



INDEXPO CERTIFICATION LIMITED

MANAGEMENT SYSTEMS CERTIFICATION SCHEME

ADEQUACY AUDIT REPORT

ISO 9001:2008

N & A ENGINEERING SERVICES (PVT) LTD





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**MANAGEMENT SYSTEMS CERTIFICATION SCHEME
ADEQUACY AUDIT REPORT –ISO 9001:2008**

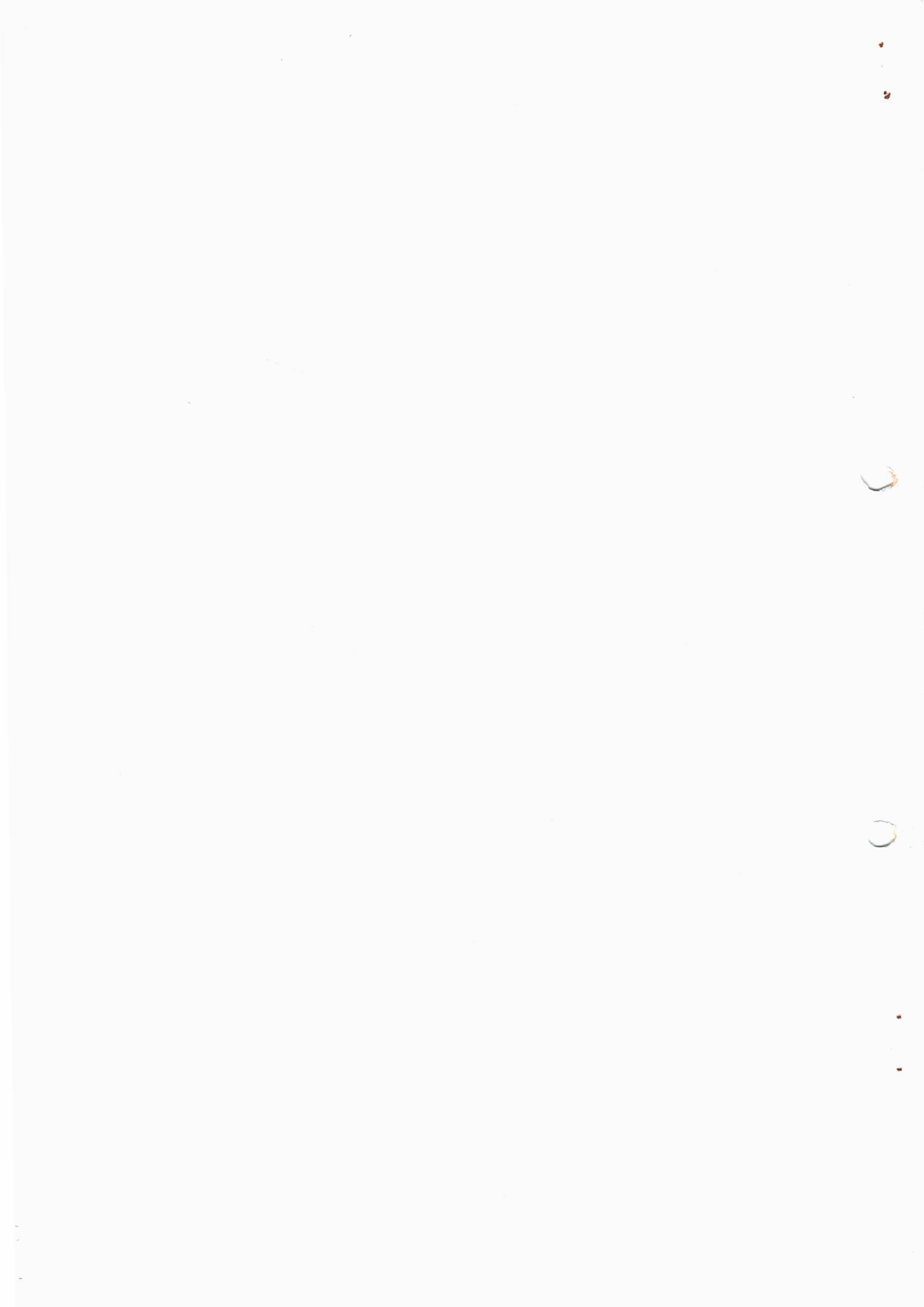
1. **NAME OF ORGANIZATION** : N & A Engineering Services (Pvt) Ltd
2. **REGISTERED ADDRESS**: No 81 B, Avissawella Road, Nawagamuwa, Ranala.
3. **FACTORY/OUTLET/ SITE LOCATIONS** : same as 2
4. **CONTACT PERSON** :
 - 4.1 **Name**: Mr. Pubudu Ranasinghe
 - 4.2 **Designation**: ~~Assistant~~ Construction Manager
 - 4.3 **Telephone**: 0114444311 **Mobile**: **Fax**: 0114402454
5. **APPLICABLE STANDARD** : ISO 9001:2008
6. **FILE NO.** : IMSC-QMS-15
7. **APPLICABLE SECTOR** :
8. **TYPE OF AUDIT** : Stage II
9. **DATE OF AUDIT** : 2014-02-07
10. **SCOPE OF CERTIFICATION**: Sourcing of Contracts, Construction of all kind of Building, Roads, Bridges, and associated works in the Head Office and all operational sites.
11. **AUDIT TEAM** : Ms. Felicia Weerawardena
12. **ISO 9001: 2008 REQUIRMENTS: (Clause 4 of ISO 9001 : 2008)**
 - 12.1 **General Requirements (Clause 4.1 of ISO 9001)**
 - 12.1 .1 **Processes**: The key and support processes needed for the QMS and their interactions have been determined. (Ref. General Information in Page 10 of 11).
 - 12.1.2 **Outsourcing**: Not addressed in the manual.
 - 12.1.3 **Exclusions** : Design and development has been excluded.
 - 12.2 **Documentation Requirements (Clause 4.2 of ISO 9001)**
 - 12.2.1 **Documentation** includes the quality manual, six mandatory procedures required by ISO 9001: 2008 quality policy, quality objectives and relevant documents.

Document No. : QP-04-F-04
Reviewed and approved by: Director

Issue No. : 06
Issued by: Management Representative

Issue Date: 2013-12-22

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* **12.2.2 Scope of the QMS:** Sourcing of Contracts, Construction of all kind of Building, Roads, Bridges, and associated works in the Head Office and all operational sites.

12.2.3 Control of documents: Addressed in Page 7 of 14 of 3.5 of Support Process of the Quality Manual (QM). Issue no. & Issue date given but provision is *not available for the revision no. & revision date*. Documented procedure available (QAP 01) covering the requirements of **4.2.3** of ISO 9001:2008. *However the distribution list is not available in the Quality Manual.*

12.2.3.1 Revision / Amendment record sheet: *Not given in the Quality Manual.*

12.2.4 Control of records: Addressed in Page 8 of 14 of Support Process of the Quality Manual (QM). Documented procedure available (QAP 02) covering the requirements of **4.2.4** of ISO 9001:2008. *However the method of disposal of records is not given in the records matrix.*

12.3 Management Responsibility (Clause 5 of ISO 9001)

12.3.1 Management commitment (Clause 5. 1 of ISO 9001): Adequately addressed in Page 09 of 11 of 1.5 (General Information) of the Quality Manual.

12.3.2 Customer focus (Clause 5. 2 of ISO 9001): Addressed under Planning and construction Management in Page 3 of 10 of 2.2 of the Quality Manual.

12.3.3 Quality policy (Clause 5. 3 of ISO 9001): Documented Quality policy is available covering the requirements of Clause **5.3** of ISO 9001:2008 of Part 04 (Annex G) of the Quality Manual.

12.4 Planning (Clause 5. 4 of ISO 9001)

12.4.1 Quality objectives: Quality objectives have been developed and given in Annex C.

12.4.2 Quality management system planning: Addressed in Page 3 of 10 of 2.2 of the Quality Manual. Quality plan for Building Construction given in Annex H of the Quality Manual.

12.5 Responsibility, Authority and Communication (Clause 5. 5 of ISO 9001)

12.5.1 Responsibility and authority: Responsibilities listed under Annex D and the Responsibilities matrix is given in Annex B of the Quality Manual. The Organization Chart is given in Annex A of QM.

12.5.2 Management Representative: Assistant Construction Manager functions as the Management Representative (**Annex D**) of the Quality manual. *However the responsibilities of MR do not address the functions as per Clause 5.5.2 (a) (b) of ISO 9001:2008.*

12.5.3 Internal communication: Addressed in Page 6 of 14 of Support Process (3.4) of the Quality manual.

12.5.4 Management review (Clause 5. 6 of ISO 9001): Addressed in Page 13 of 14 of Support



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Process (3.11) of the Quality Manual covering the requirements of Clause 5.6 of ISO 9001:2008 *however the frequency of the Management Review Meetings have not been defined.*

12.6 Resource Management (Clause 6 of ISO 9001)

12.6.1 Provision of resources (Clause 6.1 of ISO 9001): Addressed in Page 1 of 14 of Support Processes (3.1) of the Quality Manual.

12.6.2 Human resources (Clause 6.2 of ISO 9001): Addressed in Page 1 of 14 & 2 of 14 of Support Process (3.1) of the Quality Manual covering the requirements of Clause 6.2.2 of ISO 9001:2008.

12.6.3 Infrastructure (Clause 6.3 of ISO 9001): Addressed in Page 2 of 14 of Support Process (3.1) of the Quality Manual covering the requirements of Clause 6.3 of ISO 9001:2008.

12.6.4 Work Environment (Clause 6.4 of ISO 9001): Addressed in Page 2 of 14 of Support Process (3.1) of the Quality Manual covering the requirements of Clause 6.4 of ISO 9001:2008.

12.7 Product Realization (Clause 7 of ISO 9001)

12.7.1 Planning of product realization (Clause 7.1 of ISO 9001) :Addressed adequately in Page 1 of 10 of 2.1 of the Quality Manual. Quality plan for Building and Construction Works is given in Annex H of the QM.

12.7.2 Customer related process (Clause 7.2 of ISO 9001)

12.7.2.1 Determination of requirements related to the product: Addressed adequately in Page 3 of 10 of 2.2 of the Quality Manual.

12.7.2.3 Review of requirements related to the product : Addressed adequately in Page 1 of 10 of 2.1 of the Quality Manual.

12.7.2.2 Customer communication: Addressed adequately in Page 6 of 14 of 3.4 of the Quality Manual.

12.7.3 Design and development (Clause 7.3 of ISO 9001): Has been excluded with justifications in Page 7 of 11 of 1.4 of QM.

12.7.3.1 Design and development planning: -Not applicable since design has been excluded.

12.7.3.2 Design and development review: -Not applicable since design has been excluded.

12.7.3.3 Design and development verification: -Not applicable since design has been excluded.

12.7.3.4 Design and development validation:-Not applicable since design has been excluded.

12.7.3.5. Control of design and development changes:-Not applicable since design is excluded.



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12.7.4 Purchasing (Clause 7.4 of ISO 9001)

12.7.4.1 Purchasing process: Addressed in Page 6 of 10 of 2.3 of QM. Documented procedure available for Supplier registration and evaluation of materials(QAP 07).

12.7.4.2 Purchasing information: Addressed adequately in QAP 07 & QAP 08.

12.7.4.3 Verification of purchased product: Verification of purchase orders against specified quality, quantity and delivery. (QAP 08).

12.8 Production and Service Provision (Clause 7.5 of ISO 9001)

12.8.1 Control of production and service provision: Addressed in Pages 3 of 14 of 3.2 of QM.

12.8.2 Validation of processes for production and service provision: Addressed adequately in Page 4 of 10 of 2.2 of QM.

12.8.3 Identification and traceability: Addressed in Page 5 of 10 of 2.2 of QM. A separate code is used to identify the individual project.

12.8.4 Customer property: Addressed adequately in Page 10 of 10 of 2.5 of QM.

12.8.5 Preservation of product: Addressed in Page 8 of 10 of 2.4 of the QM.

12.9 Control of monitoring and measuring equipment (Clause 7.6 of ISO 9001): Addressed adequately in 5 of 14 of 3.3 QM and reference is given to Calibration plan..

12.10 Measurement, Analysis and Improvement (Clause 8 of ISO 9001)

12.10.1 General (Clause 8.1 of ISO 9001) : Addressed in Page 4 of 10 of 2.2 of QM.

12.10.2 Monitoring and measurement (Clause 8.2 of ISO 9001)

12.10.2.1 Customer satisfaction: Customer complaints addressed under QAP 05 in Page 3 of 5. *However obtaining the feedback from customers has not been addressed.*

12.10.2.2 Internal audit: Addressed in Page 12 of 14 of Support Processes of the Quality Manual. Documented procedure is available (QAP 03) covering the requirements of clause 8.2.2 of ISO 9001:2008 and the frequency is defined as bi-annual.

12.10.2.3 Monitoring and measurement of processes: Addressed in Page 4 of 10 of 2.2 of QM. However monitoring of processes is not adequately addressed.

12.10.2.4 Monitoring and measurement of products: Addressed in Page 4 of 10 of 2.2 of QM. However monitoring of products is not adequately addressed.

12.10.3 Control of non-conformities (Clause 8.3 of ISO 9001): Documented procedure is available. (QAP 04) covering the requirements of clause 8.3 of ISO 9001:2008.



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12.10.4 Analysis of data (Clause 8.4 of ISO 9001): *Not addressed in the QM.*

12.10.5 Improvement (Clause 8.5 of ISO 9001)

12.10.5.1 Continual improvement: Vaguely addressed adequately in Page 5 of 6 of QM 8 of the Quality Manual.

12.10.5.2 Corrective actions: Documented procedure is available. (QAP 05) covering the requirements of clause 8.5.2 of ISO 9001:2008.

12.10.5.3 Preventive actions: Documented procedure is available. (QAP 06) covering the requirements of clause 8.5.3 of ISO 9001:2008.

13. FINDINGS

13.1 It is mentioned that all activities of outsourced parties are controlled but the outsourced processes have not been mentioned.

13.2 Provision is not available for the revision no. & revision date in the Quality Manual. Also the distribution list is not available in the Quality Manual.

13.3 Revision / Amendment record sheet not given in the Quality Manual.

13.4 The method of disposal of records is not given in the records matrix.

13.5 Obtaining the feedback from customers has not been addressed.

13.6 Analysis of data not addressed in the Quality Manual.

JRS Sheerawarden

SIGNATURE OF REVIEWING OFFICER

2014-02-07

DATE

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14. RECOMMENDATION BY REVIEWING OFFICER:

Recommended for the Stage I audit subject to rectifying the inadequacies of the Adequacy Audit findings.

FJR Sheeranandey

SIGNATURE OF REVIEWING OFFICER

2014-02-07

DATE

15. RECOMMENDATION BY CERTIFICATION MANAGER

Upon addressing to the inadequacies, do proceed on the stage I audit.

[Signature]

SIGNATURE OF CERTIFICATION MANAGER

2014-02-07
DATE