



IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2015

Torento Engineering (Pvt) Ltd



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SURVEILLANCE 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 : Mr. M. D. S. Shantha Designation : Director
4.2 Tel : 0112972433 Mobile : 0714352842 Fax :
4.3 E-mail : shantha@torento.biz
5. NO. OF EMPLOYEES : 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 Industrial machines
10. DATE OF AUDIT & Time : 2019.12.04
11. TYPE OF AUDIT : Surveillance I
12. AUDIT TEAM :
Mr. D. N. S. Kuruppumullage Team Leader
Ms. S. P. Buddhika Sajeewani Team Member

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16.2 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 objectives established compatible with organizational context and the strategic direction of the organization.

Policy (5.2 of ISO 9001:2015):

The organization has established, implemented and maintained a quality policy that can prove satisfactory application of applicable requirements and achievement of continual improvement and documented.

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. Company has also assign responsibility and authority with regard to requirements of the standard ensuring that the processes are delivering there expected outputs, reporting on performance of the quality management system back to the management including opportunities for improvement.

16.3 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):

Quality objectives have been defined and established and are inline with the strategic direction.

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.

16.4 SUPPORT(7 of ISO 9001:2015):

Resources (7.1 of ISO 9001:2015):

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.

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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.

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.

Environment for the operation of processes (7.1.4 of ISO 9001:2015):

Organization has provided necessary operation environment in terms of both physical and human requirement. Adequate ventilation and light for the operation are provided. Operation also complies with the sanitary requirements for staff and the visitors.

However Few safety lapses have been observed in the workshop.(OB 01)

Ex: Height of certain stairs

Opened electrical panel board (440 V)

Monitoring and measuring resources (7.1.5 of ISO 9001:2015):

Company has provided measuring equipment such as vernier calliper, steel rule, multi meter and A. meter necessary to obtain valid and reliable results and measurements.

Although the calibration has been carried out for venire calliper, calibration report was not available at the time of audit. (NCR 01)

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.

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. There 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 competency. All training records are available.

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 identified and assign internal and external communication relevant to quality management system to different staff members depending on the responsibilities and authority down

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the hierarchy.

Documented information(7.5 of ISO 9001:2008):

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.

However it has been observed some of the documented information not reviewed prior to use.(NCR 02)

Ex: Training evaluation summary

Form for performance evaluation FO/HR/03

16.5 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 products. 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 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 products 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)

Company makes most of the products based on customer requirement which is conveyed to the company through marketing department. Product basic design is carried out by the design department and is reviewed by the Designer, production supervisor and marketing officer and submitted to the customer for validation. When the customer validation completed it is submitted to the director for approval and any changes required to the product during the design review process will be carried out

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and necessary validation and approvals are obtained.

Any changes required by the customer conveyed to the company which will be redesigned, reviewed and necessary validation and approvals are obtained. The documented information is maintained.

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 the performance of such activities has been carried out 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 are included in the quality management system and appropriate control have been implemented for both services provided and for intended output.

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

Company has mechanism to design the requirements including the quality and level of controls including communication channels and it is being conveyed to the company when the services are obtained.

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):

Company has a mechanism to identify its products at different stages of production and Job number is issued for each product to identify the production details in case of need.

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):

Company has taken necessary steps to ensure that the product manufactured is kept protected during handling, packaging, storage, transmission or transportation.

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

One Guaranty period is given for products and service is provided when required. Any repair is carried out within the guaranty period free of charge except damages to glass component. However after the

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guaranty period servicing and repaired carried out only on customer request.

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.

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

The company has a mechanism to release its products as per the customer request and in accordance with the agreement with the customer. Release of products will be authorized only after the final inspection and with the approval of the Production Manager.

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 to prevent them from using same. The necessary documented information with regard to nonconforming products, its immediate disposition, analysis of root cause and the corrective action taken is retained.

16.6 PERFORMANCE EVALUATION (9 of ISO 9001:2015):

Monitoring, measurement, analysis and evaluation (9.1 of ISO 9001:2015):

General (9.1.1 of ISO 9001:2015):

Company has determined what needs to be monitored and measured, the methods for monitoring, measurement, analysis

Customer satisfaction (9.1.2 of ISO 9001:2015):

Customer survey, customer feedback and meeting with customer have been identified as essential requirements for the evaluation of customer satisfaction.

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.

Internal audit (9.2 of ISO 9001:2015):

Organization has planned 3 internal audits per year. But Internal audit has not been conducted according to planed interval. (NCR 03)

Management review (9.3 of ISO 9001:2015):

Management review meeting has carried out annually as planned. All the inputs for conducting management review meeting minutes are stipulated in the standard have been discussed in the Management review meeting.

16.7 IMPROVEMENT (10 of ISO 9001:2015):

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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.

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

Company has taken necessary actions to address 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.

17. APPLICABLE LEGAL REQUIREMENTS: Shop and office act, legal and statutory requirements.

18. ANY UNRESOLVED ISSUES: None

19. REVIEW OF PREVIOUS AUDIT REPORT & VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES:
Previous audit reports and effectiveness of the corrective actions were verified at the audit.

20. USE OF LOGO: Logo can be used as per the terms and conditions of the certification body

21. 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

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- 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

22. MAJOR NON-CONFORMITIES: None

23. MINOR NON-CONFORMITIES:

- 01. Although the calibration has been carried out for venire calliper, calibration report was not available at the time of audit.
- 02. It has been observed some of the documented information not reviewed prior to use
Ex: Training evaluation summary
Form for performance evaluation FO/HR/03
- 03. Internal audit has not been conducted according to planed interval

24. OPPORTUNITIES FOR IMPROVEMENT:

- 01. Few safety lapses have been observed in the workshop
Ex: Height of certain stairs, Opened electrical panel board (440 V)

25. 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

.....
DATE

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• This page is for internal purposes only.

27. RECOMMENDATION BY AUDIT TEAM :

Recommended for continuation on satisfactory completion of corrective action.

.....
[Signature]
 Signature of Team Leader

.....*2019-12-04*.....
 Date

.....
[Signature]
 Signature of Team Member -1

.....*04.12.2019*.....
 Date

.....
 Signature of Team Member - 2

.....
 Date

28. RECOMMENDATION BY CERTIFICATION MANAGER:

.....
 Signature of Certification Manager

.....
 Date

29. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

.....
 Signature of Director

.....
 Date

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