KVQA ASSESSMENT PRIVATE LIMITED



AUDIT REPORT OF ISO 14001:2015

{{ Organization\_Name }}

**Doc. No: KAF-01 2024.01**

**Questionnaire**

**For** **Quality/Environment /Occupational Health Safety/ Food Safety Management System/**

**Information Security Management Certification/ (A)**

**(Common purpose)**

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 1. Fill out this format correctly as this questionnaire is for preparing quotation for certification assessment related assessment days.  2.All the things that occur due to your incorrect recordings are not KVQA ASSESSMENT PRIVATE LIMITED responsibility; however, all the information is protected for the confidentiality. | | | | | | | | | | | |
| **Name of organization** | | | | {{ Organization\_Name }} | | | **Director** | | {{ Director\_Name }} | | |
| **Address** | | | | {{ Address }}. | | | | | | | |
| **Temp Add.** | | | | {{ Temp\_Address }} | | | | | | | |
| **Environmental Management**  **Representative** | | | | **Name of dept** | | **MR** | **TEL.** | | {{ phone\_number }} | | |
| **Title/Name** | | {{ MR\_Name }} | E-mail Address | | {{ mail\_id }} | | |
| **No of employee** | | | | **Executive** | | **Contractual/Temporary** | **Part Time** | | | **Repetitive Process** | |
| 02 | | 18 | 00 | | | 00 | |
| **Shift** | | **Permanent** | **Any Other** | | | **Total** | |
| 01 | | 20 |  | | | {{ NO\_OF\_EMPLOYEE }} | |
| **Details of Manpower at each site**  **(applicable only if there is more than one site)** | | | |  | | | | | | | |
| 1. For EMS, total no. of employee is assessed no. of employee. 2. In case two site or more, indicate the location, number, and person of site.   (For the limited in period like construction and engineering, fill out relevant blank of the next page form.) | | | | | | | | | | | |
| **Standard** | | □ ISO 9001:2015,🗹 ISO 14001:2015, □ ISO 45001:2018, □ ISO 27001:2022, □22000:2018 | | | | | | | | | |
| **Expecting scope of certification** | | Certification scope determines the characters of business and activities controlled by your management system and can be used as a basis of description of certificate. | | | | | | | | | |
| **Certification site** | | | {{ Address }} | | | | | | |
| **Scope** | | | {{ Scope\_s }}. | | | | | | |
| **Activities** | | | □ Design/Development, 🗹 Manufacturing, □ Installation, □Construction, Sales& Service, □Others ( ) | | | | | | |
| **Exempted**  **Clause** | | | N/A | | | | | | |
| **Cert. Conditions for multi-site** | | 1. Are all the sites organized under the same organization? Yes, 🗹No 2. Are all the sites operated under the same management system? Yes, 🗹No 3. Are all the internal audit and management review conducted comprehensively? Yes, 🗹No | | | | | | | | | |
| ▶ Audit desired | | | | | | | | | | | |
|  | Surveillance Audit | | □ 6 Monthly 5 times in 3 yrs | | | □ Six Monthly first then yearly  3 times in 3 yrs | | □ Yearly  2 times per 3 years | | |  |
| Anything specific you would like to convey on QMS/EMS/FSMS/OHSAS  ▶ If you have any question, in filling up the questionnaire, don’t hesitate to contact us below; Address KVQA ASSESSMENT PRIVATE LIMITED.  F-300, Sector-63, Noida-201301, U.P. India. Website - <www.iso-registration.com> E-Mail- info@iso-registration.com. | | | | | | | | | |

**Doc. No: KAF-01 2024.01**

**Questionnaire for QMS/EMS/ISMS/FSMS/OHSAS Certification (Environmental Management System)**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 1. | How is EMS preparation being organized?  🗹 In-house method (starting time {{ Starting\_Date }})   Consultancy method(including internal audit conducting agency) (starting time: ) (consulting agency: consultant: consulting contract date: ) | | | | |
| 2. | Do you have any outsourced processes that affects conformity to product or service requirements?   Yes (Region: Processes/activity: ), 🗹 No | | | | |
| 3. | Please list down the Key Process Involved relevant to the Management system?  {{ PROCESS }} | | | | |
| 4. | Do you have any duplicated process?   Yes (No. of line: ………, Process name: ………., No. of employee: 00 ), 🗹No | | | | |
| 5. | What is your shift work’s status?  No of shift worker: ( {{ NO\_OF\_EMPLOYEE }} ), persons: ( ), shift/day: ( 01 ) | | | | |
| 6. | What’s your system’s structure?   1. Manual ({{ manual\_number }}) kinds (initial issued date: ({{ manual\_date }}) 2. Procedure ({{ procedure\_number }}) kinds (initial issued date: ({{ manual\_date }}) | | | | |
| 7. | When did you conduct internal audit and management review (or planned)?  (a) Internal audit date: ({{ Internal\_Audit\_Date }}), (b) Management review date: ({{ MRM\_Date }}) | | | | |
| 8. | When do you want the certification audit conducted? ({{ certification\_audit\_conducted }}) | | | | |
| 9. | Have you conducted EMS (ISO 14001:2015) Related Risk Analysis?  (🗹Yes  No ) | | | | |
| 10. | Have you conducted Aspect & Impact Analysis related to EMS.  (🗹Yes  No ) | | | | |
| 11. | Have you ever received the same certification audit from other certification agency?  (a) Yes [Name of agency: …… Time : 00/00 month: 00year] (b) 🗹 No | | | | |
| 12. | Do you have any other certified system including environmental friendly enterprise certification? (a)  Yes(certification standard: certification agency: acquisition date: ) (b) 🗹 No | | | | |
| 13. | Have you ever had an environmental accident occurred in the last 3 years?  (a)  Yes ( 00 month 00 yr.), (b)  No (if you have please describe it briefly)  **Note:** When mfg. industry, please fill out No13~14, when construction/supervision industry, please fill out No | | | | |
| 14. | What is your manufacturing method?  simple fabrication,  chemical treatment or  automatic mfg system,  other leather product | | | | |
| 15. | What are your conditions of location?   special measure’s zone,  water supply source protection zone,  Industrial estate, residential, country,  others | | | | |
| 16. | What is your environmental load Air & water consent pollution control board 1)waste gas emission facility permission residential industrial semi urban 2)Waste water effluence facility permission residential industrial semi urban 3) Waste amount: Ton/yr.  4)Noxious chemicals use permission Applicable N/A | | | | |
| 17. | 1)NO of Pollution Board consent: 00 kinds, No of certification: 00 kinds  The organization legal register was verified In Ref: {{ legal\_REGISTER\_NO }}  {{ legal\_LICENSE }}  2)Type of business: civil, architecture, Plant, construction material, specialty construction  3) Please indicate the No. (00) and the location of sites by field………01 | | | | |
| **Name of site/field** | | | **No. of site** | **Location/Address** | |
| {{ Organization\_Name }} | | | 01 | {{ Address }} | |
| Signed By: {{ Director\_Name }} | | Designation: Director | | | (Signature):….. Date- {{ Questionnaire\_date }} |

**Doc. No: KAF-03 2024.01**

**Quotation/Application QMS/EMS/OH&S Certification**

|  |  |  |  |
| --- | --- | --- | --- |
| **Quotation No:** | {{ quotation\_number }} | **Date**- | {{ Quotation\_date }} |
| **Name of organization:** | {{ Organization\_Name }} | Standard | ISO 14001:2015 |

**1 Stage 1 Audit Fee: Rs. 12000 /-**

Stage 1 Audits are carried out to review the client’s management system documented information & evaluate the client’s site-specific conditions and to undertake discussions with the client’s personnel to determine the preparedness for stage 2 audits. At least some part of Stage 1 Audit has to be done onsite at the client’s premises.

**2 Stage 2 Audit Fee: Rs 12000 /-**

The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client’s management system. The stage 2 shall take place at the site(s) of the client. In some cases the audit may be done remotely as mutually agreed through ICT Tools.

**3 Re-audit Fee** is chargeable at the rate of Rs. 4,000 / per man day

In case of non-compliance found in certification audit the same is verified in the Re-audit

**4 Surveillance Audit:**

🗹A. Annual: 2 audits for 3-year period. Rs.12,000**/-** per year**.** Total **Rs**. 24,000/-.

B. First six monthly & then annual audit 3 audits for 3 years

C. Five six monthly audit for 3 years

**5 Registration Fee Payable to KVQA ASSESSMENT PRIVATE LIMITED for three years**

KVQA ASSESSMENT PRIVATE LIMITED Registration charges: Rs**.10, 000 /-**

Audit shall be done by Auditor from New Delhi

Note: The above quotation is exclusive of all taxes. 18% GST is levied. Any tax arising must be borne by the client. All travel and stay to be arranged by the client or if arranged by KVQA ASSESSMENT PRIVATE LIMITED to be reimbursed at actual. All travel by taxi, IIAC sleeper and stay in AC rooms.

This quotation is valid till 90 days from the date of issue.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Name: | {{ Director\_Name }} | Date | {{ contract\_review\_Date }} | Name: | LAV KAUSHIK | Date | {{ contract\_review\_Date }} |
| Signature………………………. | | Seal | | Signature | | Seal | |
| (For : {{ Organization\_Name }}) | | | | (For and behalf of KVQA ASSESSMENT PRIVATE LIMITED.)New Delhi | | | |

Please return to

Address KVQA ASSESSMENT PRIVATE LIMITED.

F-300, Sector-63, Noida-201301, U.P. India. Website - <www.iso-registration.com> E-Mail- Info@iso-registration.com.

**Doc. No: KAF-04 Form 2024.01**

**Certification Audit Contract**

{{ Organization\_Name }} & KVQA ASSESSMENT PRIVATE LIMITED (hereinafter called certification body) for certification audit as follows.

Site 1... {{ Address }}

Scope “{{ Scope\_s }}.”

Site 2 …………………{{ Temp\_Address }}…………………. Scope: ..............................................

Add Additional sites as per Requirement.

Article 1: Objective of contract

This contract is for both the applicant and the certification body to observe all the necessary rights and duties for each of them in performing certification audit applied by the applicant.

Article 2: Scope of certification

The certification body assesses and certifies/registers the applicant’s Quality/Environmental Management System for products, activities and services provided its sites concerned, with the respect to Quality/Environmental Management System standards and any supplementation required under the system. The scope of certification/registration can be changed as to activities actual audit performed. The standard for the certification shall be ISO 14001:2015. The total man-day spent shall be…{{ MANDAY }}….man-days (stage 1: {{ stage\_1\_manday }}…Man-days & Stage 2: {{ stage\_2\_manday }}…Man-days) Annual Surveillance …{{ Surveillance\_Manday }}…Man-days

Article 3: Certification Audit

Certification audit is performed on the basis of audit standards and Environmental Management of the applicant. The Accreditation body may visit for certification activities along with KVQA ASSESSMENT PRIVATE LIMITED or otherwise

1. Document audit of the applicant’s QMS/EMS documents and records is carried out, prior to on-site audit. QMS/EMS documents include Manual, procedures, work instructions, report of internal audit, data of management review and data for identifying environmental aspects etc. The scope of the audit is to identify the QMS/EMS status established including the applicant’s organizational structure, policy, and work procedure etc. and to identify whether they meet all the requirements of the standards related to Certification scope.
2. Pre-audit is performed upon the applicant’s request in accordance with certification procedures. Pre-audit is not to determine but to evaluate the conformity of its relevant QMS/EMS/OHMS/ISMS.
3. On-site Audit is performed at the applicant's sites to evaluate if its activities are implemented according to documented system. If non-conformities are found during audit, the certification body issues CAR (corrective action request).
4. When non-conformities are found with the result of the audit, registration of certification is determined through certification deliberation, after conducting document or on-site follow-up audit.
5. The certification body provides its applicants with documented compliance requirements for maintaining its certification/registration, when certificate is granted.
6. The accreditation body can visit your premises.

Article 4: The confirmation of the certification scope Certification standard, certification scope (items) and address of on-sites are decided with prior mutual agreement. Ambiguities relating to these are processed in accordance with KVQA ASSESSMENT PRIVATE LIMITED.

Provisions and the content stated in Confirmation of certification scope (C600-FormJ) provided by auditor during audit will be final decision.

Article 5: Granting issuance of certificate

Certification body reviews the result of corrective actions taken and submitted by the applicant and approves

granting of certification. The certificate can only be issued with certification committee's review after all corrective actions are reviewed as per certification system.

Article 6: Use of certification mark

On receipt of the certificate, the applicant shall comply with "Guide for use of certification mark and logo" and the Actions for misusing certification mark described there in, which are provided with certificate by the certification body.

Article 7: Surveillance audit

1. Surveillance audit for the applicant shall be carried out semi-annually or annually as per the quotation after the date of certification, pursuant to current Surveillance audit procedure of the certification body.
2. Surveillance audit days shall be based on Audit day’s table of KVQA ASSESSMENT PRIVATE LIMITED.

Article 8: Notification of changes in certification scope & changing audit

The applicant (certified organization) shall implement its duties and notify the certification body of the following changes as soon as they occur. After review the changes the certification body, if necessary, can perform the special surveillance audit or changing audit.

1. Changes of company name or president
2. Changes of their significant organization structure, expansion or movement of premises during
3. certification.
4. Obtaining of serious complaints from an applicant/certified organization or interested party.
5. Environmental accident occurred or violation of relevant laws, for EMS.
6. Changes occurred from expansion or reduction of certification scope (Standard, products applied
7. for certification).

Article 9: Renewal audit

Certification body shall carry out renewal audit against an applicant’s QMS/EMS and renew its certificate, within 3

years after certification, to continually ensure that its QMS/EMS is maintained and remains effective.

Article 10: Liability of certification body.

When the certified body is no longer maintained because certification activities are stopped and its accreditation is suspended and withdrawer, the certification shall, in consultation with the applicant, recommend another certification body or cooperation body for the applicant to maintain or re-register its certification. Such a case, according to mutual agreement, the certification body shall cover expense raised from it.

Article 11: Suspension of certification

The certification body shall suspend certification when:

Surveillance audit was not performed within 1 month after the certified organization received notification letter& it’s surveillance audit was not carried out within specified time frame.

With result of audit, it is shown that resources and organizational entity to satisfy with requirements of standard applied do not exist or certification system is no longer operated.

There is absence of reliability on certification system because of claims raised by interested party and social conflicts,

Certified organization has not taken any action for changes of certification system and certification requirements.

The major non-conformity is re-occurred in follow-up audit which was performed to check corrective action taken for major non-conformity indicated on-site verification audit.

Corrective action for misuse of certification mark has not been taken within 1 month after it is requested.

Certification fee is not paid.

The certified organization does not observe its duties defined in certification contract.

The certified organization uses the certificate beyond its scope applied.

All information and documents obtained in the course of certification activities turn out to be false.

The problem with registering certification has been occurred because changes as described in article 8 have not been notified to certification body.

The certified organization violets its agreement with KVQA ASSESSMENT PRIVATE LIMITED.

Corrective action for minor nonconformity has not been verified within 30 days.

Article 12: Withdrawal/Termination of certification

Certification body withdraws certification and reports the fact on the publication in the event that the applicant does not comply with that,

Corrective action has not been taken within 3 months, despite suspension of certification as mentioned in Article 11;

the certified applicant officially returns the certificate to certification body;

Production, activities or services of certified products have been suspended;

The certified organization is no longer identified because of its dismantlement or communication disconnecting etc.;

Certification has been suspended more than three times during its validation;

The applicant does not return the certificate to the certification body within 1 month after request by the certification body.

Article 18: Appeals, complaints and disputes

When the applicant has appeals, complaints and disputes regarding certification audit and related to certification, the applicants shall notify it to the certification body in written statement. Such appeals, complaints and disputes brought to the certification body shall be subject to the procedures of the certification body and the result thereof shall be notified to the applicant in writing.

Article 14: Confidentiality

The certification body shall not disclose information about the applicant’s organization or a particular product to a third party without the written consent of the applicant, except where accreditation body requires. When the certification discloses information to a third party, as permitted by the law, the certification body shall inform it to the applicant. However, this is not applied for,

-Information that certification body already has before the applicant provided;

-Information legally well-known or expected to be well known to public;

-Information legally obtained from where it is not related to the applicant;

-Information required by Accreditation body for its evaluation of certification body. Information about the client from sources other than the client (e.g. complainant, regulators), shall be treated as confidential, consistent with the KVQA ASSESSMENT PRIVATE LIMITED Certification body’s policy.

Article 15: Changes in the certification requirements

When certification requirements by certification body have been changed, the following shall be processed within specified period;

The certification body shall give due notice of any change and its effective date to the applicant 1

Month in advance.

The applicant shall submit documented plan of subsequent action in details or its result according

to certification requirements changed.

The certification body. in surveillance audit, shall verify the applicant’s implementation in

Compliance with requirements changed, within 12 months.

Article 16: Certification Fee

Certification fee (Registration, Pre-audit, Document audit, Cert Audit, Re audit, and Registration) is specified in Quotation.

Surveillance audit fee is charged as per audit fee in quotation when it is carried out.

When major nonconformity is found during audit or certification, on-site follow-up audit will be required and the expenses will be charged as per audit fee rate on the time of visit.

Travel expense, accommodation expenses of certification body, raised from audit, shall be

charged to the applicant.

Article 17: Payment

When concluding a contract, the applicant shall pay all fees as per quotation, when submitting forms.

Audit fee (document audit fee, pre-audit fee, on-site audit fee, follow-up audit fee, and surveillance audit fee) shall be paid on receipt of Invoice. All invoices shall be paid within 7 days from its receipt of the invoice.

Traveling expenses are charged with audit fee.

All fees with all taxes have to be borne by the client.

Article 18: Irresistible force

Any liability for indirect and consequential damage, including war, natural disaster, an infectious diseases and closedown of factory etc. which are beyond control, is hereby excluded.

Article 19: Contract interpretation and disputes settlement

Every dispute or question, which may arise between the parties of this contract, shall be amicably settled. If the lawsuit occurs, the place of jurisdiction for the claims shall be in Delhi

Article 20: Reliability, faithfulness and mutual co-operation

Both applicant and certification body shall comply with all the articles stated in contract upon mutual trust and endeavor to maximize the achievement of goals. Certification body impartially implements its certification services and the applicant gives best assistance to certification body for its effective implementation of certification services.

The applicant shall comply with all laws related to QMS/EMS certification and give assistance for special surveillance audit required by Accreditation body, if any.

The applicant should allow trainee to participate in audit.

When certified applicant/organization is transferred to another certification body, it, as well as the reason thereof, shall be informed to certification body

Article 21: Period of contract

This agreement shall come into force on signature by the two parties and shall definitely run for at least a period of three years. It shall be extended by a further three years in each case on placement of an order for renewal by applicant.

Article 22: Retention of contract

Both parties ensure to comply with all articles above stated and for its evidence, contract (duplicate) duly signed by representative of both parties shall be kept at both sides.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Name:** | {{ Director\_Name }} | **Date** | {{ contract\_review\_Date }} | **Name:** | LAV KAUSHIK | **Date** | {{ contract\_review\_Date }} |
| Signature………………………. | | Seal | | Signature | | Seal | |
| (For {{ Organization\_Name }}) | | | | (For and behalf of KVQA ASSESSMENT PRIVATE LIMITED.) New Delhi | | | |

**Doc. No: KAF-02 Form2024.01**

**Contract review report**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Organization** | | {{ Organization\_Name }} | | | | | | | | | | | | | | | | | | **Quotation no.** | | | | | {{ quotation\_number }} | | | |
| **Address** | | {{ Address }}. | | | | | | | | | | | | | | | | | |
| **Temp. Address** | | {{ Temp\_Address }} | | | | | | | | | | | | | | | | | |
| **Application** | | 🗹 Initial audit  Renewal audit | | | | | | | | | | | | | | | | | | **Temp site man-day** | | | | | {{ Temp\_manday }} | | | |
| **Size** | | Small 🗹Medium Large | | | | | | | | | | | | No. of employees | | {{ NO\_OF\_EMPLOYEE }} | | | | **Effective No. of Employees** | | | | | {{ NO\_OF\_EMPLOYEE }} | | | |
|  | | In Case of Remote Audit, Has the ICT tool been discussed and agreed with the client? If Yes, explain | | | | | | | | | | | | | | | | | | | | | | | | | | |
|  | | INCASE OF MULTISITES | | | | | | | | | | | | | | | | | | | | | | | | | | |
|  | | Central site | | | | Sample site 1 | | | | | | Sample site 2 | | | Sample site 3 | | | Sample site 4 | | | | | | Continue the progression | | | | |
| **No of employees** | |  | | | |  | | | | | |  | | |  | | |  | | | | | |  | | | | |
| **No. of man-days to be planned** | |  | | | |  | | | | | |  | | |  | | |  | | | | | |  | | | | |
| **Audit standard** | |  ISO 9001:2015, 🗹 ISO 14001-2015, ISO 45001:2018, ISO 27001:2022, ISO 22000:2018 | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **AUDIT SCOPE** | | {{ Scope\_s }}. | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **IAF CODE:** | | {{ IAF\_CODE }} | | | | | | | | | | | | | | **EMS Complexity** | | | | | | {{ Risk\_Category }} | | | | | | |
| **AUDIT TYPE** | | LEAD AUDITOR | | | | | | | {{ Lead\_Auditor }} | | | | | AUDITOR | | {{ Auditor }} | | | | | | Expert  (if any) | | | | |  | |
| **On-site type** | |  Multi-site 🗹 Single site  Temporary site (construction/engineering etc.) | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Tentative Audit schedule** | | STAGE 1 | | | | | | {{ Stage\_1\_Date }} | | | | | | ANY OTHER AUDIT | |  | | | | | STAGE 2 | | | | | {{ Stage\_2\_Date }} | | |
| **Certification fee**  **(required)**  **(quotation)** | |  | Stage 1 | | | | | | | Pre-audit | | | | Stage 2 | | | | Total fee | | | **2 per 3yrs**  **Fee**  **Total** | | **3**  **yrs**  **Fee**  **Total** | | | **5 per 3 yrs**  **Fee**  **Total** | | |
| Days | | Fee | | | | | Days | | | Fee | Days | | Fee | |
|  | 1 | | 6000 | | | | |  | | |  | 2 | | 6000 | | 18000 | | |
| Calculation: stage1 {{ stage\_1\_manday }} + 2stage2 {{stage\_2\_manday }} MD= {{ MANDAY }} MD | | | | | | | | | | | | Signature LAV KAUSHIK  {{ contract\_review\_Date }} | | | | | | |
| Initial Audit Tick the appropriate row and assign reason Reassessment | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Effective Number of Personnel | Audit Duration  Stage 1 + Stage 4 (Days) | | | | | | | | | | | | | Effective Number of Personnel | | | Audit Duration  Stage 1 + Stage 2 (Days) | | | | | | | | | | |  |
|  | HIGH | | | MEDIUM | | | LOW | | | | Lim | | |  | | | HIGH | | MEDIUM | | | LOW | | | | Lim | |  |
| 1-5 | 3 | | | 2.5 | | | 2.5 | | | | 2.5 | | | 626-875 | | | 17 | | 18 | | | 10 | | | | 6.5 | |  |
| 6-10 | 3.5 | | | 3 | | | 3 | | | | 3 | | | 876-1175 | | | 19 | | 15 | | | 11 | | | | 7 | |  |
| 11-15 | 4.5 | | | 3.5 | | | 3 | | | | 3 | | | 1176-1550 | | | 20 | | 16 | | | 12 | | | | 7.5 | |  |
| 16-25 | 5.5 | | | 4.5 | | | 3.5 | | | | 3 | | | 1551-2025 | | | 21 | | 17 | | | 12 | | | | 8 | |  |
| 26-45 | 7 | | | 5.5🗹 | | | 4 | | | | 3 | | | 2026-2675 | | | 23 | | 18 | | | 18 | | | | 8.5 | |  |
| 46-65 | 8 | | | 6 | | | 4.5 | | | | 3.5 | | | 2676-3450 | | | 25 | | 19 | | | 14 | | | | 9 | |  |
| 66-85 | 9 | | | 7 | | | 5 | | | | 35 | | | 3451-4350 | | | 27 | | 20 | | | 15 | | | | 10 | |  |
| 86-125 | 11 | | | 8 | | | 5.5 | | | | 4 | | | 4351-5450 | | | 28 | | 21 | | | 16 | | | | 11 | |  |
| 126-175 | 12 | | | 9 | | | 6 | | | | 4.5 | | | 5451-6800 | | | 30 | | 23 | | | 17 | | | | 12 | |  |
| 176-275 | 18 | | | 10 | | | 7 | | | | 5 | | | 6801-8500 | | | 32 | | 25 | | | 19 | | | | 18 | |  |
| 276-425 | 15 | | | 11 | | | 8 | | | | 5.5 | | | 8501-10700 | | | 34 | | 27 | | | 20 | | | | 14 | |  |
| 426-625 | 16 | | | 12 | | | 9 | | | | 6 | | | >10700 | | | Follow progression above | | | | | | | | | | | |
| **NOTE:** | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

**Doc. No: KAF-15 2024.01**

**No conflict of interest agreement**

|  |  |  |  |
| --- | --- | --- | --- |
| Organization | {{ Organization\_Name }} | Audit No. | {{ audit\_number }} |
| Audit type | 🗹 Initial (Reassessment), ⬜ On-site, ⬜ Re-audit, ⬜ ( )1st surveillance  ⬜ Change, ⬜ Special surveillance, ⬜ Others( ) | | |
| Audit duration | Stage 1 Audit : {{ Stage\_1\_Date }}  Stage 2Audit (Ressassement or Surveillance) :{{ Stage\_2\_Date }} | | |

As here I am designated auditor, I confirm that I have not provided any consulting or other services to or on behalf of above client during 2 years period prior to the date hereof.

I will not provide consulting to above organization being audited during the audit and registration.

I have no following relationship with above organization in the past, present and future. If any relationship is expected in the future I will report it to KVQA ASSESSMENT PRIVATE LIMITED’s.

To have working experience within recent 2years

To hold more than 3% of the stock

To have contract for supply or purchase of the products (when subcontracted with above organization)

To have relations with organization’s executives which can affects the audit

I will not take any bribes from auditee or look on such behavior of others, when known.

I will comply with auditor’s obligations and KVQA ASSESSMENT PRIVATE LIMITED ’s regulations.

I declare to keep confidentiality of clients.

|  |  |  |  |
| --- | --- | --- | --- |
| Name | Organization belongs to | Signature/Date | Remark |
| {{ Lead\_Auditor }} | KVQA |  |  |
| {{ Auditor }} | KVQA |  |  |
|  |  |  |  |
|  |  |  |  |

**Doc. No: KAF-05 2024.01**

**Report of Document review audit**

|  |  |  |  |
| --- | --- | --- | --- |
| **Organization:** | {{ Organization\_Name }} | **Audit No:** | {{ audit\_number }} |
| **Lead Auditor:** | {{ Lead\_Auditor }} (sign) | **Audit date:** | {{ Stage\_1\_Date }} |
| **Auditor:** | {{ Auditor }} (sign) | **Audit Trainee:** | (sign) |
| **Confirmed by MR:** | {{ MR\_Name }} (sign) |  |  |

The following details were reviewed by KVQA ASSESSMENT PRIVATE LIMITED auditor and agreed with organization.

(When changes occurred, it is agreed that initial contract is changed to as follow.)

I. Audit criteria

□ ISO 9001: 2015 □ OH&S 45001:2018

🗹 ISO 14001:2015 □ ISO 27001:2022

II. Certification audit scope: Refer to “Confirmation of certification scope.

Scope: {{ Scope\_s }}.

|  |  |  |
| --- | --- | --- |
| **S.NO.** | **DETAILS** | **AUDITOR’S COMMENTS** |
| a) | Audit the client’s management documentation with Needs and expectation of Interested parties along with the internal and external issues. | The organization Environmental management manual was verified in this documents, Ref: - {{ manual\_number }}. Date: {{ manual\_date }}  Company Environmental management procedure was verified in Ref: {{ procedure\_number }}.  Organization all EMS internal and external issue was verified and documented in this documents Ref: {{ INTERNAL\_ISSUE\_NO }} on this date {{ manual\_date }}.  Internal Issue: {{ INTERNAL\_ISSUE }}  External Issue: {{ EXTERNAL\_ISSUE }}   Organization is interested parties and there need and expectation in organization system documented information Ref: {{interested\_parties\_NO }}Date: {{ manual\_date }}Interested Parties: {{ interested\_parties }} |
| b) | Evaluate the organization's location and scope | The scope of the organization is “  Name of Organization - {{ Organization\_Name }}  Address - {{ Address }}  SCOPE- {{ Scope\_s }}.  Records is evident in Ref: {{ manual\_number }} and records is verified in Date: {{ manual\_date }} |
| c) | Review status and understanding regarding requirements of the standard- identification of key performance processes, objectives, and opportunities and operation of the management systems (site specific condition) | The Environmental Management System (EMS) is established through the EMS manual {{ manual\_number }} for the  {{ PROCESS }}  The organization has defined all related work processes in various Work Instructions (WI) and Process Flow Charts (PFC).  These are referenced in: {{ procedure\_number }}  The organization EMS objective plan was verified with achieving plan record was evident in Ref: {{ objective\_NO }}  {{ EMS\_OBJECTIVE }} |
| d) | Review the status of the Aspect &Impact along with the Risk &Mitigation plan | The organization risk register was verified in Ref: {{ risk\_register\_NO }}  {{ risk\_AND\_MITIGATION }}  The organization is verified Aspect and Impact register was verified in Documents Ref: {{ ASPECT\_IMPACT\_NO }}  {{ EMS\_ASPECT\_IMPACT }} |
| e) | Identify regarding scope of the management system and related applicable Legal Requirements and Client specific Condition related to EMS | Company Name: {{ Organization\_Name }}.  Registered Address: {{ Address }}  The organization legal register was verified In Ref: {{ legal\_REGISTER\_NO }}  {{ legal\_LICENSE }} |
| f) | Planning the stage 2 audit by gaining a sufficient understanding of the organization's management system and site operations in the context of possible significant aspects; | {{ Planning\_the\_stage\_2}} |
| g) | Evaluate if the internal audits and management review performed and that the level of implementation of the management system substantiates that the client organization is ready for the stage 2 audit. | The organization Internal audit is scheduled every 6 months, records are verified in internal auditing. Ref: {{ Internal\_Audit\_NO }}  I-A conduct is {{ Internal\_Audit\_Date }}.  During internal audits, objective evidence is effectively collected, and audit results are discussed with the Company Proprietor during management review meetings.  Audit details:  Internal Audit Number: {{ Internal\_Audit\_NO }}.  Internal Audit Date: {{ Internal\_Audit\_Date }}.  Frequency of internal audit: 6 monthly  Internal Auditor Name: {{ Internal\_Auditor\_name }}  Qualification & Experience of Internal Auditor: {{ Auditor\_Qualification }}  During the auditor auditor was found 1 Minor NC and few of point of improvements.  {{ Non\_conformity }}  The MRM for this period is scheduled for {{ MRM\_Date }}, and the MRM agenda points related to EMS standards will be verified.  {{ MRM\_Agenda }}  Reference: {{ MRM\_NO }} and Records is verified on date: {{ MRM\_Date }}. |

III. The stage 1 objectives are met.

The company is recommended for stage 2 audit.

IV. Other further records

(Appropriateness of audit days, Necessity of technical expert, Product standards/statutory regulation etc.)

⏵The lead auditor shall submit report of document review audit and confirmation of certification scope to KVQA ASSESSMENT PRIVATE LIMITED and the client.

⏵ All the records recorded in audit shall not disclose to any person or entity without co sent of an applicant, except upon request from Accreditation body for its evaluation of KVQA ASSESSMENT PRIVATE LIMITED. Certification procedures.

⏵Distribution to: Applicant (Management representative), KVQA ASSESSMENT PRIVATE LIMITED

Other evaluation to confirm contract review

1. The number of employees, Shift& Complexity is as per Application &Contract review 🗹 Yes □ No

Comment if no:

1. Audit required in night shift □ Yes 🗹 No
2. If temporary site applicable □ Yes 🗹 No.

Comment if Yes:

It was agreed with the client that Ireland team will connect as per IST.

RESULTS OF TECHNICAL REVIEW OF STAGE 1 REPORT

|  |  |
| --- | --- |
| 1. Technical review carried by 🗹 Lead Auditor □ Independent Auditor | |
| 1. The number of employees, Shift & Risk Category is as per 2. application review | 1. 🗹 Yes □ No |
| Comment on Stage 2 Planning, Resources requirements and  Readiness | The client has been advised to submit the compliance of  the observation.   1. The client is overall ready for stage 2 audit. |

**Doc. No: KAF-06 Form 2024.01.**

|  |  |  |
| --- | --- | --- |
| **Document review table**  (Environmental System) | Audit no. | {{ audit\_number }} |
| 1st review date | {{ Stage\_1\_Date }} |
| 2nd review date |  |
| 3rd review date |  |

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| Element | | Title | | Review result(1st) | | Review result (2nd) | | Review result (3rd) | |
| Conform | Non-conform | Conform | Non-conform | Conform | Non-conform |
|  | 4.1 | Understanding Context of the organization | | 🗹 |  |  |  |  |  |
| 4.2 | Understanding the needs and expectation of Interested Parties | | 🗹 |  |  |  |  |  |
| 4.3 | Scope of EMS | | 🗹 |  |  |  |  |  |
| 4.4 | EMS | | 🗹 |  |  |  |  |  |
| 5.1 | Leadership & Commitment | | 🗹 |  |  |  |  |  |
| 5.2 | Environment Policy | | 🗹 |  |  |  |  |  |
| 5.3 | Roles Responsibility & Authority | | 🗹 |  |  |  |  |  |
| 6.1 | Actions to Address Risk & Opportunity | |  | 🗹 |  |  |  |  |
| 6.2 | Environmental objective | | 🗹 |  |  |  |  |  |
| 7.1 | Resources | | 🗹 |  |  |  |  |  |
| 7.2 | Competence | | 🗹 |  |  |  |  |  |
| 7.3 | Awareness | | 🗹 |  |  |  |  |  |
| 7.4 | Communication | | 🗹 |  |  |  |  |  |
| 7.5 | Documented Information | | 🗹 |  |  |  |  |  |
| 8.1 | Operational planning and Control | | 🗹 |  |  |  |  |  |
| 8.2 | Emergency Preparedness & Response | | 🗹 |  |  |  |  |  |
| 9.1 | Monitoring, Measurement, Analysis& Evaluation | | 🗹 |  |  |  |  |  |
| 9.2 | Internal Audit | | 🗹 |  |  |  |  |  |
| 9.3 | Management Review | | 🗹 |  |  |  |  |  |
| 10.1 | Improvement, General | | 🗹 |  |  |  |  |  |
| 10.2 | Non-Conformity & CA | | 🗹 |  |  |  |  |  |
| 10.3 | Continual Improvement | |  |  |  |  |  |  |
| ▶ Data relevant to audit | | | | | | | | | |
| Management review date | | | {{ MRM\_Date }} | | | | | | |
| Internal (Environmental) audit date | | | {{ Internal\_Audit\_Date }} | | | | | | |
| Other necessary details | | |  | | | | | | |
| ▶Please mark where conformity.  ▶When internal audit and management review are not carried out, non-conformity thereof shall be described in “Document review result”, and it shall be done before on-site audit. | | | | | | | | | |

**Doc. No: KAF-13 2024.01**

##### Stage 1 Audit schedule

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Organization name** | {{ Organization\_Name }} | | Audit no. | {{ audit\_number }} | Revision | | 0 |
| **Address** | {{ Address }} | | | | | | |
| **Temporary Sites** | {{ Temp\_Address }} | | | | | | |
| **Scope** | {{ Scope\_s }}. | | | | | | |
| Date:{{ Stage\_1\_Date }} | Time | Auditing Elements (departments) Per Each Auditor | | | | Standard 14001:2015 | |
| **Lead Auditor: {{ Lead\_Auditor }}** | | **Auditor: {{ Auditor }}** | |  | | |
|  | 10:00 to 10:30 | Opening Meeting/site tour | | Opening Meeting/site tour | | **5.1, 5.2** | | |
| 10:30 to 11:30 | Internal Audit/MRM | | Internal Audit/MRM | | **5.2,5.3, 9.2** | | |
| 11:30 to 12:00 | Management System documents | | Management System documents | | **4.1,4.2,4.3,4.4** | | |
| 12:00 to 1:00 | Management System documents | | Management System documents | | **6.1,6.2** | | |
| 1.00 to 2.00 | Lunch | | | |  | | |
| 2:00 to 4:00 | Management System documents | | Management System documents | | **7.1,7.2,7.3** | | |
| 4:00 to 5:00 | Management System documents | | Management System documents | | **8.1,8.2** | | |
| 5:00 to 5:30 | Top Management | | Top Management | | **5.3** | | |
| 5:30 to 6:00 | Closing Meeting | | | | **10.1** | | |
| Date: {{ stage\_1\_schedule\_date }} | | Lead Auditor: {{ Lead\_Auditor }} | | | | | |

Audit Objective: - The Audit Shall be carried on the basis of the requirement of the Standard, Evaluation of the ability of the Organization to meet applicable Statutory, Regulatory, Contractual requirements, meeting Objectives and Identification of Potential improvement of Management System. The above to be reported under the respective clauses in the Audit summary.

Stage shall focus on

(a) review the client’s management system documented information;

(b) Evaluate the client’s site-specific conditions and to undertake discussions with the client’s personnel

To determine the preparedness for stage 2;

(c) Review the client’s status and understanding regarding requirements of the standard, in particular

With respect to the identification of key performance or significant aspects, processes, objectives

And operation of the management system;

(d) Obtain necessary information regarding the scope of the management system, including:

— the client’s site(s); — processes and equipment used; — levels of controls established (particularly in case of multisite clients); — applicable statutory and regulatory requirements;

(e) review the allocation of resources for stage 2 and agree the details of stage 2 with the client;

(f) provide a focus for planning stage 2 by gaining a sufficient understanding of the client’s

Management system and site operations in the context of the management system standard or

another normative document;

(g) Evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2

The audit objectives shall include:

a) determining the effectiveness of the management system;

b) ensuring that the client, based on the risk assessment, has identified the necessary ry controls; and

c) determining that the established information security objectives have been achieved

**Doc. No: KAF-07 2024.01**

**Result of document review (A.)**  Page 01/02

|  |  |  |
| --- | --- | --- |
| Organization: {{ Organization\_Name }} | Date:{{ Stage\_1\_Date }} | Audit no: {{ audit\_number }} |
| Lead Auditor: {{ Lead\_Auditor }} (sign) | Auditor: {{ Auditor }} (sign) | Trainee: (Sign) |
| Organization (representative): {{ MR\_Name }} (sign) | | |

The following details relate to omissions or potential deficiencies in the Management system, which will be investigated in more detail during on-site audit and may result in nonconformity. Failure to take corrective action in respect of these nonconformity or observations, therefore, will prevent a recommendation for approval being made.

The action shall be taken 10 days before on-site audit and please inform KVQA ASSESSMENT PRIVATE LIMITED. The validation thereof will be performed in on-site audit, and if nonconformity is indicated, CAR will be drawn up.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Element | Manual, Procedures | | Classification | Nonconformity or observation  (for auditor to fill) | Action summary  (for organization to fill) | Action confirm |
| Doc no. | Clause |
| 4.0 | {{ manual\_number }} |  | C |  |  |  |
| 4.2 | {{ manual\_number }} |  | C |  |  |  |
| 4.3 | {{ manual\_number }} |  | C |  |  |  |
| 4.4 | {{ manual\_number }} |  | C |  |  |  |
| 5.1 | {{ manual\_number }} |  | C |  |  |  |
| 5.2 | {{ manual\_number }} |  | C |  | . |  |
| 5.3 | {{ manual\_number }} |  | C |  |  |  |
| 6.1 | {{ manual\_number }} |  | NC | Environmental aspect register is prepared, but not all indirect aspects (such as logistics and related outsourced activities) are detailed. | Establish documented criteria to evaluate significance of indirect aspects (emissions from transport, packaging waste from suppliers, energy use by contractors, etc.). | C  25/06/2025 |
| 6.2 | {{ manual\_number }} |  | C |  |  |  |
| 6.3 | {{ manual\_number }} |  | C |  |  |  |
|  | | | | | | |

**Doc. No: KAF-07 2024.01**

**Result of document review (B)**

Page: 02 /02

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Element | Manual, Procedures | | Classification | Nonconformity or observation  (for auditor to fill) | Action summary  (for organization to fill) | Action confirm |
| Doc no. | Clause |
| 7.1 | {{ manual\_number }} |  | C |  |  |  |
| 7.2 | {{ manual\_number }} |  | C |  |  |  |
| 7.3 | {{ manual\_number }} |  | C |  |  |  |
| 7.4 | {{ manual\_number }} |  | C |  |  |  |
| 7.5 | {{ manual\_number }} |  | C |  |  |  |
| 8.1 | {{ manual\_number }} |  | C |  |  |  |
| 8.2 | {{ manual\_number }} |  | C |  |  |  |
| 9.1 | {{ manual\_number }} |  | C |  |  |  |
| 9.2 | {{ manual\_number }} |  | C |  |  |  |
| 9.3 | {{ manual\_number }} |  | C |  |  |  |
| 10.1 | {{ manual\_number }} |  | C |  |  |  |
| 10.2  . | {{ manual\_number }} |  | C |  |  |  |
| 10.3 | {{ manual\_number }} |  | C |  |  |  |

**Doc. No: KAF-12 2024.01**

**Stage-2 AUDIT SCHEDULE**

|  |  |  |  |
| --- | --- | --- | --- |
| **Organization** | {{ Organization\_Name }} | **Audit. No.** | {{ audit\_number }} |
| **Address** | {{ Address }} | | |
| **Temp site.** | {{ Temp\_Address }} | | |
| **Scope** | {{ Scope\_s }} | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Date:** {{ Stage\_2\_Date }} | **Time** | **Assessment Areas** | | | |
| **[Lead Auditor: {{ Lead\_Auditor }}]** | **[Auditor: {{ Auditor }}]** | Standard ISO 14001:2015 |
| **Day1**  DAY 2 | **10:00 ~ 10:30 Hrs** | Opening Meeting /site tour & discussion of stage 1 reports | | **4.1, 8.1, 7.3, 9.2, 9.3** |
| **10:30 ~ 11:30 Hrs** | HR/Training | Competence |
| **11:30 ~ 12:30 Hrs** | Legal of Compliance & Competence | Mgmt. System- I-A/MRM | **9.1.2 4.4, 6.1.3,8.1,8.2** |
| **12:30 ~ 13:00 Hrs** | Environmental Aspects & Impacts | Emergency Preparedness & Response |
| **13:00 ~14:00 Hrs** | LUNCH BREAK | | **8.1** |
| **14:00 ~ 16:30 Hrs** | Operation Control | Operation Control |
| **16:30 ~ 17:00 Hrs** | Sales and Marketing | Store and purchase | **6.2** |
| **17:00 ~ 17:30 Hrs** | Closing of the Day | |  |
| **Day2** |  | **[Lead Auditor:**  **{{ Lead\_Auditor }}]** | **[Auditor:**  **{{ Auditor }}]** |  |
| **10:00 ~ 10:30 Hrs** | Opening of the Day | Opening of the Day |  |
| **10:30 ~ 12:30 Hrs** | Waste Management & Pollution Control | Environmental management plan | **6.1, 6.1.2** |
| **12:30 ~ 13:00 Hrs** | Operational Control | Operational Control | **8.1,8.2** |
| **13:00 ~14:00 Hrs** | LUNCH BREAK | |  |
| **14:00 ~ 16:30 Hrs** | Maintenance | Calibration & Maintenance | **7.1.5** |
| **16:30 ~ 17:00 Hrs** | Top Management | Top Management | **5.1,5.2, 5.3** |
| **17:00 ~ 17:30 Hrs** | Closing Meeting | | **10.1, 10.2** |
| Date: **{{stage\_2\_schedule\_date}}** | | Lead Auditor: {{ Lead\_Auditor }} | | |

**Audit Objective: -** The Audit Shall be carried on the basis of the requirement of the Standard, Evaluation of the ability of the Organization to meet applicable Statutory, Regulatory, Contractual requirements, meeting Objectives and Identification of potential improvement of Management System. The above to be reported under the respective clauses in the Audit summary.

Stage 2 focus on implementation, including effectiveness, of the client’s management system. The stage 2 shall take place at the site(s) of the client. It shall include the auditing of at least the following:

a) information and evidence about conformity to all requirements of the applicable management

system standard or other normative documents;

b) performance monitoring, measuring, reporting and reviewing against key performance objectives

and targets (consistent with the expectations in the applicable management system standard or

other normative document);

c) the client’s management system ability and its performance regarding meeting of applicable

Statutory, regulatory and contractual requirements;

d) operational control of the client’s processes;

e) internal auditing and management review;

f) management responsibility for the client’s policies

The audit objectives shall include:

a) determining the effectiveness of the management system;

b) ensuring that the client, based on the risk assessment, has identified the necessary controls; and

c) determining that the established information security objectives have been achieved.

**Doc. No: KAF-08 2024.01**

**Stage 2 audit report**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Organization** | {{ Organization\_Name }} | | **Director** | {{ Director\_Name }} | | **Audit No.** | {{ audit\_number }} |
| **Address** | {{ Address }} | | | | | | |
| **Temp Site** | {{ Temp\_Address }} | | | | | | |
| **Audit type** | 🗹 Initial (Reassessment), 🗹 On-site, ⬜ Re-audit, ⬜ ( )1st surveillance  ⬜ Change, ⬜ Special surveillance, ⬜ Others ( ) | | | | | | |
| **Certification scope** | {{ Scope\_s }}. | | | | | | |
| **IAF Code** | {{ IAF\_CODE }} | | | | | | |
| **Standard** | ISO 9001:2015,🗹 ISO 14001:2015, OHSMS 45001:2018, ISO 27001:2022 | | | | | | |
| **Audit day** | {{ Stage\_2\_Date }} | | | | | | |
| **Audit team** | Lead auditor | Auditors | | | Audit trainee | | |
| {{ Lead\_Auditor }} (sign) | {{ Auditor }} | | | ………….. (sign) | | |
| **Next audit** | Follow-up or re-audit | ⬜ Document, On-site( ) ⬜ Re-audit( ) | | | | | |
| Surveillance or reassessment | Date: {{ Surveillance\_1\_date }} Audit type: ( I Surv) audit | | | | | |
| **Result**  **of follow-up audit** | Summary ( ⬜Onsite confirm, ⬜Document confirm)  The client has implement/Not implemented the CAR  Date: Auditor: (signature) | | | | | | |

Attachment

|  |  |
| --- | --- |
| 1. Audit summary (KAF-09) 2. Attendance sheet (KAF-10) 3. Stage 2 Audit schedule(KAF-12) 4. Confirmation of certification scope(KAF-14) 5. No conflicts of interest agreement(KAF-15) 6. Surveillance program(KAF-17) 7. CAR register (KAF-18) | 1. Corrective action request (CAR)(KAF-19) 2. Observation reports (KAF-20) 3. Audit checklist 4. Others ( )   ※Below forms shall be distributed to applicants as well   1. Guidance of Certification procedures 2. Assessment activity survey (KAF-23) |

Recipient: Registration Applicant organization, KVQA ASSESSMENT PRIVATE LIMITED. Other ( )

※ All the records recorded during audit shall be confidential and shall not disclose to any person or entity without consent of an applicant, except upon request from Accreditation body for its evaluation of KVQA ASSESSMENT PRIVATE LIMITED Certification procedures.

The audit has been done on sampling basis. The audit objectives have been met.

※ Guidance of certification procedures applies

Address KVQA ASSESSMENT PRIVATE LIMITED.

F-300, Sector-63, Noida-201301, U.P. India. Website - <www.iso-registration.com> E-Mail- Info@iso-registration.com.

**Doc. No: KAF-14 2024.01**

**Confirmation of certification scope**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Organization** | | {{ Organization\_Name }} | | | | | | | Audit No. | {{ audit\_number }} |
| **Main site (if applicable)** | | | | |  | | | | | |
| **Address** | | {{ Address }} | | | | | | | | |
| **Sites or factories**  **(if there is further)** | | | | | |  | | | | |
| **Temp. Address** | | | {{ Temp\_Address }} | | | | | | | |
| **Standards** | | | ISO 9001:2015,🗹 ISO 14001:2015, OH&S 45001:2018, ISO 27001:2022 | | | | | | | |
| **Certification scope**  **(clearly describe site, product, activities and services)** | | | {{ Scope\_s }}. | | | | | | | |
| **ISO 14001:2015** | | | Element N/A | | | |  | | | |
| Work  (if applicable) | | | | ⬜Design/Development 🗹 Manufacture ⬜ Sales ⬜ Service | | | |
| ⬜ Same as what is identified in document review audit.  ⬜ Different from what is identified in document review audit. (Re-fill the form or rectify it with your  signature on it)  Explain the reason of change | | | | | | | | | | |
| **Confirm** | **Stage 1Audit** | | | Date: {{ Stage\_1\_Date }}  Prepared by: MR. (sign)  (Management representative)  {{ MR\_Name }} | | | | Date: {{ Stage\_1\_Date }}  Confirmed by: LA. {{ Lead\_Auditor }} (sign)  (Lead auditor) | | |
| **Stage 2Audit** | | | Date: {{ Stage\_2\_Date }}  Prepared by: MR. (sign)  (Management representative)  {{ MR\_Name }} | | | | Date: {{ Stage\_2\_Date }}  Confirmed by: LA. {{ Lead\_Auditor }} (sign)  (Lead auditor) | | |
| ▶I hereby confirm the above certification scope is correct and understand and observe “Guidance of certification procedures” when registered. | | | | | | |
| ▶The above fact will be recorded on the certificate there for, you are required to fill out the forms correctly.  ▶If you have more than three on-sites including main-site the form of details for certificate of multi-site (VCF-020K) is required to be filled.  ▶This shall be submitted to KVQA ASSESSMENT PRIVATE LIMITED. At closing meeting. | | | | | | | | | | |

**Doc. No: KAF-10 2024.01**

ATTENDANCE SHEET

(Stage - 1🗹Stage – 2, Surveillance, Amendment, Re-Certification, Other…)

Audit no: {{ audit\_number }} Date: {{ Stage\_2\_Date }}

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Name** | **Title** | **Signature** | | **Name** | **Title** | **Signature** | |
| **Opening** | **Closing** | **Opening** | **Closing** |
| {{ Director\_Name }} | DIRECTOR |  |  | {{ Lead\_Auditor }} | LEAD AUDITOR |  |  |
| {{ MR\_Name }} | MR |  |  | {{ Auditor }} | AUDITOR |  |  |
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**Doc. No: KAF-09 2024.01**

**Audit summary**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Organization** | {{ Organization\_Name }} | | **Date** | {{ Stage\_2\_Date }} | **Audit No**. | | {{ audit\_number }} |
| **CAR issue** | 🗹Minor: 01 issue, Major 00 issue (Onsite confirm required: ,🗹Document confirm: ) | | | | | | |
| **Document** | Manual No. :00 Rev. No. : 00 | | | | | | |
| Evaluation | Does organization’s system comply with certification audit criteria? | | | | | (🗹Yes, □No) | |
| Was there any deviation from audit plan? If Yes Please Specify. | | | | | (□Yes, 🗹No) | |
| Are proper corrective & preventive actions taken according to the results of internal audit? | | | | | (🗹Yes, □No) | |
| Was there any issue impacting the audit program? If Yes please specify | | | | | (□Yes, 🗹No) | |
| Is there any significant changes that can affect management system since last audit & any difference between data submitted by organization and assessed in on-site audit? | | | | | (□Yes, 🗹No) | |
| Is it assured that organization maintain and develop its system continuously? | | | | | (🗹Yes, □No) | |
| (Additional review points in reassessment)  Does all elements of system effectively interact with one another?  Is there any unresolved issue identified? If Yes Please specify.  Is it assured that organization has commitment for maintaining its system effectively? | | | | | (🗹Yes, □No)  (□Yes, 🗹No)  (🗹Yes, □No) | |
| (Additional review point in surveillance)  Is the certification mark properly used? | | | | | (□Yes, □No) | |
| Overall evaluation of audit review  (Effectiveness of the system, Requirements for improvement) The company has implemented a clear and robust environmental policy under the Environmental Management System (EMS) compliant with ISO 14001. This policy is prominently displayed across all departments and outlines specific environmental objectives focused on sustainable practices and resource conservation. The company maintains a well-updated Legal Register to ensure continuous compliance with all relevant environmental regulations and standards.  The EMS framework prioritizes pollution prevention, waste reduction, and the sustainable use of resources. Key initiatives include minimizing waste generation through advanced recycling programs, reducing energy consumption by adopting energy-efficient technologies, and decreasing emissions through cleaner production processes. The company is dedicated to continuously improving its environmental performance, regularly reviewing and updating its practices to align with the latest environmental standards and innovations.  During the audit, one minor Corrective Action Request (CAR) was raised, and management has already initiated steps to resolve it. Follow-up on the CAR will be conducted in the next surveillance audit.  Based on current audit findings, the EMS remains effective and well-maintained. The company is recommended for continued ISO 14001:2015 certification until the next scheduled surveillance review. | | | | | | |
| **Audit**  **Result** | 🗹 Recommend certification for initial audit; maintain its certification for surveillance.  As your system is proper and effectively practiced, certification is recommended subject to the closure of non-conformance.  ⬜ After document audit as follow-up, it will be resolved  Your system is practiced without any serious major non-conformity as shown from CAR issue. You are required to submit the result of corrective action taken, which includes corrective action, analysis of the reason, and preventive action to KVQA ASSESSMENT PRIVATE LIMITED. within 1month. When the result is satisfactory, certification will be recommended (certification will be maintained for surveillance).The observations shall be verified in the Surveillance audit  ⬜ After on-site visit as follow-up, this will be resolved  More than 01 Minor non-conformity is found in your system as shown from above CAR issues. You are required to submit the result of corrective action taken, which includes corrective action, analysis of the reason, and preventive action to KVQA ASSESSMENT PRIVATE LIMITED. within 1month. Additional on-site visit as follow-up will be conducted and when it is satisfactory, certification will be recommended (maintained for surveillance).  ⬜ Not to satisfy with standard  Major non-conformities are found in your system as shown from above CAR issues.  Re-audit is required. | | | | | | |
| **Audit fe**e | Remitted or not? | 🗹 Yes ⬜ No (When audit fee is paid, certification will not be issued/maintained) | | | | | |

**Doc. No: KAF-17 2024.01**

**Surveillance program (EMS)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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| **Organization** | | | | {{ Organization\_Name }} | | | | | | | | | | | **Audit No.** | | | | | | | {{ audit\_number }} | | | | | | **Standard** | | | | | ISO14001:2015 | | |
| **Size** | | | | 🗹Small □Medium □Large | | | | | | | | | | | **Complexity** | | | | | | | {{ Risk\_Category }} | | | | | | **Key process** | | | | | {{ Key\_process }} | | | |
| **Scope** | | | | {{ Scope\_s }}. | | | | | | | | | | | | | | | | | | | | | | | | **No of shift** | | | | | 01 | | |
|  | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| classification | 7.2 | 7.4.1 | 9.1.1 | | | 9.1.2 | 9.2.2 | 9.3 | 9.3 | | 10.2 |  |  |  | | |  |  |  |  | | |  |  | |  |  | |  |  | |  |  | Use of certification mark | |
| 1st |  | ○ | ○ | | | ○ | ○ | ○ | ○ | | ○ |  |  |  | | |  |  |  |  | | |  |  | |  |  | |  |  | |  |  | ○ | |
| 2nd |  | ○ | ○ | | | ○ | ○ | ○ | ○ | | ○ |  |  |  | | |  |  |  |  | | |  |  | |  |  | |  |  | |  |  | ○ | |
| \* “O” are mandatory records for audit in each steps.  \* This programmed has been prepared by the application reviewer/contract reviewer. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Audit Stages | | | | | Stage1 Date {{ Stage\_1\_Date }} | | | | | Stage 2 Date {{ Stage\_2\_Date }} | | | | | | S1  Date : {{ Surveillance\_1\_date }} | | | | | S2  Date : {{ Surveillance\_2\_date }} | | | | Recert | | | | | |  | | | | Remarks |
| Department / On-site | | | | | Department being audited / number of CAR issued (example; √/minor 01 .) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| DIRECTOR | | | | | √/0 | | | | | √/0 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| MR | | | | | √/0 | | | | | √/0 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| Legal & Evaluation of Compliance | | | | | √/0 | | | | | √/0 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| Aspect and Impact  EMS Risk | | | | | √/01 | | | | | √/0 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| EMP & Operational Control | | | | | √/0 | | | | | √/1 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| Emergency preparedness | | | | | √/0 | | | | | √/0 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| Training | | | | | √/0 | | | | | √/0 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| Pollution Control | | | | | √/0 | | | | | √/0 | | | | | | / | | | | | / | | | | / | | | | | | / | | | | / |
| Number of Major non-con. | | | | | 00 | | | | | 00 | | | | | |  | | | | |  | | | |  | | | | | |  | | | |  |
| Number of Minor non-con | | | | | 01 | | | | | 01 | | | | | |  | | | | |  | | | |  | | | | | |  | | | |  |
| Signature | | | | |  | | | | |  | | | | | |  | | | | |  | | | |  | | | | | |  | | | |  |
| Date | | | | | {{ Stage\_1\_Date }} | | | | | {{ Stage\_2\_Date }} | | | | | |  | | | | |  | | | |  | | | | | |  | | | |  |
| 1. Additional drawing up of form will be required if necessary.  2. When Surveillance program is changed, lead auditor re-fill out the form or add changes into from referring to previous one. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

|  |  |  |
| --- | --- | --- |
| Audit Stage | Review done by | Additional Comments |
| Stage 1 | {{ Lead\_Auditor }} |  |
| Stage 2 | {{ Lead\_Auditor }} |  |
| S1 |  |  |
| S2 |  |  |
| Recertification |  |  |

Attachment: □Previous audit records (confirmation of certification scope, audit matrix. CAR register, CAR)

※If you are short of space, you may use 2 sheets.

When it comes to last surveillance, please prepare and attach application forms for reassessment.

In Case of Multisite;

|  |
| --- |
| Please list down |
| Processes/activities provided on each site |
| Sites which are sampled and which are not |
| Sites which are covered by sampling, and which are not |

Additional Notes for Multisite:

All sites shall be subject to the organization’s internal audit programme

The audit programme shall be designed to ensure that all processes covered by the certification scope are audited over each cycle

Note: This audit program may be revised if

— complaints received by the certification body about the client;

— combined, integrated or joint audit

— changes to the certification requirements;

— changes to legal requirements;

— changes to accreditation requirements;

— organizational performance data (e.g. defect levels, key performance indicators data);

— relevant interested parties’ concerns

|  |  |
| --- | --- |
| **Doc. No: KAF-18** | **2024.01** |

**Car Register**

Audit: {{ audit\_number }}Page: 01/01

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Audit type** | **CAR No** | **Non-conform**  **Type** | **Issued by** | **Issue**  **Date** | **Confirmed by** | **Confirm**  **Date** | **Closure** | **Closure**  **date** |
| INITIAL | 01 | MINOR | {{ Lead\_Auditor }} | {{ Stage\_2\_Date }} | {{ MR\_Name }} | {{ Stage\_2\_Date }} | YES | {{ Closure\_Date }} |
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**Doc. No: KAF-19 2024.01**

**Corrective Action Request (CAR)**

Issue no: 01 /01

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Organization** | {{ Organization\_Name }} | | | **Audit no.** | {{ audit\_number }} | | | **Issue date** | {{ Stage\_2\_Date }} |
| **Applicable**  **Standards** | 🗹ISO 14001: 2015 | | | | | **Applicable**  **Clause** | | 8.1 | |
| **Division** | | Operation planning and Control | |
| **Auditor** | | {{ Lead\_Auditor }} (signature) | |
| **Audit type** | 🗹 Initial, 1st surveillance  Others ( ) | | | | | **Non- conformity**  **Grade** | | 🗹 Minor nonconformity  Major nonconformity | |
| **Non-conformity** ( Confirm with on-site visit ,🗹 Confirm with document)  … | | | | | | | | | |
| Lead auditor: {{ Lead\_Auditor }} (sign) | | | Management Representative: {{ MR\_Name }} (sign) | | | | | | |
| **Analysis** (Basic reason for occurring nonconformity  …. | | | | | | | | | |
| **Corrective action** ( Plan, Result (Attachment Yes No)  … | | | | | | | | | |
| **Management Representative**: {{ MR\_Name }} (sign) | | | | | | | Date: {{ Stage\_2\_Date }} | | |
| **Follow-up audit**  **Auditor:**  **Date:** | | (document confirm on-site confirm)  {{ Lead\_Auditor }} (sign)  {{ Closure\_Date }} | | | **Validation**  **Auditor:**  **Date:** | | {{ Lead\_Auditor }} (sign) | | |
| 1. The result of corrective action taken shall be submitted to KVQA ASSESSMENT PRIVATE LIMITED within 1 month after CAR issued. 2. The result of corrective action taken shall be verified by on-site audit (major nonconformity) or document review (minor nonconformity), if it is not made within 3 months re-audit will be required. | | | | | | | | | |

**Doc. No: KAF-20 2024.01**

**Observation reports**

**Organization:** {{ Organization\_Name }} **Audit no** {{ audit\_number }}

**Page**: 1/ 1

|  |  |  |  |
| --- | --- | --- | --- |
| Department | **Contents** | ISO  Element | Grade of NC |
|  | **Points for Improvement** |  | Observation |
|  |  |  |  |
|  |  |  | **observation** |
|  |  |  |  |
|  |  |  | **observation** |
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|  |  |  | **observation** |
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|  |  |  | **observation** |
|  |  |  |  |

**Auditor: {{ Lead\_Auditor }}** (signature.) **Audit date:** {{ Stage\_2\_Date }}

**Doc. No: KAF-23 2024.01**

ASSESSMENT ACTIVITY SURVEY

You are a very valuable source in helping KVQA and our auditors improve our service to you. Please complete this evaluation and return it to: Office Coordinator, KVQA, F-300, Sector-63, Noida-201301, U.P. India. Website - <www.iso-registration.com> E-Mail- Info@iso-registration.com.

SA (Strongly Agree) A (Agree) N (Neutral) D (Disagree) SD (Strongly Disagree)

Circle the type of assessment: Initial certification Audit or Surveillance Audit or Reassessment

Circle the Quality Standard (s): ISO 9001:2015, ISO 14001:2015, ISO 45001:2018

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
| 1.The audit time was used effectively? | * SA | A | N | D | SD |
| 2.KVQA used available resources properly? | * SA | A | N | D | SD |
| 3.The audit was well organized? | * SA | A | N | D | SD |
| 4.The communication was proper | * SA | A | N | D | SD |
| 5.There were no surprise or unwritten requirements | SA | * A | N | D | SD |
| 6. KVQA audits are value added and are helpful? | SA | * A | N | D | SD |
| 7.We will continue to use KVQA as our Registrar | * SA | A | N | D | SD |

8. Auditor evaluation:

|  |  |  |  |
| --- | --- | --- | --- |
| Audit Team | Lead Auditor  Name: {{ Lead\_Auditor }} | Auditor Name: {{ Auditor }} | Auditor Name: |
| The auditor demonstrated knowledge of the applicable standard(s)? | * SA A N D SD | * SA A N D SD | SA A N D SD |
| The auditor understood and was able to ask pertinent questions related to your industry? | * SA A N D SD | * SA A N D SD | SA A N D SD |
| The auditor was able to explain KVQA’s audit process? | * SA A N D SD | * SA A N D SD | SA A N D SD |
| The auditor’s conduct was professional? | * SA A N D SD | * SA A N D SD | SA A N D SD |

9.How can we improve our services? *Please use this area to explain weak areas from the statements above*

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Company Name/ Management Representative ({{ Organization\_Name }} / MR {{ MR\_Name }}.)

10.May we use you as a reference? Yes or No (Signature\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_)

Thank you for choosing KVQA.

**Doc. No: KAF-24 2024.01**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Form. No.** | **Audit no: {{ audit\_number }} for standard ISO** | | | | **Pages** | **Date** |
| **KAF-01** | Questionnaire | | | | 2 | {{ Questionnaire\_date }} |
| **KAF-03** | Quotation | | | | 1 | {{ Quotation\_date }} |
| **KAF-04** | Contract for Certification Audit | | | | 5 | {{ contract\_review\_Date }} |
| **KAF-02** | Contract review | | | | 1 | {{ contract\_review\_Date }} |
| **KAF-15** | No Conflict of interest agreement | | | | 1 | {{ Stage\_1\_Date }} |
| **KAF-05** | Report of Document review audit | | | | 1 | {{ Stage\_1\_Date }} |
| **KAF-06** | Document review table | | | | 1 | {{ Stage\_1\_Date }} |
| **KAF-18** | Stage1 Audit Schedule | | | | 1 | {{ stage\_1\_schedule\_date }} |
| **KAF-07** | Result of document review (A), (B) | | | | 1 | {{ Stage\_1\_Date }} |
| **KAF-12** | Stage 2 Audit Schedule | | | | 1 | {{ stage\_2\_schedule\_date }} |
| **KAF-08** | On site Audit report | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-14** | Confirmation of certification scope | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-10** | Attendance sheet | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-09** | Audit Summary | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-17** | Surveillance program | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-18** | CAR register | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-19** | Corrective action request (CAR) | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-20** | Observation reports | | | | 1 | {{ Stage\_2\_Date }} |
| **KAF-23** | Assessment activity survey | | | | 1 | {{ Stage\_2\_Date }} |
|  | Audit Checklist for standard ISO | | | |  |  |
|  | Table of Contents & Amendment sheet | | | | 3 |  |
|  | Non-conformity documents of Doc audit | | | |  | N.A |
|  | CAR compliance | | | |  |  |
| **Certification** | Committee Comments | | | |  | Date |
| **Verification Auditor** | Name & Signature Appd for std  {{ Verification\_Auditor }} | | | | HOLD OK | {{ Certificate\_Issue\_Date }} |
| **Office Coordinator** | Priti Mishra (Signature) | | | | OK | {{ Certificate\_Issue\_Date }} |
| **System Coordinator** | Signature Date | | | | HOLD OK | {{ Certificate\_Issue\_Date }} |
|  | Certificate No.  {{ Certificate\_No }} | | Date of Issue: {{ Certificate\_Issue\_Date }} | |  |  |
| **Sender** | Signature of sender | | | | Date | {{ Certificate\_Issue\_Date }} |
| **Auditor** | **Lead Auditor: {{ Lead\_Auditor }}** | **Auditor: {{ Auditor }}** | | Expert: |  |  |
|  |  |  | |  |  |  |
| **CAR Closed By** | {{ Lead\_Auditor }} | | | | Date | {{ Certificate\_Issue\_Date }} |
| **Confirmed By** | {{ Verification\_Auditor }} | | | | Date | {{ Certificate\_Issue\_Date }} |
| **Comments by decision maker** | All NCs were resolved on time. The OHSE Manager’s signature was missing on the EMP; staff training and a responsible person are required for updates. Initially missed NC details were later identified and closed by the auditor. | | | |  |  |

**KVQA ASSESSMENT PRIVATE LIMITED AUDIT COMPLETION & CERTIFICATION RECORD**