

**EMS-STAGE-1 AUDIT REPORT**

Client Ref. No.	
Organization Name	
Address	
Site Address (If any)	
No. of Employees	
E mail id	
Contact Person	
Telephone/Fax	
Scope	
NACE Code	
Audit Team	
Audit Man-days	
<b>Stage of Audit and Date</b>	
Brief about the organization	
Audit Objective	To evaluate the client's documented system/understanding, location & site-specific conditions, significant aspects, Context of organization, Risk & Opportunities, Compliance obligation, Characteristics of environment, interested parties, prevention of pollution, Leadership and commitment, knowledge gained and gather other details through discussions with the client's personnel to determine the organization's readiness for the Stage 2 Audit for Certification.

**Guidance Note for Opening Meeting Agenda:**

Sl.	Topics	Particular	Completed
1	Thanks	Give an expression of thanks to the auditee for Choosing BCI.	
2	Attendance	Request attendees to record their attendance	
3	Introduction	<ul style="list-style-type: none"> <li>• Remind timeline to close opening meeting in 15-30 minutes.</li> <li>• Request to give brief introduction with brief roles (participants, observers, guides &amp; Translators)</li> </ul>	
4	Scope / Summery	Confirmation of the audit objectives (Assessment for ISO 14001), scope and criteria;	
5	Changes	Changes in documents/Fact to the Application/Stage-1 Audit.	
6	Plan	Confirmation of the audit plan and other relevant arrangements with the auditee, such as the date and time for the closing meeting, any interim meetings between the audit team and the auditee's management, and any late changes;	
7	Method	Methods of Audit: Review of Documents & Records, Interview, Physical evidence...	
8	Sampling	Advise auditee that the audit is sample basis and findings will be based on a sample of the information selected;	
9	Communication Channel	Confirmation of formal communication channels between the audit team and the auditee; identify the facilitators.	
10	Language	Confirmation of the language to be used during the audit;	
11	Development	Confirmation that, during the audit, the auditee will be kept informed of audit	

		progress;	
12	Resource	Confirmation that the resources and facilities needed by the audit team are available; like Guide, Interpreters, Facility etc.	
13	Confidentiality	Confirmation of matters relating to confidentiality and information security;	
14	Safeguard	Confirmation of relevant health and safety, emergency and security procedures for the audit team;	
15	Reporting of Findings	<ul style="list-style-type: none"> <li>• NC may be against a clause of the standard i.e. ISO 14001, it's not against any person or department.</li> </ul>	
		<ul style="list-style-type: none"> <li>• Method of reporting audit findings &amp; grading (Major, Minor &amp; Observation)</li> </ul>	
		<ul style="list-style-type: none"> <li>• Time-span for corrective action (Minor-15 Days, Major-60 Days)</li> </ul>	
		<ul style="list-style-type: none"> <li>• Report time: Finding will be discussed at closing meeting and report will be given within 2 working days.</li> </ul>	
16	Termination	Information about conditions under which the audit may be terminated;	
17	Audit Declaration	verify that all members of the organization know what is happening;	
18	Union/Problem	Ascertain union relations or any potential problems;	
19	Confidentiality	Remind the auditee that the audit is confidential.	
20	Closing Meeting	Timing of closing meeting; Participation of the Top Management & where appropriate, those responsible for the functions or processes which have been audited in the closing meeting.	
21	Appeals / Complaint	information about any system for feedback from the auditee on the findings or conclusions of the audit, including complaints or appeals	

### **Recording of Attendance**

<b>AUDIT ATTENDANCE SHEET</b>				<b>Record Attendance (by LA)</b>	
<b>S. No</b>	<b>Name</b>	<b>Position</b>	<b>Department</b>	<b>Opening</b>	<b>Closing</b>

Audit Duration for Stage 2	
Are quoted man-days adequate?	
Any change in employee detail?	
Any Change in Scope?	
Permanent/Temporary sites?	
Any Additional information?	

<b>AREA OF CONCERN WHICH MAY BE IDENTIFIED AS NON CONFORMITIES DURING STAGE 2 AUDIT</b>

Non Conformities/Observations Raised

\_2\_ Observation, \_0\_ Minor/ \_0\_ Major Non conformance identified in the Stage 1 audit, details of Non Conformance in AFAR(BCI-F-09). Please respond by using your own corrective action form and include the root cause analysis with systemic corrective action or AFAR can be used. Failure to include root cause analysis with systemic corrective action will result in your responses being rejected by Lead Auditor.

REQUIREMENTS	COMMENTS
Environmental Manual <b>or Other relevant key documentation</b> Reference	
Are processes to address <b>Risk and opportunities</b> for EMS identified and their sequence & interaction defined?	
Is scope of EMS documented <b>after referring external and internal issues and compliance obligations referred in Manual/other documentation?</b>	
Are measurable documented objectives and/or targets and are <b>measurable (if practicable)</b> which are supported by programs that meet the applicable standard requirements?	
Is there a defined process for identifying environmental aspects and then determining those aspects that are deemed to be significant?  LIST THE MOST SIGNIFICANT ASPECTS	
Any Statutory and/or regulatory requirements applicable to the product and process identified and complied with?	
Is there a documented statement of Environmental Policy <b>which indicates intentions &amp; Direction of an Organization and communicated within the organization AND is available to interested parties?</b>	
Against all significant aspects, have appropriate controls been defined? List a sample of controls	
Is the mandatory <b>documentation available?</b> (any other procedure need to be referred)	
Are Internal audits conducted as planned? Date of Last Internal Audit?	
Are Management reviews conducted as planned? Date of Last MRM?	

Is there a defined process for evaluating <b>compliance obligation</b> with legal and other requirements and has compliance been evaluated?	
Is there a procedure (not necessarily documented) for <b>internal/external communication to address its, aspects</b> , Receiving/sending information, and documenting, responding relevant communication <b>as required by its compliance obligations</b> .	
Is there any outsourced process effecting in the conformity of the product <b>specific to EMS performance?</b>	
Have all relevant processes/activities been covered by the risk assessments and <b>opportunities understood?</b>	
<b>Organizations Preparations forand Respond to potential emergency situations?</b> Has the organization carried out any Mock Drill?	
<b>*Is there any requirement of visit the temporary site(s) in stage-2 audit?</b>	

**Guidance Note for Closing Meeting Agenda:**

Sl.	Topics	Particular	Verified
1	Introduction	Particularly if anybody not present at the opening meeting	
2	Thank to company	Thanks to your Team for cooperation during the audit and arrangements for the Audit.	
3	Reaffirmation of Scope	Reconfirm scope of activities assessed	
4	Confirm confidentially	Reassure the confidentiality for any information assessed during the audit.	
5	Appreciation	Comment on good points within the organisation	
6	Disclaimer	This was audit on sample basis, and it should not mean, that other deficiencies do not exist.	
7	<i>Audit Team Comment</i>	<i>Summary of individual findings from each auditor (if audit team consist more then 1)</i>	
8	<i>Decision</i>	<ul style="list-style-type: none"> <li>• <i>Significance of categories of non-compliance and summary of findings,</i></li> <li>• <i>Summary of overall findings and recommendation/Decision</i></li> </ul>	
9	<i>Acknowledgment</i>	<i>Assure that client acknowledge the NCs.</i>	
10	<i>Future Plan</i>	<i>If any NC is identified, Submitting plan for corrective action together with the objective evidence</i>	
11	<i>Follow-up action</i>	<i>Where do we go from here? emphasizing that the final decision regarding</i>	

		<i>certification will be taken by BCI</i>	
	<i>Surveillance Audit</i>	<i>An explanation of the continual Audit (surveillance) procedure and other future actions</i>	
12	Appeal	Explain the Appeal & Complaint option available to the client against any decision of the Audit team.	
13	Invite questions	Invite questions, clarification from company (But no Consultancy)	
14	Signature	Obtain company representative's signature on report to acknowledge receipt.	

Audit Summary (Including General Observations/Comments)

<b>RECOMMENDATION</b>	
	Recommended for Proceeding to Stage 2
	Not Recommend proceeding to stage 2 until objective evidence has been submitted to BCI showing that the concerns raised by the auditor (s) have been rectified. A date for stage 2 will then be agreed. (within 60 days from this audit date)
	Not Recommend proceeding without a further stage 1 Audit due to the severity of the concerns raised by the audit team

Sign Off:	
BCI Report Submission	Client Acceptance for Report
Name of Auditor:	Name:
Signature:	Signature:
Date:	Date: