

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

ISO 9001 REQUIREMENT	OBSERVATION	COMPLIANCE/ NON COMPLIANCE	RELEVANT COMPANY DOCUMENT
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.			
b) The organization has identified the changes and the current status of documents			
c) The organization has identified externally originated documents necessary for the QMS and their distribution is controlled			
d) The organization has identified the responsibility for externally originated documents			
e) The current documents are available at relevant points of use with proper references			
f) There is a mechanism to recall obsolete documents and if retained they are suitably identified			
4.2.4 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			
b) The responsibility for the collection, maintenance, retention and disposition of records has been identified			
c) Quality records are properly indexed, filed, legible and retrievable and stored to prevent damage or loss			

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4.1- Quality Management Systems General Requirements			
a) The organization has determined the key, sub and support processes needed for the QMS .			
4.2.1 General			
a) The organization has determined the sequence and interactions of the above processes.			
b) Processes related to the QMS of the organization have been outsourced.			
c) Controls are in place for outsourced processes.			
4.2.2 QMS Documentation			
a) The QMS documentation include the policy, objectives, manuals, procedures, and records needed for the implementation of the QMS.			
b) The scope of the QMS is addressed in the Quality Manual			
c) Any exclusions , justified adequately			

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5.5.1 Responsibility, Authority and Communication a) The responsibilities and authorities have been defined and communicated by the top management within the organization			
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			
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			
5.6 Management Review a) Top management conduct management review meetings to ensure the continuing suitability of 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			

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5.1 Management Commitment a) The top management has ensured communicating the importance of meeting customer requirements as well as statutory and regulatory requirements	There is evidence of compliance	COM	Manual Section 5.1
5.2 Customer Focus a) Top management has a mechanism to determine that customer requirements are met to ensure customer satisfaction	Top management demonstrates that it is a mechanism to determine & meet customer request	✓	Manual Section 5.2
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 is communicated to staff members & stake holders	✓	Manual section 5.3
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	Top level goals - 20% Enhance of cost bids - 30 Reduced stock Ob. target - 10% for m. supply. & GL. Ob. target - 10% for m. supply. & GL. * Addition of new unit MAPDC communication	✓	Manual 5.4.1
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	alpha method		

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7.1 Planning for Product Realization			
a) The organization has developed quality plans/ flow charts for the process/es	The audit team verified Q/Plans	✓	Manual Sec 7.1 Q/EN-PLM-01
b) Monitoring has been done as planned and relevant records maintained?			
7.2 Customer Related Process			
a) Requirements specified by the customer has been determined by the organization	There is evidence of adequate review of customer requirements	✓	Manual Sec 7.2
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	System requires includes regulatory and statutory requirements and regular's performance of controls. etc.	✓	-ds-
c) Organization reviews the requirements of the product/service prior to supplying it to the customer to ensure requirements are defined, differences resolved		✓	-ds-
d) Customer requirements are confirmed by the organization before acceptance of orders and records are maintained	-ds-	✓	-ds-
e) There is a sound mechanism available to communicate to customers product information, enquiries, customer feed back including customer complaints	System communicate mechanism maintained	✓	-ds-



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6.1 Provision of Resources			
a) Organization has determined and provided the resources necessary for the implementation of the QMS			
6.2 Human Resources			
a) Competencies of personnel performing quality related activities have been determined by the organization			
b) Training needs of personnel have been identified			
c) A training plan has been prepared based on the training needs 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			
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			
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			


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f) Organization conducts validations to ensure the product capability for intended use and records maintained			
g) Organization conducts validations to ensure the product capability for intended use and records maintained			
7.4 Purchasing			
a) Organization has defined criteria for selection, evaluation & re-evaluation of suppliers based on their ability to supply products as per requirements of the organization			
b) Records of evaluations maintained by the organization			
c) Organization has specifications for the product to ensure the adequacy of purchase requirements prior to issue/release			
d) Organization has incoming inspection activities to ensure that the incoming materials confirm to specifications			
e) Organization ensures the verification of product of the outputs from outsourced processes, if and when applicable			
f) Organization has stipulated verification arrangements, in case verifications at supplier's premises			

Doc. No. : IMSC-QMS-CHK- 01
Reviewed and approved by : Director

Issue No. 02

Date of issue 2012-03-10

Issued by : Management Representative



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d) Customer requirements are confirmed by the organization before acceptance of orders and records are maintained	There is evidence of compliance ✓	✓	Manual 7.2
e) There is a sound mechanism available to communicate to customers product information, enquiries, customer feed back including customer complaints	There is a sound mechanism to communicate with customers ✓	✓	- dr -
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 -	✓	Manual Section 3.2.1
b) The organization has determined the inputs related to product requirements to ensure their review of input requirements for adequacy	The audit team verified the process of Winston and found that Winston is justified.	N/A	- dr -
c) Records related to input requirements maintained by the organization	- dr -	N/A	- dr -
d) Organization reviews different stages in the design and development process and records maintained	- dr -	N/A	- dr -
e) Organization conducts verifications to ensure that design and development output have met the input requirements and records maintained	- dr -	N/A	- dr -


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7.5.4 Customer 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 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			
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			
7.6 Control of Monitoring and Measuring Equipment a) Organization has identified the monitoring and measuring equipment which requires to be calibrated b) Organization ensures that monitoring and measuring equipment are <ul style="list-style-type: none"> • 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 			<i>Manual 7.6</i>

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7.5.1 Control of Production and Service Provision			
a) Organization has planned production under controlled conditions	There is evidence of planned controlled conditions exist	✓	Manual 2.5-1
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		✓	- do -
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	There is evidence of compliance	✓	Manual 2.5.2
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	Audit team verified and found to be in compliance	✓	- do -
7.5.3 Identification and Traceability			
a) Product has been identified by the organization throughout product realization			
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			

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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 b) Organization ensures objectivity and impartiality of the audit process 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 d) Organization ensures taking appropriate corrections and corrective actions to eliminate the non-conformities detected and root causes without undue delay e) Follow-up actions are taken to verify the effectiveness of actions taken and records maintained	20 signed procedures available Objectivity & impartiality maintained Audit program is available & updated There is evidence of compliance - do -	✓ ✓ ✓ ✓ ✓	PM-IA-03 IS 01/2012/12/20 Rev 01/2012-01-12 QP-03-PL-01 - IA Plan " - F-02 - IA schedule " - F-03 - NC Report " - F-04 - IA Summary Report " - (HR-01) - Check list
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 b) Organization has a mechanism to take appropriate corrections and corrective actions when planned results are not achieved	The organization have established appropriate mechanism to monitor processes and	✓	Manual 8.2.3

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c) There is a mechanism available to assess and record the validity of previous measuring results when equipment is found to be out of order			
d) Organization uses computer software for monitoring and measuring			
e) When software is used the organization confirm the ability of software to satisfy the intended application			
f) Organization maintains records of calibration and verification			
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	The audit team verified the method for obtaining customer perception	✓	Man 8.2.1

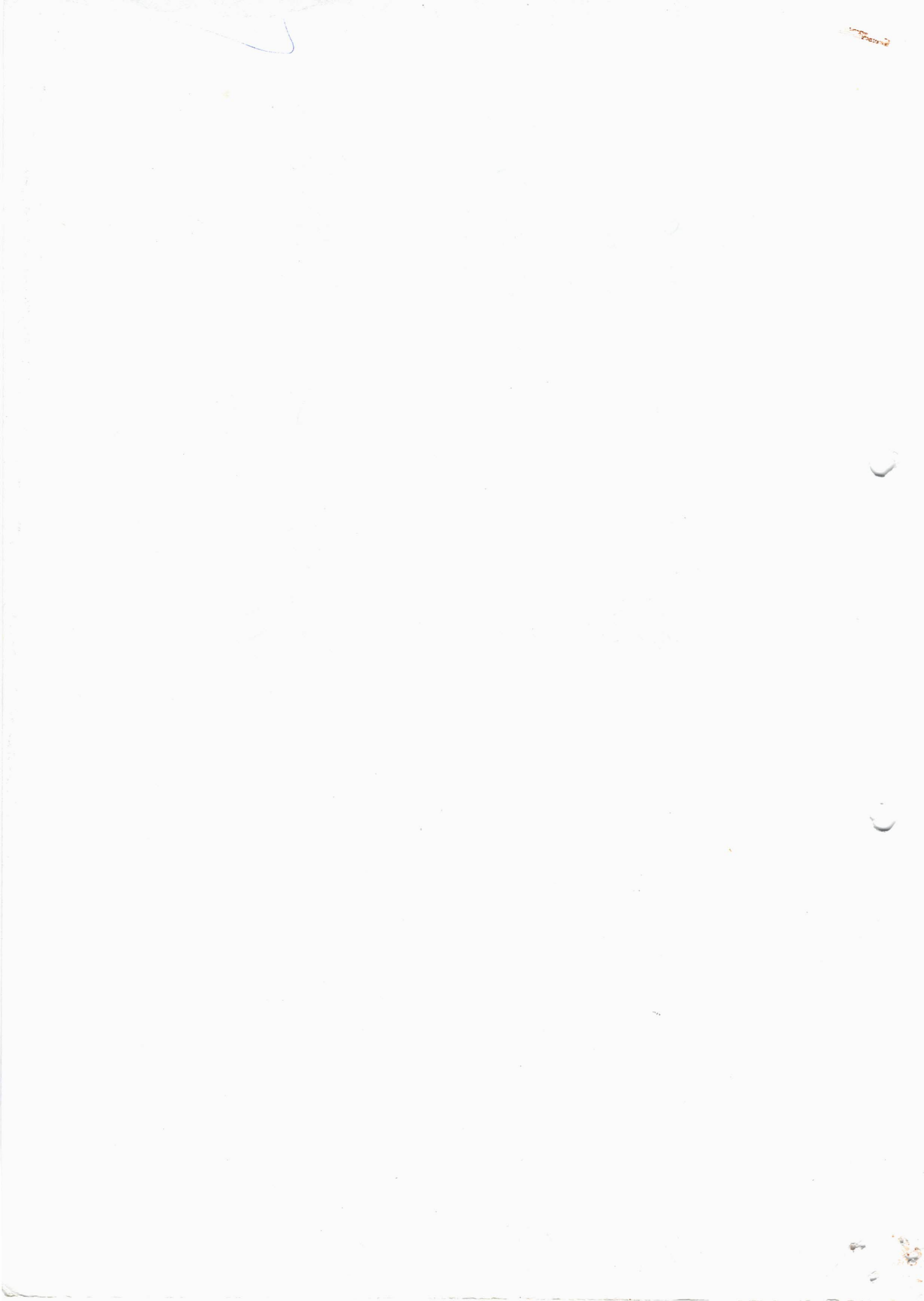

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d) Organization deals with the non-conforming product by one or more of the methods given below: <ul style="list-style-type: none"> • By taking action to eliminate the detected non-conformity • By authorizing its use, release or acceptance under concession • 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			
f) Organization re-verifies the non-conforming product once it is corrected			
8.4 Analysis of Data a) Organization determined, collected and analyzed appropriate data to demonstrate the suitability and effectiveness of the QMS?			
b) Analysis of data provides information on Product/Service non-conformities, supplier evaluation, Customer satisfaction and trends of processes and products			



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8.2.4 Monitoring and Measurement of Product			
a) Organization monitors and measures the characteristics of the product to verify that product requirements have been met at various stages of product realization	Service characteristics are well covered ✓	✓	Manual 8.2.4
b) Organization maintains evidence of conformity with the acceptance criteria covering the person(s) authorizing the release of product for delivery to the customer	Evidences available and verified ✓	✓	- do -
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	- do - ✓	✓	- do -
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	Documented procedure available and verified ✓	✓	QP - NC - 04 - Proc. RS. 2 / 2013/06/12 Rev 01 / 2013/06/12
b) It has been implemented?	Yes ✓	✓	QP - 04 - F-01 - NC record QP - 04 - F-02 - NC control Record
c) Organization ensures that the non-conforming product is identified and controlled to prevent its unintended use or delivery	There is evidence of compliance ✓	✓	do



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8.5.1 Continual Improvement a) Organization has a mechanism to prove that it continually improves the effectiveness of the QMS? b) Improvements have been made during the past year.	Several initiatives were evident to continually improve QMS	✓	PM-RR-05 ISS 01/2012-12-20 Rev.00
8.5.2 Corrective Action a) Organization has a documented procedure in place for corrective actions b) The root cause has been determined and Corrective actions proposed have been implemented	Corrective actions have been taken on compliance with the requirements laid down in the documented procedure.	✓	PM-CA-05 ISS 01/2012-12-20 4P-05-F-01-CA report
Preventive Action a) Organization has a documented procedure in place for preventive actions b) The root cause has been determined and preventive actions proposed have been implemented	Verified the doc found. There is evidence of execution of execution	✓	PM-4P-06 ISS 01/2012-12-20