



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

STAGE II AUDIT REPORT

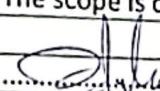
ISO 9001:2015

Torento Engineering (Pvt) Limited



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INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME STAGE II AUDIT REPORT – ISO 9001:2015

1. NAME OF ORGANIZATION : Torento Engineering (Pvt) Ltd	
2. ADDRESS OF HEAD OFFICE: No 2/A, Weboda East. Weboda	
3. ASSESSMENT SITE/S : Same as 2	
4. CONTACT DETAILS :	
4.1 Name : M. D. S. Shantha	Designation : Director
4.2 Tel : +94112972433	Mobile : +94714352842 Fax : +94115670231
4.3 E-mail : shantha@torento.biz	
5. NO. OF EMPLOYESS : 43	
6. APPLICABLE STANDARD : ISO 9001:2015	
7. FILE NO. :	
8. NACE CODE / SUBCATEGORY : C.28.1	
9. SCOPE OF CERTIFICATION : Activities pertaining to Manufacturing of industrial machines	
10. CONFIRMATION FOR SCOPE OF CERTIFICATION :	
The scope is confirmed.	
	
Signature	M.D.S. Shantha Director Management Consultant & Project Coordinator TORENTO ENGINEERING (PVT) LTD
	TORENTO ENGINEERING (PVT) LTD No. 2A, WEBODA EAST, WEBODA.
11. DATE OF AUDIT & TIME : 2018-11-12	
12. TYPE OF AUDIT : Stage II	
13. AUDIT TEAM :	
D. N. S. Kuruppumullage	Team Leader
Mihiri Fernando	Team Member
WidyaKarunaratne	Observer

DOC. NO.: QP-06-F-04 ISSUE NO. : 07 ISSUE DATE : 2016-09-15

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14. AUDIT OBJECTIVES:

The objectives of this audit were:

- to confirm that the management system conforms with all the requirements of the audit standard;
- to confirm that the organization has effectively implemented the planned management system;
- to confirm that the management system is capable of achieving the organization's policy and objectives on quality management

15. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS: None

16. ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME: None

17. AUDIT FINDINGS :

17.1 CONTEXT OF THE ORGANIZATION (4 of ISO 9001:2015):

Understanding the organization and its context (4.1 of ISO 9001:2015) :

Organization has determined the external and internal issues that are relevant to purpose and strategic direction to achieve the expected results from the quality management system. The organization is also having a mechanism to monitor and review those issues.

Understanding the needs and expectations of interested parties(4.2 of ISO 9001:2015):

Organization has identified interested parties that can affect the quality management system. The requirements of these interested parties have been determined by the organization. Organization has a system of monitoring and reviewing information of those interested parties. Some of the interested parties were not identified or analysed. The needs and expectations of such parties were not completely identified.

Determining the scope of the quality management system(4.3 of ISO 9001:2015):

Organization has determined its scope based on the external and internal issues, the requirement of the interested parties, the product and services offered as well as the requirements of the ISO 9001:2015 standard.

Quality management system and its processes (4.4 of ISO 9001:2015):

Organization has established, implemented and maintained the quality management system including the processes needed and its interaction. Organization has applied all the processes required throughout the organization with required input and expected output. The organization also has established required

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monitoring and measurement mechanism and assigned responsibilities and authorities for each requirement. The organization review and evaluates these processes to achieve intended results. Based on the risk and opportunities identified by the organization, organization implement continual improvement processes. The quality management system is also equipped with necessary documented information.

17.2 LEADERSHIP(5 of ISO 9001:2015):**Leadership and commitment (5.1 of ISO 9001:2015):**

The top management has demonstrated the leadership and commitment with respect to quality management system and was aware about their responsibilities to maintain an effective quality system as per the quality policy and quality objective established compatible with company context and the strategic direction of the company.

They also committed to promote risk based thinking throughout the organization and has taken steps to adequately provide recourses required and interested in achieving business objectives with continual improvement of established quality objectives. Director whom we have interviewed during the audit express the necessity of meeting the applicable statutory and regulatory requirements and customer satisfaction.

Policy(5.2 of ISO 9001:2015):

Company has established, implanted and maintained a quality policy that can prove satisfactory application of applicable requirements and achievement of continual improvement, but Quality policy was not covered applicable requirements need to be comply with. **(NCR 01)**

Also organization has created a company profile which gives comprehensive information about the products and services to their clients on request.

Organizational roles, responsibilities and authorities (5.3 of ISO 9001:2015):

Top management has delegated responsibility and authority for relevant personals and it is communicated with in the organization. However top management has not assigned and communicated roles and responsibilities related to reporting the performance of the quality management system and continual improvements. **(NCR 02)**

17.3 PLANNING(6 of ISO 9001:2015):**Actions to address risks and opportunities(6.1 of ISO 9001:2015):**

Company has use the issues under clause number 4.1 and the requirements under 4.2 of the standard and as determine the risk and opportunities that are arising during the planning of quality management system. These include enhance desirable effects and prevention and reduction of undesired effect while achieving the improvements. The planning also ensures integration and implementation of action in to its QMS processes with evaluation of effectiveness.

Quality objectives and planning to achieve them (6.2 of ISO 9001:2015):

Organization has established objectives and planned. The achievement of the objectives were very consistent and clear. Although quality objectives have been identified, quality plans with monitoring mechanism of the results was not evident. **(NCR 03)**

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<p>Planning of changes (6.3 of ISO 9001:2015): Organization has a mechanism to determine the changes required to quality management system and carryout the same by planning, while considering the need for change and its expected results while ensuring the integrity of QMS.</p>
<p>17.4 SUPPORT(7 of ISO 9001:2015):</p>
<p>Resources (7.1 of ISO 9001:2015):</p>
<p>General (7.1.1 of ISO 9001:2015): Organization has provided required resources for establish, implement, maintain and continually improve the quality management system by considering capabilities and constrains of existing recourses. Company has also obtained fire controlling from external providers.</p>
<p>People (7.1.2 of ISO 9001:2015): Organization also has provided personnel required to effectively implement the QMS and the activities related to QMS. To gather the status of the employees an employee satisfaction survey was conducted and results were obtained for analysis purposes.</p>
<p>Infrastructure (7.1.3 of ISO 9001:2015): Company has provided buildings, space for its intended operation with required utilities such as electricity, water, and information and communication technology. Company has also provided necessary equipment and vehicle required to transportation.</p>
<p>Environment for the operation of processes (7.1.4 of ISO 9001:2015): Company has provided necessary environment operation intern of both physical and human requirement. Company has provided adequate ventilation and light for the operation. Company also complies with the sanitary requirements for staff and the visitors. General cleanliness of the environment also has been ensured. <i>However there are many safety lapses observed in the working area such as fixing of fire extinguishers at higher positions, lack of emergency lamps in case of electricity failures, open machine belts without covers Etc. (OB 02)</i></p>
<p>Monitoring and measuring resources (7.1.5 of ISO 9001:2015): Company has provided equipment necessary to obtain valid and reliable results such as digital weigh scales, unwinding machine and steel balls. This equipment has been controlled by regular inspection and by calibration and calibration reports are available.</p>
<p>Organizational knowledge (7.1.6 of ISO 9001:2015): Available organizational knowledge is sufficient to provide the expected service. Opportunities are given to the staff to acquire required organizational knowledge through experience, failures and successes and also knowledge gained from experiences acquired from education, training and customers.</p>
<p>Competence(7.2 of ISO 9001:2015): Organization has determined the necessary competent level of staff members based on their duties and responsibilities to avoid undesired effect on performance and effectiveness of QMS. Their education, training and experience is considered for this purpose. Where ever the gap between required competence and available competence exist. The training has been performing to acquire the necessary</p>

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competency. All training records are available. *Internal audit has conducted by two auditors hired by the consultant. There is no evidence to show that those auditors are competent to perform the audit.* (OB 01)

Awareness (7.3 of ISO 9001:2015):

The organization has given awareness to all the staff members on quality policy and objectives and there expected contribution from them to the effectiveness to the quality management system including improvements.

Communication (7.4 of ISO 9001:2015):

The company has a process for internal & external communication. However there is no evidence that the organization has determined the external communication relevant to quality management system including requirements covered in 7.4 a) to e). E.g.: Suppliers and regulatory bodies. (NCR 04)

Documented information(7.5 of ISO 9001:2015):**General (7.5.1 of ISO 9001:2015):**

Company has identified documented information required by the standard and documents required to be apply for effectiveness of QMS. Company has established a documented information control system for both documents and records. Including distribution, retrieval, storage and preservation, control of changes, retention and disposition. All external documents required has been identified and controlled.

Creating and updating (7.5.2 of ISO 9001:2015):

Organization has established a system to create and update all the documents in the system. Updating and reviewing is done as required and update the same in applicable documents. Master list of documents are available.

Control of documented information (7.5.3 of ISO 9001:2015):

Organization has established a system to control all the documents and records in the system. All new documents are adopted to the document control system. Following deficiencies were found;

1. External documents used by the organization has not included in the master list of documents.
E.g.: Standards, Acts
2. The retention and disposition periods for records were not included in the master list of documents and records. (NCR 05)

17.5 OPERATION (8 of ISO 9001:2015):**Operational planning and control (8.1 of ISO 9001:2015):**

Company has planned, implemented and controlled the processes required to control the service and product provision. Company has established relevant criteria for the processes and the acceptance of service and products. As well as organization has controlled planned changes and it has noticed they have been reviewed the consequences of unintended changes and actions has taken to mitigate the same.

Requirements for products and services (8.2 of ISO 9001:2015):**Customer communication(8.2.1 of ISO 9001:2015):**

Company has been adequately addressed customer communication as it is important to their activities. Company provides information to their customers regarding to their banquet service and menus.

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Customer feedback has obtained after completion of service provided and customer complaints and enquiries have been handled in appropriate manner.

Determining the requirements for products and services (8.2.2 of ISO 9001:2015):

Company has considered about statutory and regulatory requirements when defining the requirements for product and services.

Review of the requirements for products and services (8.2.3 of ISO 9001:2015):

The customer's requirement has confirmed by the company before acceptance of the customer order and conducts review prior to committed supply product and banquet services to customers.

Changes to requirements for products and services (8.2.4 of ISO 9001:2015):

When amendment is required due to customer made aware of changing requirement for menus and banquet service, company has ensured to change such requirement and amend the relevant documented information.

Design and development of products and services (8.3 of ISO 9001:2015):**General (8.3.1 of ISO 9001:2015):**

Organization have done their design and development activities as per the customer requirements. A team has allocated for the design and developments activities of the products.

Design and development planning (8.3.2 of ISO 9001:2015):

The planning of the design and development of the product is done by the head of the design and development team. The process stages, internal and external resources for the purpose of design and development, relevant verification and validation activities and involvement of each responsible person has decided and communicated. All items have planned according to the requirements in the standard and documented.

Design and development inputs (8.3.3 of ISO 9001:2015):

Design and development inputs were provided through the customer requirements or else by referring to a similar design suggested by the customer. Related standards, statutory and regulatory requirements and potential consequences of failure due to the nature of the product were considered when getting inputs. The inputs given by the customer were documented.

Design and development controls (8.3.4 of ISO 9001:2015):

The controls were in place to regulate the design and development process to be achieved and reviewed for meeting requirements. Necessary verification and validation activities were performed and necessary actions taken for the purpose of control.

Design and development outputs (8.3.5 of ISO 9001:2015):

Organization have ensured design and development outputs meet the input requirements. The requirements stipulated in the clause 8.3.5 has fulfilled by the organization. Organization has retained the applicable documentation for the purpose of the design and development outputs.

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STAGE II AUDIT REPORT – ISO 9001:2015****Design and development changes (8.3.6 of ISO 9001:2015):**

Organization has established a system to control design and development changes. Changes will be done as per the customer requirements, such as machine operating changes and structural changes. Authorization was received by the customer for the necessary changes in the design.

Control of externally provided processes, products and services (8.4 of ISO 9001:2015):**General (8.4.1 of ISO 9001:2015):**

Company has ensured the control of externally provided services including outsourced processes, purchasing, etc. Criteria for the evaluation, selection, monitoring of performance and re-evaluation of such activities has been established and documented information of those activities are retained and controlled.

Type and extent of control (8.4.2 of ISO 9001:2015):

Externally provided processes remained within the company under controlled condition and verification of same has been carried out as it is necessary to ensure that the externally provided processes meet requirements of the company.

Information for external providers (8.4.3 of ISO 9001:2015):

Company has ensured the adequacy of requirements prior to communication to the external providers and company provided necessary information regarding the processes, product and services to be provided, competency requirement, etc.

Production and service provision (8.5 of ISO 9001:2015):**Control of production and service provision(8.5.1 of ISO 9001:2015):**

Production and service provision is carried out under controlled conditions.

Identification and traceability (8.5.2 of ISO 9001:2015):

Traceability is monitored and measured using several instruments within the process of manufacturing their products. Traceability system has implemented from the raw material stores to final product trial stage.

Property belonging to customers or external providers (8.5.3 of ISO 9001:2015):

Any item that is brought from outside by the customer will be recorded, preserve (if required) and kept with required identification and traceability until it is being used and handed over to the customer after completion of the function.

Preservation (8.5.4 of ISO 9001:2015):

All the products before delivered to the customer, are preserved in controlled and secured manner. All the records were available for each of the batch or order placed by the customer. All the raw materials were stored in the stores with a bin card system to maintain the stocks properly.

Post-delivery activities (8.5.5 of ISO 9001:2015):

Organization have implemented a process to maintain the post-delivery activities such as statutory and regulatory requirements, potential undesired consequences, the nature, intended use and customer

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requirements and feedback. Customer feedback and complaints are collected through customer satisfaction survey.

Control of changes (8.5.6 of ISO 9001:2015):

When changes required for production and services, company has reviewed requirement of the same and documented information has been retained under controlled condition. If there are changes in the initial drawing or ongoing drawings it will be added or amended in the drawing. After the modification, new revision of the design will be issued.

Release of products and services (8.6 of ISO 9001:2015):

Traceability reports and with evidence of conformity were available. Job transferring note which include the drawing and trial information, is used to control the release of the final machine. The final machinery was released to the customer after authorizing by the director or managing director after visually witnessing the trial round of the machinery. All the necessary records and documents were maintained for the purpose.

Control of nonconforming outputs (8.7 of ISO 9001:2015):

When the product or service does not ensure required output, company has controlled to prevent their unintended use or delivery to the customers. Company has taken appropriate actions to correct the nonconformity, segregation of nonconforming product and inform the customers.

The company has retained documented information regarding nonconforming situation and it describes the nonconformity, action taken and identifies the authority declining the action in respect of the nonconformity.

17.6 PERFORMANCE EVALUATION (9 of ISO 9001:2015):**Monitoring, measurement, analysis and evaluation (9.1 of ISO 9001:2015):**

The instruments like multi meters, Vernier callipers, measuring tapes and other electrical equipment which are involved in the design and production process are calibrated in timely manner and records were available.

General (9.1.1 of ISO 9001:2015):

Organization has identified the information which are to be measured, monitored and analysed. The instruments and procedures have determined and documented the same.

Customer satisfaction (9.1.2 of ISO 9001:2015):

Organization have taken actions to measure the customer perception of degree whether their expectation have met. This is measured via customer satisfaction survey and results were obtained. Customers more than 80% who participated for the survey was satisfied with the services and products of the organization.

Analysis and evaluation (9.1.3 of ISO 9001:2015):

Organization has implemented a process to analyse and evaluate the data and evaluation obtains from monitoring and measurement activities. Such as customer complain, customer satisfaction, performance of external providers, risk analysis.

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Internal audit schedule is available to maintain the continuous frequency and conducted as per the schedule. The internal audit which is scheduled on October and November was conducted and all non-conformities raised were resolved and corrective actions are have taken without a delay.

Management review (9.3 of ISO 9001:2015):**General (9.3.1 of ISO 9001:2015):**

Management review meeting was conducted within planned intervals with the participation of the top management of the organization. The quality management system was reviewed at the management review with the inputs given in the standard.

Management review inputs (9.3.2 of ISO 9001:2015):

Management review inputs stipulated in the standard were discussed. Since this meeting was the first management review meeting of the organization actions taken in previous meetings were not discussed. To analyse the effectiveness of the risk analysis, SWOT analysis of the organization was discussed during the meeting. Other inputs were discussed such as customer satisfaction, internal audits, and effectiveness of actions taken to address risks and opportunities and opportunities for improvement.

Management review output (9.3.3 of ISO 9001:2015):

Several decisions have taken according to the analysis results of the information such as customer satisfaction, internal audits, and effectiveness of actions taken to address risks and opportunities and opportunities for improvement. Responsibilities and time were allocated for each task at the management review meeting.

17.7 IMPROVEMENT (10 of ISO 9001:2015):**General (10.1 of ISO 9001:2015):**

Company has determined and selected opportunities for improvement and implemented necessary actions to meet customer requirements and to increase customer satisfaction. Other improvement actions were suggested for the wellbeing of the employees as well as to increase the effectiveness of allocated resources.

Nonconformity and corrective action (10.2 of ISO 9001:2015):

Company has taken necessary actions to addressed nonconformities and corrective actions have been implemented for such nonconformities. Company has retained documented information as evidence of the nature of the NC and any subsequent action taken and results of corrective action taken.

Continual improvement (10.3 of ISO 9001:2015):

Company is committed to continually improve the effectiveness of the management system through the use of quality policy, quality objectives audit results, analysis of data, management review, and corrective implementation.

18. APPLICABLE LEGAL REQUIREMENTS: Labour Law, Factory ordinance, Mosquito breeding act and other applicable international regulations.

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19. ANY UNRESOLVED ISSUES: None

20. OVERALL CONCLUSION OF THE AUDIT:

Audit is based on a sampling process of the available information at the point of auditing and the audit methods used were interviews, observation of activities and review of documentation and records. With consideration to the findings identified on the report the overall conclusions of the audit are as follow:

- The management system documentation demonstrated conformity with the requirements of the audit standard and provided sufficient structure to support implementation and maintenance of the management system. YES NO
- The organization has demonstrated effective implementation and maintenance /improvement of its management system. YES NO
- The organization has demonstrated the establishment and tracking of Appropriate key performance objectives and targets and monitored progress towards their achievement. YES NO
- The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system. YES NO
- The management review process demonstrated capability to ensure the continuing suitability, adequacy and effectiveness of the management system. YES NO
- Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard. YES NO

21. MAJOR NON-CONFORMITIES: None

22. MINOR NON-CONFORMITIES:

1. Quality policy was not covered applicable requirements need to be comply with. (NCR 01)
2. Top management has not assigned and communicated roles and responsibilities related to reporting the performance of the quality management system and continual improvements. (NCR 02)
3. Although quality objectives have been identified, quality plans with monitoring mechanism of the results was not evident. (NCR 03)

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4. There is no evidence that the organization has determined the external communication relevant to quality management system including requirements covered in 7.4 a) to e).
E.g.: Suppliers and regulatory bodies. (NCR 04)
5. Following deficiencies were found in document control;
 - i. External documents used by the organization has not included in the master list of documents. E.g.: Standards, Acts
 - ii. The retention and disposition periods for records were not included in the master list of documents and records. (NCR 05)

23. OBSERVATIONS:

1. *Internal audit has conducted by two auditors hired by the consultant. There is no evidence to show that those auditors are competent to perform the audit. (OB 01)*
2. *However there are many safety lapses observed in the working area such as fixing of fire extinguishers at higher positions, lack of emergency lamps in case of electricity failures, open machine belts without covers Etc. (OB 02)*

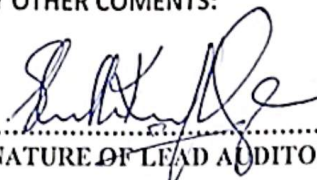
**24. RECOMENDATION FROM AUDIT TEAM:
(Strike off which is not relevant)**

The audit team concludes that the organization has / ~~has not~~ established and maintained its management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements for products / ~~services~~ within the scope and the organization's policy and objectives.

Therefore the audit team recommends that, based on the results of this audit and the system's demonstrated state of development and maturity, management system certification be:

Granted / ~~continued~~ the certification subjected to the completion and subsequent verification of corrective action for all ~~major~~/minor non conformities raised / ~~Suspended~~ until satisfactory corrective action is completed.

ANY OTHER COMENTS:


.....
SIGNATURE OF LEAD AUDITOR

.....2018-11-12
DATE

- This page is for internal purposes only.



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25. RECOMMENDATION BY AUDIT TEAM :

..... Signature of Team Leader 2018-11-22 Date
..... Signature of Team Member -1 2018-11-12 Date
..... Signature of Team Member - 2 Date

26. RECOMMENDATION BY CERTIFICATION MANAGER:

*APLNCs have been closed. ? recommended for
certification committee.*

..... Signature of Certification Manager 2018/11/21 Date
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27. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

Appd.

..... Signature of Director 2018 / 11 / 21 Date
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