

STATE OF NEW YORK

IN SENATE

JANUARY 1, 1901

REPORT

OF THE

COMMISSIONERS

OF THE LAND OFFICE

FOR THE YEAR 1900

ALBANY:

ANDREW DEWEY, STATE PRINTER

1901



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2015

**Lallans Sports Goods Manufacturers (Pvt)
Ltd.**

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

1. NAME OF ORGANIZATION : Lallans Sports Goods Manufacturers (Pvt) Ltd.		
2. ADDRESS OF HEAD OFFICE : 30/2, Colombo Road, Malangama, Hidellana, Ratnapura.		
3. ASSESSMENT SITE/S : Same as 2.		
4. CONTACT DETAILS :		
4.1 Name : Mr. M.D.L.K Jayasinghe Designation : Production Manager		
4.2 Tel : 045- 2263922	Mobile : 070- 2863060	Fax : 0452228755
4.3 E-mail : lallansperera@hotmail.com		
5. NO. OF EMPLOYEES : 32		
6. APPLICABLE STANDARD : ISO 9001:2015		
7. FILE NO. : IMSC-QMS-032		
8. NACE CODE / SUBCATEGORY : C 32.9.9		
9. SCOPE OF CERTIFICATION : Activities pertaining to manufacturing of Nursery playground equipments.		
10. DATE OF AUDIT & Time : 24/01/2019		
11. TYPE OF AUDIT : Surveillance I		
12. AUDIT TEAM :		
Mr.D.N.S.Kuruppumullage	Lead Auditor	
Mr. Isuru Ilangakoon	Auditor	
Ms S.P. Buddhika Sajeewani	Observer	

DOC. NO.: QP-11-F-04 ISSUE NO. : 04
 Rev No:01

Reviewed and approved by : Director

ISSUE DATE : 2017-08-10
 Rev Date:2018-04-10

Issued by : Management Representative
 Page 01 of 10

13. AUDIT OBJECTIVES:

The objectives of this audit were:

- to confirm that the management system 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

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

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

16. AUDIT FINDINGS :

16.1 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.

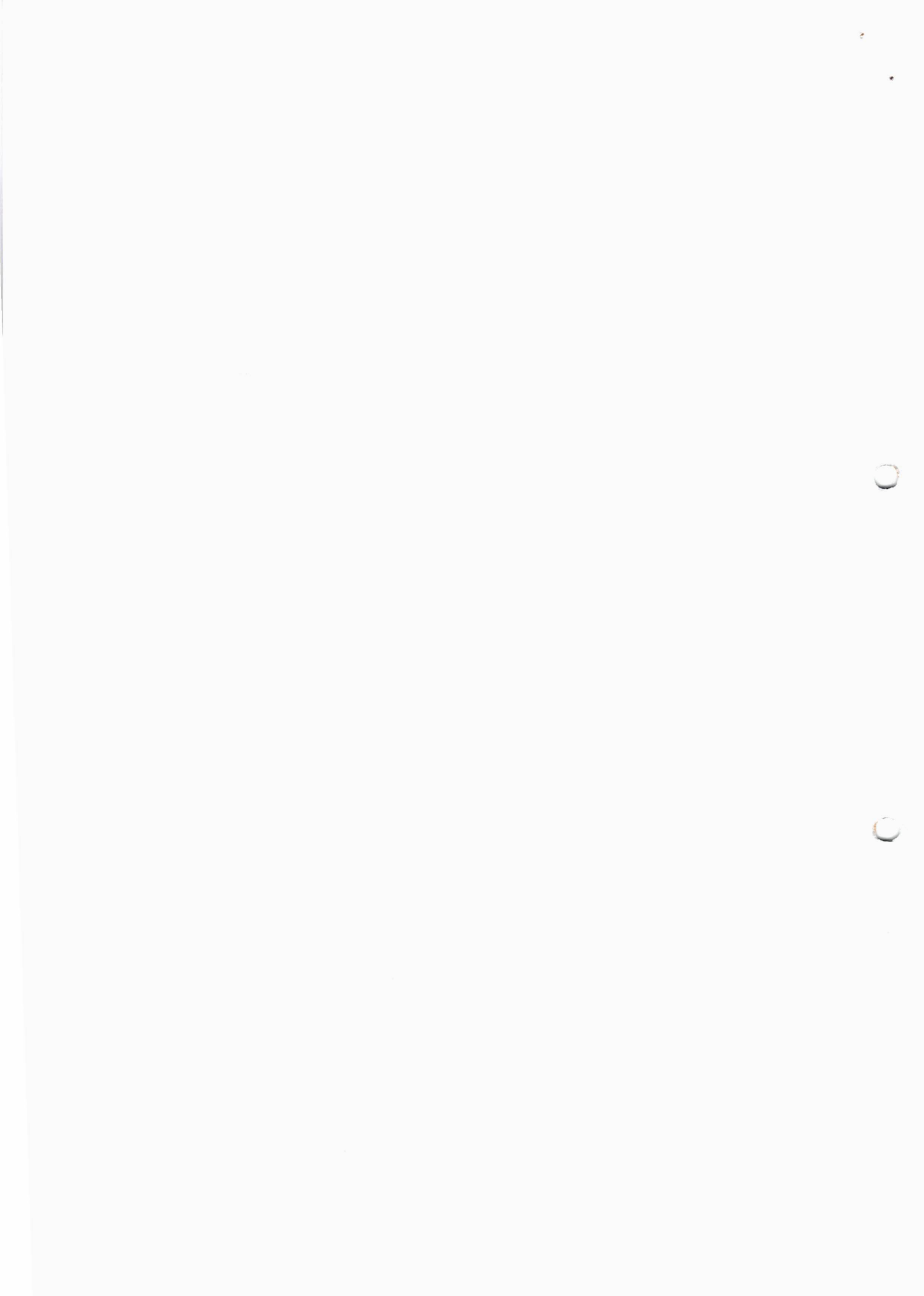
Determining the scope of the quality management system(4.3 of ISO 9001:2015):

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.

16.2 LEADERSHIP(5 of ISO 9001:2015):



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – 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.

Policy (5.2 of ISO 9001:2015):

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

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

Top management has delegated responsibility and authority for relevant persons and it is communicated with in the organization. Company has also assigned responsibility and authority with regards 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 identified safety of personnel working under the company; however it has been observed many unsafe activities in the workshop with accident risk.(Minor NC)

Eg;

- Fire point have been obstructed.
- Unsecured gas cylinders have been kept vertically.
- Grinder covers have been removed.

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

Quality objectives have been defined and established and are in line with the strategic direction. The monitoring of the status of the established objectives were recorded.

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 resources.

People (7.1.2 of ISO 9001:2015):

DOC. NO.: QP-11-F-04

ISSUE NO. : 04

ISSUE DATE : 2017-08-10

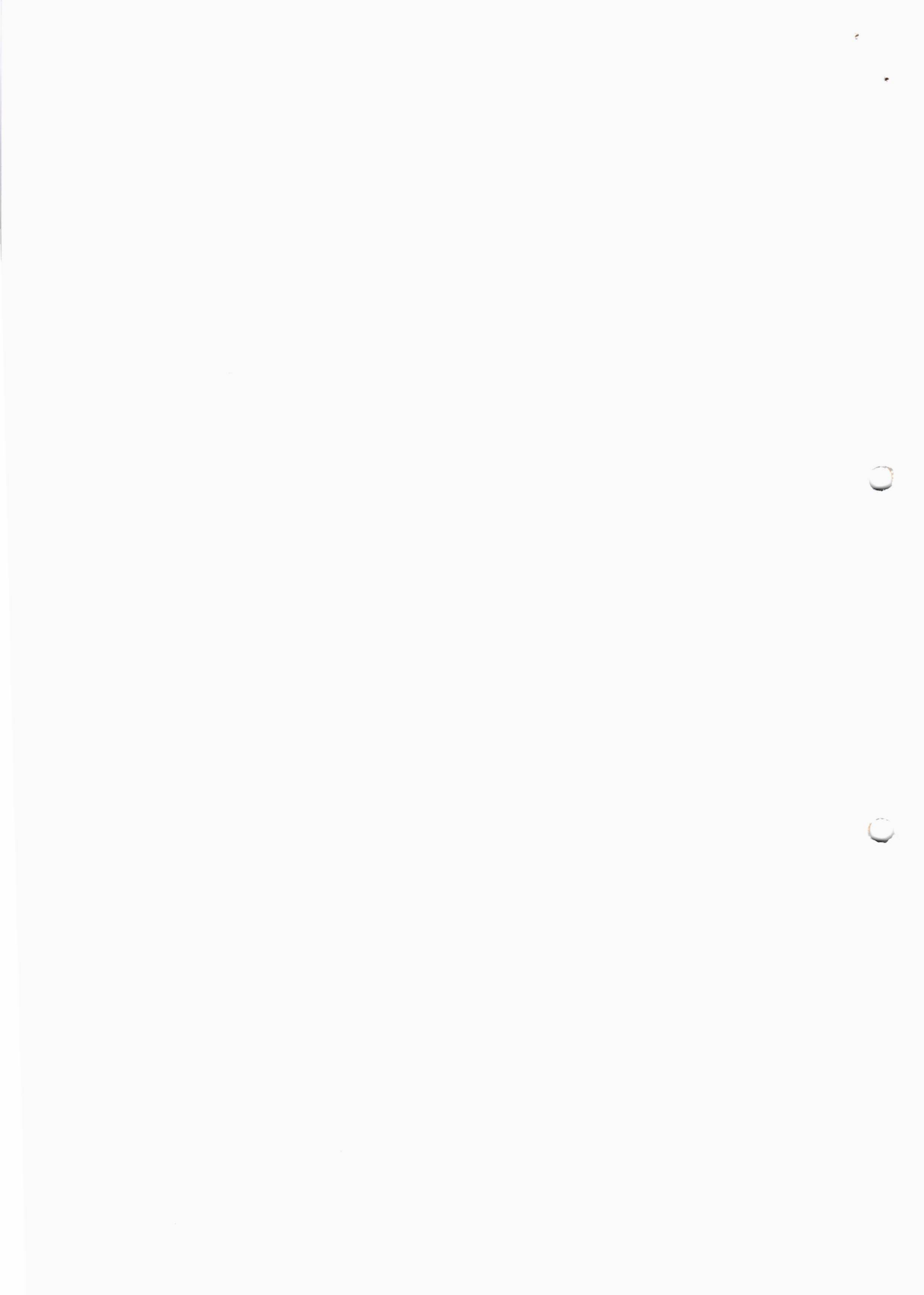
Rev No:01

Rev Date:2018-04-10

Reviewed and approved by : Director

Issued by : Management Representative

Page 03 of 10



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – 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 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.

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

The equipment used for the measurement of products has calibrated.

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. But there is no evidence that the company has taken action to provide training as per the identified training needs. **(Minor NC)**

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 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.

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

1 6.5 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 all the products based on customer requirement which is conveyed to the company through marketing department. Product 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 Managing director/Chairman for approval and any changes required to the product during the design review process will be carried out 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 by marketing department under customer file.

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

General (8.4.1 of ISO 9001:2015):

Company purchases materials for registered suppliers evaluation of supplies and communication of any requirements of the company to suppliers is been done per the purchasing procedure.

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 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.

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 and has taken necessary controls to protect from contamination.

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

Once year guaranty period is given for products and every 4months service has provided. Any repaired carried out within the guaranty period free of charge except damages to glass component. However after the guaranty period servicing and repaired carried out only on customer request.

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

Change of the product is recorded; however agreement of the customer request is not adequately recorded.(OB)

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 Marketing officer

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):

Internal audit has been conducted and Internal audit report, internal audit plan and schedule, internal audit log and corrective action reports were available at the audit.

Management review (9.3 of ISO 9001:2015):

Management review has been conducted as per the requirements defined in the procedures.

16.7 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.

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

17. APPLICABLE LEGAL REQUIREMENTS: EPL,EPF, Factory ordinance

18. ANY UNRESOLVED ISSUES:None

19. 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

20. MAJOR NON-CONFORMITIES: None

21. MINOR NON-CONFORMITIES:

01. Company has identified safety of personnel working under the company; however it has been observed many unsafe activities in the workshop with accident risk.

Eg;

- Fire point have been obstructed

DOC. NO.: QP-11-F-04 ISSUE NO. : 04
 Rev No:01

Reviewed and approved by : Director

ISSUE DATE : 2017-08-10
 Rev Date:2018-04-10

Issued by : Management Representative
 Page 08 of 10

Handwritten text at the top of the page, possibly a title or header, which is mostly illegible due to fading.



Handwritten text in the middle-left section of the page, possibly a date or reference number.

Handwritten text in the middle-right section of the page, possibly a signature or name.

A block of handwritten text in the lower-middle section of the page, appearing to be a list or set of instructions.

Handwritten text at the bottom of the page, possibly a footer or a date.

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

- *This page is for internal purposes only.*

27. RECOMMENDATION BY AUDIT TEAM :

..... Signature of Team Leader Date
..... <i>[Signature]</i> Signature of Team Member -1 <i>2019-01-24</i> Date
..... Signature of Team Member - 2 Date

28. RECOMMENDATION BY CERTIFICATION MANAGER:

All NCRs have been closed. And recommend to continue to certificate.

..... <i>[Signature]</i> Signature of Certification Manager <i>2019/04/28</i> Date
---	------------------------------------

29. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

..... Signature of Director Date
--------------------------------	---------------