



**IND-EXPO CERTIFICATION LIMITED**

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME**

**SURVEILLANCE AUDIT REPORT**

**ISO 9001:2015**

**Thilma Lanka (Pvt) Ltd**





**INDEXPO CERTIFICATION LIMITED**  
**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME**  
**SURVEILLANCE AUDIT REPORT – ISO9001:2015**

**13. AUDIT OBJECTIVES:**

The objectives of this audit were:

- to confirm that the management system continually complies with all the requirements of the audit standard;
- to confirm that the organization has effectively continue the planned management system;
- to verify whether there is any changes , Incidence that could adversely affect the management system

**15. AUDIT CRITERIA : ISO 9001:2015**

**16. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS: None**

**17. ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME: None**

**18. SIGNIFICANT CHANGES, IF ANY, THAT AFFECT THE MANAGEMENT SYSTEM OF THE COMPANY SINCE THE LAST AUDIT TOOK PLACE : None**

**19. 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.

**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 monitoring and measurement mechanism and assigned responsibilities and authorities for each requirement. The organization review and evaluates these processes to achieve intended results. Based

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Or  
ref

on the risk and opportunities identified by the organization, organization implement continual improvement processes. The quality management system is also equipped with necessary documentation 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 step 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, it is documented and communicated thorough out the organization and is available to relevant interested parties to company web site. It is also in line with the propose, context and its strategic direction that can provide framework for setting quality objectives.

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

Top management has delegated responsibility and authority for relevant personals and it 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 output, reporting on performance of the quality management system back to the management including opportunities for improvement.

**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.

•Actions taken to certain risks identified is not adequate. Ex: fire risk is identified by the company as internal issue however no evidence available for Hot work permit and suitable of trip switches are not tested regularly.

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

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Organization has established objectives and planned to achieve same resources required and personnel responsible has identified in the planning.

**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.

**17.4 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. Company has also obtained fire controlling from external providers.

**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. Company has also provided necessary equipment and vehicle required to transportation.

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

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.

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

Measuring equipment traceability and validity of results is adequately protected from adjustments, damage or deterioration that would invalidate calibration results.

**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.

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Excl**Awareness (7.3 of ISO 9001:2015):**

The organization has given awareness to all the staff members on quality policy and objectives and their 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 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. All external documents required has been identified and controlled. Certain documents are not controlled. Ex: Instruction for EC testing (NCR)

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

Company has planed, 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. No shift activities are identified.

**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 menu. Customer feedback has obtained after completion of service provided and customer complains 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.

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Design and development of products and services (8.3 of ISO 9001:2015):  
Excluded

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):

Implementation of production and service provision under control condition is adequate.

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

Company has a mechanism to identify its products at different stages of production and Order number is issued for each products 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. However Process control established for the property belonging to customers is not adequate.

Ex: certain waste of strapping providing by the customer have been dropped by the company. However there is no proper agreement of understanding with customers output regard. (8.5.3) (NCR)

Preservation (8.5.4 of ISO 9001:2015):

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

Not applicable



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

When changes required for production and services, company has reviewed requirement of the said 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 Factory 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 the 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):**

**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):**

Company has conducted internal audits annually covering all the sections to provide information on whether OH&SMS is effectively implemented. Last internal Audit was carried out by qualified and competent auditors and raised NCRs. Company had taken appropriate action to address nonconformities and to continually improve its OH&S performances.

Results of the audit have been reported to the management review meeting conducted and other relevant managers, workers and relevant interested parties and corrective actions have been taken without delay.

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

All the inputs stated in the ISO 9001:2015 standard are reviewed effectively in the Management review meeting carried out.

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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

**26. MAJOR NON-CONFORMITIES: No****27. MINOR NON-CONFORMITIES: no****28. OPPORTUNITIES FOR IMPROVEMENT: —**

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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.

**20. KEY PERSONNEL INTERVIEWED:**

Name:	Designation	Responsibilities
Dayarathne	Manager - Factory	Overall Responsibility in the Factory
Mahinda Ranjith	Supervisor- Quality and packing	Overall Responsibility in quality compliances
Madhuwantha	Manager - Operations	Overall Responsibility in operations

**21. APPLICABLE LEGAL REQUIREMENTS:** EPL,ETF,EPF, Factory ordinance**22. ANY UNRESOLVED ISSUES:** None**23. REVIEW OF PREVIOUS SURVEILLANCE AUDIT REPORTS AND VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES:****24. USE OF LOGO:** Terms and conditions are as per the certification body regulations

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28. OPPORTUNITIES FOR IMPROVEMENT: *None*


29. 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 Team Leader : 

Date: *2024/03/16*

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