ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
b)The organization has identified the changes and the current status of documents	Yes	Compliance	Master List of Documents (External & Internal)
c) The organizationhas identified externally originated documents necessary for the QMS andtheir distribution is controlled	Yes.	Compliance	Master List of Documents (External & Internal)
d) The organizationhas identified the responsibility for externally originated documents	Yes.	Compliance	Master List of Documents (External & Internal)
e) The current documents are available at relevant points of use with proper references	Yes.	Compliance	MRs office (ISO standard,
f) There is a mechanism to recall obsolete documents and if retained they are suitably identified	Yes	Compliance	System Manual Clause 4.3.2
4.2.3 Control of Records			
a)There is a documented procedure for the controls needed for the identification, storage, protection, retrieval, retention and disposition of quality records	Documented procedure is available for record controlling	Compliance	Record control procedure
b) The responsibility for the collection, maintenance, retention and disposition of recordshasbeen identified	Yes	Compliance	List of records No:4/L/02
c)Quality records are properly indexed, filed, legible and retrievable and stored to prevent damage or loss	Daily Job card is not index in the list of records, sheet is having the same record	Compliance	List of records No:4/L/02

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
CHECK LIST – ISO 9001:2008

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
4.1- Quality Management Systems General Requirements			
a) The organization has determined the key, sub and support processes needed for the QMS .	The organization has determined the processes and materials needed for QMS	Compliance	System manual page 13 of 15
4.2.1 General			
a) The organization has determined the sequence and interactions of the above processes.	the sequence and interactions of the processes are available	Compliance	System Manual - Annex 02
b)Processes related to the QMS of the organization havebeen outsourced. c)Controlsare in place for outsourced processes.	Yes.	Compliance	System manual Clause 4.1 "Supplier list for out sourcing activities – 7/PU/08" Out sourced item log
4.2.2QMS Documentation			
a)The QMS documentation include the policy, objectives, manuals, procedures, and records neededfor the implementation of the QMS.	Quality policy, quality objectives, system manual and procedure manuals, procedures, and Records are available.	Compliance	Quality manual
b) The scope of the QMS is addressed in the Quality Manual c)Any exclusions , justified adequately	Scope of the QMS is available Since there is no design activity involved clause 7.3 & validation of processes has been excluded	Compliance	Quality manual Page 14 of 15
4.2.3 Control of Documents			
a)A documented procedure for the control, issue, review, approval and re-approval of changes to documents is in place.	Procedures for control, issue, review, approval and re-approval of changes to documents is available	Compliance	Document control procedure clauses 7.1.12 to 7.1.16

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
5.5.1 Responsibility, Authority and Communication			
a)The responsibilities and authorities have been defined and communicated by the top management within the organization	yes	Compliance	Annex 4 – Organization chart Annex 5 – Job responsibilities
5.5.2 Management Representative			
a)The responsibility and authority of the Management Representative include the promotion of customer requirements throughout the organization and reporting the performance of the QMS and need for improvement	yes In addition to responsibilities mentioned in the annex 05	Compliance	Job description mentioned in the annex 5 only
5.5.3 Internal Communication			
a)Top management has ensured that appropriate communication processes are established within the organization to effectively communicate the matters related to the QMS	Yes	Compliance	Through staff meetings, General notice boards, notices sent for each staff member
5.6 Management Review			
a)Top management conduct management review meetings to ensure the continuing suitabilityof the organization's QMS at planned intervals b) Management review meetings have been conducted as per the defined frequency c) All the Agenda items as per **5.6** of **ISO 9001:2008** have been discussed d) Management review meeting minutes have been maintained	Management review frequency is defined as biannual and the last Management Review meeting has been conducted on 2015-04-12 and minutes were available.. Decisions taken at the MRM has been implemented.	Compliance	MR minitues

	number		

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
5.1 Management Commitment			
a)The top management has ensured communicating the importance of meeting customer requirements as well as statutory and regulatory requirements	Factory Manager and HR Manager were interviewed & found that they are well aware of their responsibilities.	Compliance	-----
5.2 Customer Focus			
a)Top management has a mechanism to determine that customer requirements are met to ensure customer satisfaction	Customer requirements have been determined by the organization.	Compliance	Page 02 of 07 of QM 05
5.3 Quality Policy			
a)The quality policy is appropriate to the nature and complexity of the business b) It is reviewed for continuing suitability and when was it last reviewed? c) It is communicated within the organization	Quality policy developed is appropriate to the organization and it is displayed in key places.	Compliance	Page 03 of 07 of QM 05
5.4.1 Quality Objectives			
a) Quality objectives are measurable and consistent with the Quality Policy b) The objectives are established department wise c) The objectives are communicated to relevant personnel	Yes. Objectives have been developed and monitored. Yes.	Compliance	Objective monitoring table
5.4.2 QMS Planning			
a) QMS is planned to meet the Quality objectives and requirements given in Clause 4.1 to ensure the integrity of the QMS when changes to the QMS are planned and implemented	Yes.	Compliance	Process flow charts

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
7.1 Planning for Product Realization			
a) The organization has developed quality plans/ flow chartsfor the process/es b) Monitoring has been done as plannedand relevant records maintained?	Quality plans developed and implemented.	Compliance	Quality plans Relevant records
7.2 Customer Related Process			
a) Requirements specified by the customer has been determined by the organization	Evidence available.	Compliance	Order sheets
b) Requirements not stated by the customer but necessary for the intended use such as regulatory and statutory requirements or any other requirements considered by the organization	Yes.	Compliance	
c) Organization reviews the requirements of the product/service prior to supplying it to the customer toensure requirements are defined, differences resolved	Yes.	Compliance	------
d) Customer requirements are confirmed by the organization before acceptance of orders and records are maintained	Yes. Requirements are reviewed by FM	Compliance	Order sheet and GRN
e) There is a sound mechanism available to communicate to customers product information, enquiries, customer feed back including customer complaints	yes	Compliance	

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
6.1 Provision of Resources			
a)Organization has determined and provided the resources necessary for the implementation of the QMS	The organization has determined and provided the resources necessary for the implementation of the QMS	Compliance	System Manual Resource Management clause 6.1
6.2 Human Resources			
a)Competencies of personnel performing quality related activities have been determined by the organization b) Training needs of personnelhave been identified c) A training plan has been prepared based on the trainingneeds identified d)Training has been conducted as per the plan e) Organization has maintained records of training f)Trainings conducted evaluated for effectiveness g) Records of training evaluation maintained	yes. This is done by the HR manager and only verbal evidence is available. Yes. Both existing staff and new staff Yes. Training records are available	Compliance Compliance Compliance Compliance	System Manual clause 6.11 reference for Competency matrix Skill level report 6/HR/16 Training Plan 6/HR/18
6.3 Infrastructure			
a)Organization has determined, provided and maintained the infrastructure buildings, workspaces and associated utilities , process equipments and supporting services needed for the QMS	Company has provided the infrastructure buildings, workspaces and associated utilities , process equipments and supporting services	Compliance	System Manual clause 6.2
6.4 Work Environment			
a)Organization has provided the work environment including the physical, environmental and other factors(temp., humidity, noise, lighting etc;) needed for the QMS	Yes. .	Compliance	System Manual Clause 6.3

based on their ability to supply products as per requirements of the organization	available		suppliers for purchasing of products 7/PU/11
b) Records of evaluations maintained by the organization	Yes. Maintained by Stores officer	Compliance	Supplier files
c) Organization has specifications for the product to ensure the adequacy of purchase requirements prior to issue/release	All purchasing requirements are documented on the purchase requisition form and sent for FMs approval. Afterwards communication of product specifications to the suppliers are done.	Compliance	Purchase requisition notes
d) Organization has incoming inspection activities to ensure that the incoming materials confirm to specifications	Yes. Done by stores officer	Compliance	Activities under Purchasing process
e) Organization ensures the verification of product of the outputs from outsourced processes, if and when applicable	Yes. Log book is maintained to indicate results of all out sourced products	Compliance	Out sourced product checking log
f) Organization has stipulated verificationarrangements, in case verifications at supplier's premises	Not applicable	----	----

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
7.3 Design and Development			
a)Organization has planned and controlled the design development ,to determine the design and development stages, the review, verification and validations for each of the stages, the responsibilities for each stage	Excluded from Scope with justifications. Audit team verified.	Compliance	Quality manual
b) The organization has determined the inputs related to product requirements to ensure thereview of input requirements for adequacy	NA	----	----
c) Records related to input requirements maintained by the organization	NA	----	----
d) Organization reviews different stages in the design and development process and records maintained	NA	----	----
e) Organization conducts verifications to ensure that design and development output have met the input requirements and records maintained	NA	----	----
f) Organization conducts validations to ensure the product capability for intended use and records maintained	NA	----	----
g) Organization conducts validations to ensure the product capability for intended use and records maintained	NA	----	----

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/NO	REFERENCE
7.4 Purchasing			
a)Organization has defined criteria for selection, evaluation & re-evaluation of suppliers	Defined criteria for selection,	Compliance	Evaluation of

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
7.5.4Customer Property			
a)There is a mechanism available to identify, verify, protect and safeguard customer property including intellectual property and personal data provided for use or incorporation into the product	Yes.	Compliance	Customer files for each customer
b) There is a mechanism to report to the customer in case any customer property is lost, damaged or found to be unsuitable for use	Yes.	Compliance	System Manual Clause 7.5.4
7.5.5 Preservation of Product			
a)Organization preserves the product during internal processing including handling, packaging, storage, protection and delivery in order to maintain conformity to requirements	yes	Compliance	Final products in the stores
7.6 Control of Monitoring and Measuring Equipment			
a)Organization has identified the monitoring and measuring equipment which requires to be calibrated	Yes	Compliance	Calibration schedule
b) Organization ensures that monitoring and measuring equipment are • Calibrated or verified at specified intervals, • Adjusted or re-adjusted as necessary, • Whether the calibration status is identified • Safeguarded from adjustments that would invalidate the results • Protected from damage and deterioration during handling, maintenance and storage	Calibration is done as per the calibration schedule only.	Compliance	Calibration schedule

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
7.5.1 Control of Production and Service Provision			
a) Organization has planned production under controlled conditions	Production and service provision is carried out under controlled conditions.	Compliance	---------
b) Organization uses one or more of the following to ensure the controlled conditions: i) The availability of information pertaining to the characteristics of the product ii) The availability of work instructions, as necessary iii) Use of suitable equipment iv) The availability and use of monitoring & measuring equipment v)Implementation of product release, delivery and post-delivery activities	Yes.	Compliance	Page 05 of 06 of QM 07.
7.5.2 Validation of production and Service Provision			
a) Organization validates any processes where the resulting output cannot be verified by monitoring & measurement where the deficiencies are seen only after the product is in use or after the delivery of service	Excluded from Scope with justifications. Audit team verified.	Compliance	Quality manual
b) Organization has established criteria for review & approval of processes, equipment, qualification of personnel. use of specific methods & procedures for re validation and records maintained	Excluded from Scope with justifications. Audit team verified.	Compliance	Quality manual
7.5.3 Identification and Traceability			
a)Product has been identified by the organization throughout product realization	Yes. Separate job numbers are given at the beginning of each process.	Compliance	Job cards
b) Organization has identified the product status with respect to monitoring and measurement requirements throughout product realization c) Organization has controlled and recorded the unique identification of the product and records maintained	Yes Yes	Compliance	Job cards and Finished jobs status monitoring form

8.2.2 Internal Audit			
a) A documented procedure to define the responsibilities and requirements for planning and conducting audits and reporting results is available	Documented procedure available covering the requirements of **8.2.2** of ISO 9001: 2008 and implemented.	Compliance	QAP 03
b) Organization ensures objectivity and impartiality of the audit process	Yes.	Compliance	Audit program
c)Organization has prepared an audit program reflecting the status and importance of the processes, areas to be audited and the results of previous audits	Yes.	Compliance	Audit program
d) Organization ensures taking appropriate corrections and corrective actions to eliminate the non-conformities detected and root causes without undue delay	Yes.	Compliance	Corrective action report
e) Follow-up actions are taken to verify the effectiveness of actions taken and records maintained	Yes.	Compliance	Corrective action reports MRM minutes
8.2.3 Monitoring and Measurement of Processes			
a)Organization has applied suitable methods for monitoring, and where applicable, measurement of the QMS processes to demonstrate the ability of the processes to achieve planned results	Yes.	Compliance	Process flow charts
b) Organization has a mechanism to take appropriate corrections and corrective actions when planned results are not achieved	Yes.		Corrective action reports

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
8.2.4 Monitoring and Measurement of Product			

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
c) There is a mechanism available to assess and record the validity of previous measuring results when equipment is found to be out or order	yes	compliance	Calibration Schedule
d) Organization uses computer software for monitoring and measuring	Not applicable	----	----
e) When software is used the organization confirm the ability of software to satisfy the intended application	Not Applicable	-----	-----
f) Organization maintains records of calibration and verification	Yes.	Compliance	Calibration schedule 7/MA/01. Calibration file
8.2.1 Customer Satisfaction			
a)Organization has determined a method of obtaining customer views and monitor information relating to customer perception as to whether the organization has met customer requirements	Yes.	Compliance	Customer Satisfaction form 7/SA/10

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.

d) Organization deals with the non-conforming product by one or more of the methods given below: • By taking action to eliminate the detected non-conformity • By authorizing its use, release or acceptance under concession • By taking action to preclude its original intended use • By taking action appropriate to the effects, or potential effects of the non-conforming product is detected after delivery or use has started?			
e) Organization maintains records for the non-conformities detected and the actions taken, including concessions obtained	Yes.	Compliance	Relevant record
f) Organization re-verifies the non-conforming product once it is corrected	Yes.	Compliance	Relevant record
8.4 Analysis of Data			
a)Organization determined, collected and analyzed appropriate data to demonstrate the suitability and effectiveness of the QMS?	Questions mentioned in the customer satisfaction form demonstrate the suitability and effectiveness of the QMS	Compliance	Customer satisfaction form 7/SA/10
b)Analysis of data provides information on Product/Service non-conformities, supplier evaluation, Customer satisfaction and trends of processes and products	Feedbacks received under Customer satisfaction forms and Customer Complaints has been analyzed.	Compliance	Customer satisfaction analysis, Customer complaint analysis.

a) Organization monitors and measures the characteristics of the product to verify that product requirements have been met at various stages of product realization	Evidence is available for monitoring and measuring of the product	Compliance	Process flow charts Relevant records
b) Organization maintains evidence of conformity with the acceptance criteria covering the person(s) authorizing the release of product for delivery to the customer	Yes.	Compliance	Process flow charts Relevant records
c) Organization ensures that product release/service delivery has not been done without the satisfactory completion of planned arrangements unless otherwise approved by a relevant authority and where applicable by the customer	Yes.	Compliance	QM Relevant records
8.3 Control of Non-conforming Product			
a)Organization has established a documented procedure to define the controls and related responsibilities and authorities for dealing with non-conforming product	Yes.	Compliance	Non-conformity reports
b) Ithas been implemented?	Yes.	Compliance	QAP 04
c) Organization ensures that the non-conforming product is identified and controlled to prevent its unintended use or delivery	Yes.	Compliance	Non-conformity reports
	Yes.	Compliance	Relevant record

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.

IND-EXPO CERTIFICATION LIMITED
MANAGEMENT SYSTEMS CERTIFICATION SCHEME
CORRECTIVE ACTION PLAN FOR NON-CONFORMITIES

For all non-conformities kindly complete this form and submit with evidence within two months.

Name of organization :

Type of audit : Stage II / Surveillance / Re-certification/Special audit (delete whichever is inapplicable)

Date/s of audit :

NCR No.	Non-conformity	Corrective actions taken & Date of implementation	Evidence of implementation
01	Quality Policy has not been communicated to certain Staff member effectively (New Staff)	New MR has been appointed & Proper team work is being implemen	Attendance Signature S of relevan Program
02	Management review meeting has not been condeited since 2015 January	New MR has been appointed & Proper team work is being implement	We held man gemant meet & document attached here
03	Evaluation of traing has not been caried out for the 2015	New MR has been appointed & Proper team Work is being Implement	Traing Eval document b been attach heare with
04	Contan Supplier evaluation are not carried out for the current Year	When introducing suppliers to notify Purchasing officer to conform their standerd, Certification related to quality to their materials	Evaluated the all Supplier analyzed that obtain data
05	It has been obseived Certain data collected our Production has not been analyzed to verify the effectiness of quality system	New MR has been appointed & proper team work is being Implement	Analyed all the details related doc ent here to

Signature of Management Representative /FSTL /EMR

04-12-2015
Date

OBSERVATIONS AND RECOMMENDATIONS

Signature of Team Leader/Lead Auditor

Date

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOC.
8.5.1 Continual Improvement			
a)Organization has a mechanism to prove that it continually improves the effectiveness of the QMS?	Yes.	Compliance	Relevant record
b) Improvements have been made during the past year	Yes.	Compliance	Relevant record
8.5.2 Corrective Action			
a)Organization has a documented procedure in place for corrective actions	Documented procedure is available for corrective actions	Compliance	Procedure for Corrective actions
b) The root cause has been determined	Yes.	Compliance	Non-conformance report 8/R/02
c) Corrective actions proposed have been implemented	Yes.	Compliance	Non-conformance report
Preventive Action			
a)Organization has a documented procedure in place for preventive actions	Documented procedure is available for Preventive actions	Compliance	Procedure for Preventive actions
b) The root cause has been determined	yes	Compliance	Non-conformance report
c) Preventive actions proposed have been implemented and records maintained and effectiveness reviewed	Preventive actions for the identified non-conformities through non-conformance report has been identified	Compliance	Non-conformance report