



**IND-EXPO CERTIFICATION LIMITED**

**INTEGRATED MANAGEMENT SYSTEMS  
CERTIFICATION SCHEME**

**RECERTIFICATION AUDIT REPORT**

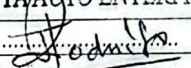
**ISO 9001:2015**

**Bopi ya Auto Enterprises**



INDEXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015

1. NAME OF ORGANIZATION : Bopitiya Auto Enterprises	
2. ADDRESS OF HEAD OFFICE : 668, Nugape, Pamunugama	
3. ASSESSMENT SITE/S : 1) Same as 2) No: 487/A, Maha Pamunugama, Pamunugama.	
4. CONTACT DETAILS :	
4.1 Name : Jude Rodrigo	Designation : Properieter
4.2 Tel : -	Mobile : 0750523741 Fax : 011-5343867
4.3 E-mail : info@bopitiyaauto.com	
5. NO. OF EMPLOYESS : 83	
6. APPLICABLE STANDARD : ISO 9001:2015	
7. FILE NO. : IMSC-QMS-12- R1	
8. NACE CODE / SUBCATEGORY : Division 29.3	
9. SCOPE OF CERTIFICATION : Activities pertaining to the manufacturing and distribution of metal and rubber motor spare parts	
10. CONFIRMATION FOR SCOPE OF CERTIFICATION :	
The scope is confirmed.	
BOPITIYA AUTO ENTERPRISES	
Signature: 	
Proprietor	
11. DATE OF AUDIT & Time : 2017-02-15	
12. TYPE OF AUDIT : Recertification	
13. AUDIT TEAM :	
D N S Kuruppumullage	Team Leader
Isuru Ilangakoon	Team Member
Kemasorooby Vasenth	Team Member
Aruna Amaradasa	Team Member

DOC. NO: QP-12-F-04

ISSUE NO: 03

ISSUE DATE: 2017-01-15

Reviewed and approved by: Director Issued by: Management Representative



**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015**

**14. 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 continued the planned management system;
- to verify whether there is any changes, incidence that could adversely affect the management system

**15. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS: No**

**16. ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME: No**

**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.

**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 reviews and evaluates these processes to achieve intended results. Based on the risk and opportunities identified by the organization, organization implements continual improvement processes. The quality management system is also equipped with necessary documented information.

DOC. NO: QP-12-F-04

ISSUE NO: 03

ISSUE DATE: 2017-01-15

Reviewed and approved by: Director Issued by: Management Representative

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015****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 objectives established compatible with organizational context and the strategic direction of the organization.

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

**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. However it's not communicated throughout the organization effectively. (NCR 01)

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

Top management has delegated responsibility and authority for relevant personnel and it is communicated within the Site 1. However roles and responsibilities of managers and other important personnel have not been documented and not included in the organizational chart for Site II - Bopiy Auto Springs. (NCR 02)

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

Organization has determined the risks and opportunities which considered the issues referred to in 4.1 and the requirements referred to in 4.2 and it has planned actions to address them. However opportunities are not identified at site II (OB 01). The planning also included how to integrate and implement these actions into its QMS processes and how to evaluate the effectiveness of these actions.

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

The organization has established objectives and planned to achieve the same.

**Planning of changes (6.3 of ISO 9001:2015):**

There is a mechanism to carry out the changes when the organization determines the need for changes to the QMS while considering the purpose 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 constraints of existing resources and needs obtained from external providers.

DOC. NO: QP-12-F-04

ISSUE NO: 03

ISSUE DATE: 2017-01-15

Reviewed and approved by: Director Issued by: Management Representative

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015****People (7.1.2 of ISO 9001:2015):**

Organization has provided personnel required to implement the QMS effectively and for the operation and control of its processes.

**Infrastructure (7.1.3 of ISO 9001:2015):**

Organization 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):**

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. General cleanliness of the environment also has been ensured.

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

Organization has provided equipment necessary to obtain valid and reliable results such as digital weighing scales, unwinding machine and steel balls. This equipment has been controlled by regular inspection and by calibration and calibration reports are available.

**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. Their education, training and experience are considered for this purpose. However There is no evidence for effective training evaluation.(NCR 03)

The organization has not given to all staff members an awareness on the changes required and its applicability to the existing QMS with regard to ISO 9001:2015 .(NCR 04)

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

The organization has given awareness to all the staff members on quality objectives, their contribution to the effectiveness to the quality management system and the implications of not conforming QMS requirements.

**Communication (7.4 of ISO 9001:2015):**

The organization has determined internal and external communication relevant to quality management system to different staff members depending on the responsibilities and authority down the hierarchy.

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015****Documented information (7.5 of ISO 9001:2008):**

The organization has identified documented information required by the standard and documents required to be applied 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. However certain documents have not approved prior to issue: Example: Management review minutes, internal audit schedule, work instructions at site 2. (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. Customer feedback has obtained a better 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 products 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):**

Since all spare parts manufactured are to the vehicles imported from foreign countries, no designing of spare parts are carried out at the company instead they reproduce the spare parts which are already used in such the vehicles.

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

The organization 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.

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015****Type and extent of control (8.4.2 of ISO 9001:2015):**

Externally provided processes remained within the organization 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 organization.

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

Organization 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):**

The organization has used Batch quality record (BQR) to identify outputs to ensure the conformity of products. The organization has records of BQR but some of the records are not authorized. **(OB 02)**.

**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):**

The organization has identified, handled, stored, and protected the outputs during production, to the extent necessary to ensure conformity to requirements.

**Post-delivery activities (8.5.5 of ISO 9001:2015):****Control of changes (8.5.6 of ISO 9001:2015):**

When changes required for production, organization 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 organization has implemented incoming inspection of raw materials, process inspections and final inspection to verify that the product requirements have been met. The release of products to the customer has proceeded once the above arrangements have been satisfactorily completed.

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

When the product does not ensure required output, organization has controlled to prevent their unintended use or delivery to the customers. The organization has taken appropriate actions to correct the nonconformity and segregation of nonconforming products. The organization has retained

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015**

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):**

The organization 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 complaints, customer satisfaction, performance of external providers, risk analysis.

**Internal audit (9.2 of ISO 9001:2015):**

As per the requirement of the standard correction and corrective action has to be taken without undue delay.

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

Top management has reviewed the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.

**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.

**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.



INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015

18. APPLICABLE LEGAL REQUIREMENTS: Environmental Protection License (EPL), EPF,ETF

19. ANY UNRESOLVED ISSUES: No

20. REVIEW OF PREVIOUS SURVEILLANCE AUDIT REPORTS AND VERIFICATION OF EFFECTIVENESS  
OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES:

21. USE OF LOGO:

22. 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

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015****23. MAJOR NON-CONFORMITIES:**

- a. Roles and responsibilities of managers and other important personnel have not been documented and not included in the organizational chart for Site II - Bopi ya Auto Springs. (NCR 02)

**24. MINOR NON-CONFORMITIES:**

- a. Quality policy not communicated thorough out the organization e ectively. (NCR 01)  
b. There is no evidence for e ective training evaluation. (NCR 03)  
c. The organization has not given to all staff members an awareness on the changes required and its applicability to the existing QMS with regard to ISO 9001:2015. (NCR 04)  
d. Certain documents have not approved prior to issue: Ex: Management review minutes, internal audit schedule, work instructions at site 2. (NCR 05)

**25. OPPORTUNITIES FOR IMPROVEMENT:**

- a. Floor marks are not identified at site II (OB 01)  
b. The organization has records of BQR but some of the records are not authorized. (OB 02).

**26. RECOMENDATION FROM AUDIT TEAM:**

The audit team concludes that the organization  has  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 or 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/  in need the  certification subjected to the completion and subsequent verification of corrective action for all minor non conformities raised. Suspended until  satisfactory corrective action is completed.

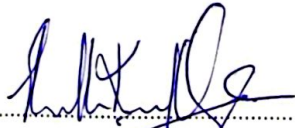
Signature of Team Leader:  Date: 2017-02-15



INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
RECERTIFICATION AUDIT REPORT – ISO9001:2015

- Page 10 of 10 is for internal purposes only.

15. RECOMMENDATION BY AUDIT TEAM :

  
Signature of Team Leader

2017-02-15  
Date

  
Signature of Team Member - 1

2017-02-15  
Date


  
Signature of Team Member - 2

2017/02/15  
Date

  
Signature of Team Member - 3  
16. RECOMMENDATION BY CERTIFICATION MANAGER:

2017/02/15  
Date

All NCRs have been closed. Recommend for submission to the cc.

  
Signature of Certification Manager

2017/02/02  
Date

17. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

  
Signature of Director

2017-02-02  
Date