

Date of Audit:

Department:

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SN	Standard Ref. (9001:2015/ 14001:2015/ 45001:2018)	Checkpoints	Evidences	Conformity		Remarks	NC
				Yes	No		
1.	<b>Context of the Organization / HSEQ MS (IMS) Requirements (4.0/4.0/4.0)</b>						
2.	4.1/4.1/4.1	Understanding the organization and its Context	Procedure for Determining Context of the Organization; List of internal and external factors; S-W-O-T Analysis reports				
3.	4.2/4.2/4.2	Understanding the Needs and Expectations of Interested Parties	Legal registers Marketing studies				
4.	4.3/4.3/4.3	Determining the Scope of the IMS	IMS Manual includes Scope				
5.	4.4/4.4/4.4	IMS and its Processes	Processes in place/List of processes				
6.	<b>Leadership (5.0/5.0/5.0)</b>						
7.	5.1/5.1/5.1	Leadership and Commitment	Signed the HSEQ policy, roles and responsibilities, resources provided				
8.	5.2/5.2/5.2	HSEQ Policy	HSEQ Policy posted, sent thru email, in the website, signed by the Top Management, etc.				
9.	5.3/5.3/5.3	Organizational Roles, Responsibilities and Authorities	Organizational Chart, Signed Job Description, etc.				
10.	--/--/5.4	Consultation and Participation of Workers	Consultation Procedure, Workers Feedback, etc.				
11.	<b>Planning (6.0/6.0/6.0)</b>						
12.	6.1/6.1/6.1	Actions to address Risks and Opportunities	Quality Risk Assessment Register with controls Risk Management Procedure				
13.	--/6.1.2/6.1.2	Environmental Aspects, Hazard Identification, Risk Assessment and Determination of Controls	HSE Risk Assessment Register with controls Risk Management Procedure				

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14.	--/6.1.3/6.1.3	Compliance Obligations/ Legal & Other Requirements	Legal Register Legal & other Requirements Procedure				
15.	6.2/6.2/6.2	HSEQ Objectives and Planning to achieve them	HSEQ Objectives, targets, KPIs with planned activities; Measurable				
16.	6.3/--/--	Planning of Changes	Procedure for managing changes				
17.	<b>Support (7.0/7.0/7.0)</b>						
18.	7.1/7.1/7.1	Resources	Human Resources are available				
19.	7.2/7.2/7.2	Competence	HR Procedure, CV, certificates, List of employees, etc.				
20.	7.3/7.3/7.3	Awareness & Training	Training Procedure; Training Attendance Sheet, Certificates, etc.				
21.	7.4/7.4/7.4	Communication, Consultation & Participation	Communication, Consultation & Participation Procedure; Memos, emails, Minutes of Meetings, Training Records, Tool Box Talks, etc.				
22.	7.5/7.5/7.5	Documented Information	Document & Record Control Procedures; Documents are referenced with latest versions; documents are authorized; Master List of Documents, Distribution List; Records are properly filed, stored and labeled; Master List of Records with retention periods, etc.				
23.	<b>Operation &amp; Implementation (8.0/8.0/8.0)</b>						
24.	8.1/8.1/8.1	Operational Planning and Control	Procedures for operations Procedures/Work Instructions related to HSE				
25.	--/8.1/8.1.3	Management of Changes	Procedure for managing changes				
26.	--/8.2/8.2	Emergency Preparedness & Response	Procedure for Emergency Preparedness & Response; With First Aiders/Nurse & ERT Team; presence of clinics with emergency equipment available, emergency contact numbers				

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			available; Emergency Plans for each type of emergency available; Records of emergency drills, etc.				
27.	8.2/--/--	Requirements for Products and Services	Client Enquiry forms, client enquiry emails, client's RFQ, LPO copies, contract copies, BOQ, etc.				
28.	8.3/--/--	Design and Development of Products and Services	Approved drawings, records that drawings are reviewed and approved by clients-emails or letters, etc.				
29.	8.4/--/--	Control of Externally Provided Processes. Products and Services	Approved Suppliers List, Company documents of suppliers, Performance evaluation of suppliers, emails to suppliers regarding requirements, LPO's to suppliers, Material Inspection Records, Delivery Notes, etc.				
30.	8.5/--/--	Production and Service Provision	Procedure for Construction Management; Records of Kick off meetings, project monitoring reports, inspections, client complaints handling, storage of materials, etc.				
31.	8.6/--/--	Release of Products and Services	Handing over documents.				
32.	8.7/--/--	Control of Nonconforming Outputs	Records of snag list, rectification made, etc.				
33.	<b>Performance Evaluation (9.0/9.0/9.0)</b>						
34.	9.1/9.1/9.1	Monitoring, Measurement, Analysis and Evaluation	Procedure for Performance Evaluation, Statistics & Reports for monitoring, measurement, analysis, and evaluation of objectives and IMS Performance				
35.	9.1.2/--/--	Customer Satisfaction	Procedure for Client Satisfaction Measurement; Records of Client Satisfaction Survey records				

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36.	--/9.1.2/9.1.2	Evaluation of Compliance	Procedure for Legal Requirements; Legal requirements compliance evaluation records; audit records				
37.	9.1.3/--/--	Analysis and Evaluation	Methods in analyzing data for evaluation of performance, Statistical techniques				
38.	9.2/9.2/9.2	Internal Audit	Procedure for Internal Audit; Appointment Letters of Internal Auditors; Internal Audit Plan, Internal Audit Reports, NC Reports, NC Registers, etc.				
39.	9.3/9.3/9.3	Management Review	Procedure for Management Review Meeting, Minutes of Management Review Meeting				
40.	<b>Improvement (10.0/10.0/10.0)</b>						
41.	--/--/10.2	Incident investigation	Procedure for Incident Investigation; Incident Reports, Near Miss Reports, etc.				
42.	10.2/10.2/10.2	Nonconformity and Corrective Action	Procedure for Non-conformity Handling, CA & PA; NC Reports, NC Registers, etc.				
41.	10.3/10.3/10.3	Continual Improvement	Closed NC actions, etc.				
Total NC							

	Prepared by	Reviewed by	Approved by
<b>Name</b>			
<b>Signature</b>			
<b>Date</b>			