

AUDITEE CHECKLIST FOR RSCI ASSESSMENTS

Auditees can use this checklist to prepare for an upcoming RSCI assessment.

WHAT HAPPENS IN AN RSCI ASSESSMENT?

On the day that you and the auditors agreed, auditors will arrive at your facility. The assessment will start with an opening meeting, followed by the assessment process and end with a closing meeting.



Auditees are encouraged to check the [Auditee Knowledge Hub](#) to access all the relevant documents and tools to help with preparation and improvement.

DATA TO COMPLETE BEFORE THE ASSESSMENT

- Fill in the [RSCI Auditee Profile – Pre-Assessment Info](#) – send this to the auditors
- If you have a **Drive Sustainability Self-Assessment Questionnaire (SAQ)**, send this to the auditors.

INFORMATION TO SHARE WITH AUDITORS BEFORE THE ASSESSMENT

- Any relevant **travel logistics**, as requested by auditors
- GPS coordinates** of the location of the entrance to your facility
- Any questions you may have on the **audit agenda/plan**
- All the **documents** the auditor requested to be provided before the assessment (check Annex 4 “**Required Documents List**” in the [RSCI Operations Manual](#))

STEPS TO TAKE WHEN THE AUDITOR ARRIVES

- Make relevant information is available to the auditor(s) when they arrive, including:
 - o **Names, phone numbers and locations** of the Auditee's key people, as defined by the auditor,
 - o **Maps** of the site and surrounding area,
 - o Most current **manuals, records, and documentation**, as required by the auditor
- Give the auditor(s) **access to all areas** of the facility/facilities that are considered in-scope for the Assessment (e.g., all areas that are covered under the DUNS number, dormitories, canteens, manufacturing, assembly, chemical storage areas, ...)
- Make **working hour and payment data**/documentation available. Make these datasets available also for your subcontracted employees, if applicable
- Invite appropriate staff members** to the opening meeting, closing meetings, daily wrap-ups (if applicable), and enable them to accompany the auditor(s) during site observation
- Provide the auditor(s) with **meeting room(s)**, preferably with access to a telephone/internet line, printer and copy machine
- Brief your management and staff** on the assessment process
- Emphasize that staff **will not be retaliated against** for their active participation and openness during the assessment

STEPS TO TAKE AT THE END OF THE ASSESSMENT

- Attend the closing meeting**, and invite all appropriate staff members to join you
- If the auditor identified Zero Tolerance deviations, commit to **containment actions**
- Provide your feedback** to the auditor on the findings. Ask them to add your feedback in the **Auditee Deviations Acknowledgment (ADA)** document
- Sign** the **ADA** document

STEPS TO COMPLETE WHEN THE ASSESSMENT REPORT IS RELEASED – IF YOU HAVE DEVIATIONS

- Prepare your **Corrective Action Plan (CAP)** within 30 calendar days
- Enter your CAP on [RSCI-Online](#)
- If the auditor rejects your action plan, **make the necessary revisions** within 7 calendar days
- Once your CAP is approved by the auditor, **start implementing** the corrective actions
- Initiate a follow-up** assessment within 9 months

Example of an audit agenda/plan:

| Day 1 | | | | |
|-------------|------------|---|-----------------|------------------------------|
| Time Period | Auditor(s) | Factory Person(s) Required | Activity | Relative RSCI Requirement |
| 08:30-09:00 | A/B | MR, EHS, Financial, WR, Document controller | Opening meeting | N/A (example: A.1 to A.7) |
| 09:00-10:00 | ... | ... | ... | ... |
| ... | | | | |
| ... | | | | |