

ASSESSMENT CHECKLIST

1. LEADERSHIP

Opportunities for Improvement

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S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
1.1	▪ Roles & Responsibilities at all levels are clearly defined & documented			
1.2	▪ Organogram is established			
1.3	▪ Organisational Performance including regulatory compliances, quality, product & occupational safety and environmental performance is reviewed regularly for compliance and meeting the set objectives			

2. SWACHH WORKPLACE

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
2.1	▪ SOPs for cleaning & hygiene are in place addressing the nature of products, processes, customer & regulatory requirements			
2.2	▪ All equipment, tools, work spaces & areas are maintained clean, uncluttered & organized as per the SOPs & requirements			
2.3	▪ Cleanliness & hygiene is propagated & emphasized across the organisation			
2.4	▪ Mechanism for periodic audit for cleaning, hygiene & cleaning validation (wherever applicable) is in place			
2.5	▪ The audit results are reviewed periodically			

3. OCCUPATIONAL (WORKPLACE) SAFETY

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
3.1	Formal safety policy is in place			
3.2	- Systems are in place to ✓ identify all safety aspects and communicate regularly to all employees and contract workers ✓ impart regular safety trainings to employees and contract workers ✓ ensure that relevant PPEs are used by the employees ✓ develop safety systems, as required ✓ conduct mock drills involving employees and contract workers			
3.3	Safety forms a part of the Key Performance Indicators (KPIs) of employees			
3.4	- The organisation has implemented ✓ all relevant safety systems ✓ mechanism for investigation of accidents/incidents/near-misses with Root Cause Analysis (RCA) and Corrective & Preventive Actions (CAPA)			

	✓ periodic mock drills involving employees and contract workers ✓ re-training and re-deployment of work accident victims, if necessary, apart from compensation as per WCA ✓ periodic safety audits (internal and/or external)			
3.5	▪ Periodic review of safety systems & performance is conducted by the Senior Management			

4. MEASUREMENT OF TIMELY DELIVERY

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
4.1	▪ Adherence to process delivery contracts is measured and monitored			
4.2	▪ Mechanism to periodically review the delivery performance by the Senior management, is in place			

5. QUALITY MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
5.1	▪ Quality Policy is in place			
5.2	▪ Quality requirements for products and processes are established and monitored			
5.3	▪ Training is imparted to all relevant people			
5.4	▪ Periodic quality audits are in place			
5.5	▪ Root Cause Analysis (RCA), Corrective and Preventive Action (CAPA) processes are in place			
5.6	▪ Mechanism of Review of Quality Management System by Senior management is in place			

6. HUMAN RESOURCE MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
6.1	▪ HR Processes are defined			
6.2	▪ People development plans including induction training and employee engagement is in place for all employees			
6.3	▪ Detailed technical skill mapping in place extending to soft skills, environmental, safety and energy conservation areas backed with training for deploying people for different tasks			
6.4	▪ Review mechanism of people development plans/initiatives exists			

7. DAILY WORKS MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
7.1	▪ Process to set & review targets for Quality, Cost & Delivery (QCD) that are clearly linked with the long-term strategy, for all product lines, is established			
7.2	▪ Daily targets on QCD are suitably displayed and all relevant employees are aware			
7.3	▪ Status & trends on QCD are displayed and shared electronically			
7.4	▪ Root Cause Analysis (RCA), Corrective and Preventive Action (CAPA) processes are in place			
7.5	▪ Mechanism to review the effectiveness of Daily Works Management is in place			

8. PLANNED MAINTENANCE & CALIBRATION

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
8.1	▪ Preventive Maintenance and calibration plan, as applicable, is in place for all machines/ equipment /devices			
8.2	▪ Maintenance and calibration, as applicable are carried out periodically, as per the plan			
8.3	▪ Root Cause Analysis (RCA), Corrective and Preventive Action (CAPA) processes are in place			
8.4	▪ Trends of Mean Time To Repair (MTTR) & Mean Time Between Failure (MTBF) are reviewed			

9. PROCESS CONTROL

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
9.1	▪ All processes are proactively planned considering the process control requirements based on product, process, customer, organizational & legal requirements			
9.2	▪ SOPs for control of all critical and non-critical processes are established			
9.3	▪ Monitoring of the critical processes is in place			
9.4	▪ Root Cause Analysis (RCA), Corrective and Preventive Action (CAPA) processes are in place along with periodic review			

10. PRODUCT QUALITY & SAFETY (TESTING / CERTIFICATION)

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
10.1	▪ All relevant product quality and safety requirements are identified			
10.2	▪ The relevant product quality and safety requirements are fulfilled through requisite testing/certification, as applicable			
10.3	▪ Root Cause Analysis (RCA), Corrective and Preventive Action (CAPA) processes are in place			
10.4	▪ Mechanism of review of product quality & safety by Senior management is in place			

11. MATERIAL MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
11.1	Material management planning is based on the production requirement, nature of materials, storage conditions/requirements and to reduce environmental impact and addresses safety aspects			
11.2	Optimal inventory is maintained			
11.3	Inventory control mechanism is in place			
11.3	SOPs/processes are established for ensuring timely availability of materials and suitable handling & management of the materials to reduce contamination, damages, losses, unintended hazards etc.			
11.4	Root Cause Analysis (RCA), Corrective and Preventive Action (CAPA) processes are in place			
11.5	Mechanism to periodically review the effectiveness of Material Management Systems is in place			

12. ENERGY MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
12.1	▪ All energy sources are identified & targets are set for energy efficiency & conservation			
12.2	▪ Energy consumption is measured & recorded, timely corrective and preventive actions are taken when deviations are noted			
12.3	▪ Employees are trained in energy management			
12.4	▪ Periodic energy audits are in place			
12.5	▪ Root Cause Analysis (RCA) and Corrective and Preventive Action (CAPA) processes are in place			

13. ENVIRONMENT MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
13.1	- Systems are in place to identify and manage: ✓ the emissions, effluent discharges and waste management regulations/norms ✓ plant, equipment and systems required to meet the discharge norms and waste management requirements ✓ monitoring system for applicable parameters are in place to check compliance to norms			
13.2	Periodic Environmental audits are conducted			
13.3	Root Cause Analysis (RCA), Corrective and Preventive Actions (CAPA) processes are in place			
13.4	People are trained on Environment Management Systems			
13.5	Mechanism of periodic review for the effectiveness of Environment Management Systems by the Senior management is in place			

14. MEASUREMENT & ANALYSIS

Opportunities for Improvement

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S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
14.1	- Processes to establish targets, measure & periodically review the following by the Senior management, are in place: ✓ Defects ✓ Rework ✓ Rejection ✓ Cost of Poor Quality (COPQ) ✓ Customer Satisfaction			
14.2	Root Cause Analysis (RCA), Corrective Action and Preventive Action (CAPA) processes are in place			

15. SUPPLY CHAIN MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
15.1	▪ Formal processes are in place for selection, evaluation & development of the vendors/suppliers and other stakeholders involved in the supply chain			
15.2	▪ Energy, environment and natural resource management is propagated & emphasized across the supply chain			
15.3	▪ Mechanism to monitor and periodically review performance of the supply chain is in place for continual improvement			

16. RISK MANAGEMENT

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
16.1	▪ The organization has a comprehensive Risk Management Plan based on identification of all types of risks			
16.2	▪ Risk assessment & mitigation measures are in place for all the identified risks			
16.3	▪ Risk assessment plan & mitigation measures are reviewed periodically by the Senior management			

17. WASTE MANAGEMENT (MUDA, MURA, MURI)

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
17.1	Waste reduction plan to address Muda (7 wastes), Mura & Muri across the organisation is in place			
17.2	Targets are established for the reduction of the identified wastes			
17.3	Employees are trained on Muda, Muri & Mura			
17.4	Mechanism of monitoring, measurement and periodic review to understand trends and ensure continual reduction in waste is in place			

18. TECHNOLOGY SELECTION & UPGRADATION

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
18.1	Technology selection & upgradation is planned and reviewed proactively considering product, customer, market, regulatory & environmental requirements			
18.2	Relevant advances like digitalization, sensors, IoT, smart machines etc. are considered while planning for selection of technology or upgradation			

19. NATURAL RESOURCE CONSERVATION

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
19.1	System is in place for continuous review and management of natural resources including raw materials and processes to reduce/eliminate use of non-renewable resources and maximise use of renewable resources			
19.2	Targets are established for natural resource conservation			
19.3	Employees are trained on natural resource conservation			
19.4	Mechanism to periodically review the natural resource conservation targets and progress is in place			

20. MEASUREMENT & ANALYSIS

Opportunities for Improvement

S. No.	Requirement	Document/ Evidence Uploaded	Conformance (Yes/No)	Assessor Remark
20.1	■ Policy on Corporate Social Responsibility is in place			
20.2	■ Corporate Social Responsibility Practices are clearly defined with action plans including but not limited to: ✓ Organisational Governance ✓ Labour Practices ✓ Environment ✓ Fair Operating Practices ✓ Community Involvement & Development			
20.3	■ Mechanism to periodically review the Corporate Social Responsibility Practices by Senior Management is in place			

ASSESSMENT SUMMARY