

EMS-STAGE-2 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	Complexity Category:
Audit Team	
Audit Man-days	
Brief about the organization	
Stage of Audit	

Audit Guidance

The purpose of the stage two audit is to evaluate the effective implementation of the client’s management system. As a minimum you must audit the following and your report must show clear audit evidence against these requirements.

Audit evidence is documents and records that you have seen, staff/employees that you have spoken to, part numbers or project numbers that you looked at, equipment serial numbers, activities that you observed, or any other evidence that you verify during the audit.

a) **Context of organization and scope**, information and evidence about conformity to all requirements of the applicable **Environment** management system standard or other normative document;

b) performance monitoring, measuring, reporting and reviewing against key **Environmental** performance objectives and targets (consistent with the expectations in the **applicable Environmental management system standard or other normative document**);

c) the client's management system, **Leadership & commitment of top management**, performance as **regards compliance obligation**;

d) operational control of the client's processes, **Risk and opportunities for improvements**

e) internal auditing and management review;

f) management responsibility for the client's policies and **interested parties**;

g) Links between the normative requirements, policy-Direction of Organization, performance objectives and targets (consistent with the expectations in the applicable Environmental management system standard or other normative document), responsibilities, competence of personnel, operations, procedures, **Environmental Performance, Characteristics of environment and related data analysis**.

S. No.	Observations

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	Remind timeline to close opening meeting in 15-30 minutes.	
		Request to give brief introduction with brief roles (participants, observers, guides & Translators)	
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	NC may be against a clause of the standard i.e. ISO 14001, it's not against any person or department.	
		Method of reporting audit findings & grading (Major, Minor & Observation)	
		Time-span for corrective action (Minor-15 Days, Major-60 Days)	
		Report time: Finding will be discussed at closing meeting and report will be given within 2 working days.	
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

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

Verification of the Plan and last audit

S. No.	Particular	Remark
1	Any deviation from the audit plan & their reasons	
2	Any significant issues impacting on its audit programme	
3	Significant changes that affect the management system of the client after audit took place	
4	Any unresolved issue	

VERIFICATION OF RECORDS AS PER STD REQUIREMENT
(C- Conformity, NC-Non Conformity, O-Observation)

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
4	Context of the organization			
4.1	Understanding the organization and its context	Reference of external and internal issues that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended result(s) of its EMS.		
4.2	Understanding the needs and expectations of interested parties	Monitor and review information about these interested parties and their relevant requirements for EMS		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
4.3	Determining the scope of the Environment management system	Determine boundaries and applicability of the environmental management system to establish what the relevant external and internal issues are for your organization, compliance obligation, its organizational units, functions and physical boundaries, its activities, products and services AND scope shall be maintained as documented information and be available to interested parties.		
4.4	Environment Management system	The organization shall establish, implement, maintain and continually improve an environmental management system, including the processes needed and their interactions and shall consider the knowledge gained		
5	Leadership			
5.1	Leadership and commitment	shall demonstrate leadership and commitment with respect to the environmental management system by setting the policies & objectives, integration of the environmental management system requirements into the organization's business processes (activities that are core to the purposes of the organization's existence), Communicating the importance, ensuring that the resources, promoting continual improvement and supporting other relevant management roles		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
5.2	Environmental Policy	Shall establish, implement maintain an environmental policy that. within the defined scope, purpose and includes a commitment to the protection of the environment, including prevention of pollution another specific commitment(s) relevant to the context of the organization context of organization, framework for setting Environment objectives ,applicable requirements and continual improvement and includes a commitment to fulfill its compliance obligations AND is Documented, available, communicated ,understood within the organization and interested parties as appropriate		
5.3	Organizational roles, responsibilities and authorities	Shall ensure that responsibilities and authorities for relevant roles are assigned and communicated within the organization. Reporting on the performance of the environmental management system, including environmental performance, to top management.		
6	Planning			
6.1.	Actions to address risks and opportunities	Organization shall establish, implement and maintain the process(es) needed as:		
6.1.1	General	Understanding the organization and its context, Understanding the needs and expectations of interested parties and compliance obligations AND shall maintain document for: risks and opportunities and planning of aspect-Impact and related actions.		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
6.1.2	Environmental aspects	Organization shall determine the environmental aspects of its activities, products and services that it can control and those that it can influence, and their associated environmental impacts, considering a life cycle perspective considering changes and abnormal activities. AND maintain documented information of: Aspect-Impact, criteria used to determine its significant environmental aspects and significant environmental aspects(Can result in risk & opportunities)		
6.1.3	Compliance Obligations	Determine and have access to the compliance obligations related to its environmental aspects AND shall maintain documented information of its compliance obligations and Compliance obligations can result in risks and opportunities to the organization .		
6.1.4	Planning action	Organization shall plan to take actions for : significant environmental aspects, compliance obligations and risks and opportunities identified and shall consider its technological options and its financial, operational and business requirements during planning		
6.2 6.2.1	Environmental objectives and planning to achieve them Environmental objectives	Organization shall establish environmental objectives at relevant functions and levels, taking into account the organization's significant environmental aspects and associated compliance obligations, and considering its risks and opportunities And objectives should be : consistent with the environmental policy, measurable (if practicable), monitored, communicated and updated as appropriate AND shall maintain documented information		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
6.2.2	Planning actions to achieve environmental objectives	Organization shall determine what will be done, what resources will be required, who will be responsible, when it will be completed and how the results will be evaluated AND integration into the business processes of organization.		
7	Support			
7.1	Resources	Shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the EMS		
7.2	Competence	Organization shall determine and ensure that: the necessary competence of person(s) doing work under its control that affects its environmental performance and its ability to fulfil its compliance obligations, training needs associated with its environmental aspects and its EMS and where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken. AND shall retain appropriate documented information as evidence of competence		
7.3	Awareness	Shall ensure that persons doing work under the organization's control are aware of: environmental policy, significant environmental aspects and related actual or potential environmental impacts associated with their work, their contribution to the effectiveness of EMS, including the benefits of enhanced environmental performance and implications of not conforming with the environmental management system requirements, including not fulfilling the organization's compliance obligations		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
7.4 7.4.1	Communication General	Shall establish, implement and maintain the process(es) needed for internal and external communications relevant to the environmental management system, including: what, who, how, when, with are considered .Also take into account its compliance obligations and ensure that environmental information communicated is consistent with information generated within the environmental management system, and is reliable. The organization shall respond to relevant communications on its EMS AND shall retain documented information as evidence of its communications, as appropriate		
7.4.2	Internal communication	Internally communicate information relevant to the EMS among the various levels and functions of the organization, including changes to the EMS as appropriate and) ensure its communication process(es) enable(s) persons doing work under the organization's control to contribute to continual improvement) ensure its communication process(es) enable(s) persons doing work under the organization's control to contribute to continual improvement.		
7.4.3	External communication	Shall externally communicate information relevant to the EMS, as established by the organization's communication process(es) and as required by its compliance obligations.		
7.5	Documented information			

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
7.5,1	General	EMS Documentation is needed as per the standard and effectiveness and check the documentation needs as per the size, activity, processes, complexities of processes and competency of the person		
7.5.2	Creating and updating	Appropriate identification & description, format & media, review & approval for adequacy		
7.5.3	Control of documented information	Information is available and suitable for use, adequately protected and address the Distribution, access, retrieval & use storage and preservation, including preservation of legibility, control of changes Retention and disposition		
8	Operation			
8.1	Operational planning and control	The organization shall establish, implement, control and maintain the processes needed to meet environmental management system requirements, and to implement the actions to address risks and opportunities and Environmental objectives and planning to achieve them. The organization shall ensure that outsourced processes are controlled or influenced. Consistent with a life cycle perspective, the organization shall: establish controls, as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process for the product or service, considering each life cycle stage, determine its environmental requirement(s) for the procurement of products and services, as appropriate, communicate its relevant environmental requirement(s) to external providers, including contractors, consider the need to provide information about potential significant environmental impacts associated		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
		with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services		
8.2	Emergency preparedness and response	<p>Shall establish, implement and maintain the process(es) needed to prepare for and respond to potential emergency situations as: Risk & opportunities, compliance obligations, prevent or reduce undesired effects, including the potential for external environmental conditions to affect the organization. Organization Shall: prepare to respond by planning actions to prevent or mitigate adverse environmental impacts from emergency situations, Respond to actual emergency situations, take action to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential environmental impact, periodically test the planned response actions, where practicable, periodically review and revise the process(es) and planned response actions, in particular after the occurrence of emergency situations or tests, provide relevant information and training related to emergency preparedness and response, as appropriate, to relevant interested parties, including persons working under its control .</p> <p>AND shall maintain documented information to the extent necessary to have confidence that the process (es) is (are) carried out as planned.</p>		
9	Performance evaluation			
9.1	Monitoring, measurement, analysis and evaluation			

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
9.1.1	General	<p>Shall monitor, measure, analyze and evaluate its environmental performance. organization shall determine:</p> <p>What needs to be measured, Methods, the criteria against which the organization will evaluate its environmental performance, and appropriate indicators, when the monitoring and measuring shall be performed, when the results from monitoring and measurement shall be analyzed and evaluated. Shall ensure that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate. Shall communicate relevant environmental performance information both internally and externally, as identified in its communication process (es) and as required by its compliance obligations. AND organization shall retain appropriate documented information</p>		
9.1.2	Evaluation of compliance	<p>Shall establish, implement and maintain the process (es) needed to evaluate fulfillment of its compliance obligations And shall: determine the frequency that compliance will be evaluated, evaluate compliance and take action if needed and maintain knowledge and understanding of its compliance status. AND shall retain documented information</p>		
9.2	Internal Audit			
9.2.1	General	<p>shall conduct internal audits at planned intervals to check the conformity to: organization's own requirements for its EMS and requirements of 14001-2015 and to ensure that it is effectively implemented and maintained</p>		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
9.2.2	Internal audit programme	Including the frequency, methods, responsibilities, planning requirements and reporting, define the audit criteria and scope for each audit, select auditors and conduct audits to ensure objectivity and the impartiality of the audit process, ensure that the results of the audits are reported to relevant management, take appropriate correction and corrective actions without undue delay And retain documented information shall take into consideration the environmental importance of the processes concerned, changes affecting the organization and the results of previous audits. AND shall retain documented information		
9.3	Management review	Shall review the organization's EMS, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness and consider: the status of actions from previous management reviews. Changes in: external and internal issues that are relevant to the EMS, the needs and expectations of interested parties, including compliance obligations, its significant environmental aspects and risks and opportunities. The extent to which environmental objectives have been achieved. Information on the organization's environmental performance, including trends in: nonconformities and corrective actions, monitoring and measurement results, fulfillment of its compliance obligations and audit results. Adequacy of resources, relevant communication(s) from interested parties, including complaints, opportunities for continual improvement. Outputs of the management review shall include: conclusions on the continuing suitability, adequacy and effectiveness of the EMS, decisions related to continual improvement opportunities, decisions related to any need for changes to the EMS including resources, actions,		

Cl. No.	Requirements	Reference	C/O /NC	Records & Evidences
		if needed, when environmental objectives have not been achieved, opportunities to improve integration of the EMS with other business processes, if needed, any implications for the strategic direction of the organization. AND keep the record of Management Review		
10	Improvement			
10.1	General	The organization shall determine opportunities for improvement and implement necessary actions to achieve the intended outcomes of its EMS.		
10.2	Nonconformity and corrective action	When a nonconformity occurs, the organization shall: React to the nonconformity and, as applicable as: take action to control and correct it, deal with the consequences, including mitigating adverse environmental impacts. Evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by: reviewing the nonconformity, determining the causes of the nonconformity, determining if similar nonconformities exist, or could potentially occur implement any action needed Review the effectiveness of any corrective action taken make changes to the EMS,if necessary AND shall retain documented information		
10.3	Continual improvement	Shall continually improve the suitability, adequacy and effectiveness of the EMS to enhance environmental performance		
*	Temporary site visited (If Any)			

Non Conformities Raised

___ Minor/___ Major Nonconformance identified in the Stage 2 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.

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 confidentiality	Reassure the confidentiality for any information assessed during the audit.	
5	Appreciation	Comment on good points within the organization	
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 than 1)</i>	
8	<i>Decision</i>	<i>Significance of categories of non-compliance and summary of findings, Summary of overall findings and recommendation/Decision</i>	
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 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.	

Summary of the Audit Team

A. Stage of audit:

<input type="checkbox"/>	Initial Certification
<input type="checkbox"/>	Follow Up Audit
<input type="checkbox"/>	Surveillance Cum Transfer
<input type="checkbox"/>	Modification
<input type="checkbox"/>	Renewal
<input type="checkbox"/>	Upgrade From

<input type="checkbox"/>	Other
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B. Recommendation:

<input type="checkbox"/>	Issuance of Certificate
<input type="checkbox"/>	Refusal of the Certificate
<input type="checkbox"/>	Follow Up audit
<input type="checkbox"/>	modification of the current certificate (registration no. and expiration date remain unchanged)
<input type="checkbox"/>	other :

C. Reason:

<input type="checkbox"/>	<p>The Environment Management System complies with the requirements of the reference standard: Congratulations, on the basis of the above summary, Lead Auditor is pleased to put forward a recommendation for issuance of certificate.</p>
<input type="checkbox"/>	<p>The Environment Management System complies with the requirements of the reference standard with exception of minor NC: Congratulations, Lead Auditor is pleased to put forward a recommendation for Certification upon off-site verification of closure of all issues, the NC closure need to be submitted along with the Corrective Action Plan and objective evidence with 15 days from the stage 2 audit but not later than 60 days from the date of Stage 2 audit. If all non-conformances are not closed within 60 days, a full reassessment may be required.</p>
<input type="checkbox"/>	<p>Evidence of major non conformities: Organization is not recommended for Certification. A follow-up assessment will be scheduled to allow for on-site verification and closure of all issues within 60 days from the date of Stage 2 audit. If all non-conformances are not closed within 60 days, a full reassessment may be required.</p>
<input type="checkbox"/>	<p>Not Recommended: Organization is not recommended for certification; a Stage 2 audit will be required. To progress your application for registration, please respond to each non-conformances, with a plan showing proposed actions, timescales and responsibilities for resolution. The organization should consider the root cause of the non-conformance and the potential for related issues in other parts of your system.</p>
<p><i>Proposed Audit Date for Surveillance Audit (dd/mm/yyyy)</i></p>	

D. Condition of the Audit report:

Sl.	Condition of the Audit report
A	This is to state that this audit report or any information in this report is based on a sampling process of the available information to the certification body. Further to advice that audit recommendations are subject to an independent review prior to a decision concerning the awarding or renewal of certification.
B	This is to state that the audited organization is effectively controlling the use of the certification documents and marks if applicable.
C	This report itself does not allow the client / applicants to use logo of the certification body or accreditation board, use of logo govern as per certification body rule. Please refer the terms of use of logo as available on the website of the certification body.

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Signature		Signature	
Name of the Auditor		Name of the Representative	
Date		Date	