records	40	Broken needle register
13	Annual Leave payment records	41	List of chemicals (If necessary)
14	Provident Fund record (If necessary)	42	List of machines (If necessary)
15	Others- Attendance records	43	Capacity planning
16	Workers' personal files	44	Workers' ID card
17	Leave Register-Annual, Casual, Sick, etc.	45	Handbook (if any)
Personal files		46	Sub-contractors list
18	Doctor, Nurse, Electrician, Security guards, Boiler operator, Generator operator, Safety officer, Fire trainer, Mgt representative for Code and law implementation, etc.	47	Sub-contractors monitoring system
Policy & Procedure		48	Organization chart
		49	Updated insurance and licenses (machines, vehicles, drivers etc.)
			Other documents (Depend on Auditor & Requirement)
Policy & Procedure		Environmental Part	
19	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 (Ifnecessary) etc.	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 wastecollector, waste disposal record (challan)
		56	Awareness training on waste disposal/ chemical & energy use.
57	Waste inventory & stock record.		
		Security Part	
Committee Formation & Meeting Records		58	Security Policy & Procedure,
		59	Security internal audit report and meeting report.
20	PC, Grievance, Canteen & Anti-Harassment Committee.	60	Security risk assessment.