



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2008

N & A Engineering Services (Pvt) Ltd;



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

1. NAME OF ORGANIZATION : N &A Engineering Services (Pvt) Ltd;		
2. ADDRESS OF HEAD OFFICE : No. 81/B, Awissawella Road, Nawagamuwa, Ranala.		
3. ASSESSMENT SITE/S : Capital Trust Residencies @ Colombo 05, Proposed City Hotel @ Park Road, Colombo 05 & Apartment Complex at Colombo 03.		
4. CONTACT DETAILS :		
4.1 Name :	Mr. Chanuka Hasaranga	Designation : Quality Assurance Engineer
4.2 Tel : 0114444311	Mobile : 0713861768	Fax : 01144402454
4.3 E-mail :	chanuka@na.lk	
5. NO. OF EMPLOYEES : 420		
6. APPLICABLE STANDARD : ISO 9001:2008		
7. FILE NO. : IMSC-QMS-15		
8. NACE CODE / SUBCATEGORY : Construction of buildings and civil engineering works (F 41, F 42)		
9. SCOPE OF CERTIFICATION : Construction of all kinds of buildings, hotels, hospitals, factories, warehouses and related civil engineering works		
10. DATE OF AUDIT & Time : 2016-09-26 & 27		
11. TYPE OF AUDIT : Surveillance II		
12. AUDIT TEAM :		
Mr. D N S Kuruppumullage (DNSK)	Team Leader	
Mr. W W S D Jayawardena	Technical Expert	
Mr. Wasantha Meewaddana (WM)	Team Member	
Mr. Isuru Ilangakoon (II)	Team Member	



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

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

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 QUALITY MANAGEMENT SYSTEM (4 of ISO 9001:2008):

General requirements (4.1 of ISO 9001:2008) :

Key and support processes have been identified and their interactions determined. Design and development excluded with justifications.

Scope has been defined as Construction of all kinds of buildings, hotels, hospitals, factories, warehouses and related civil engineering works.

Determination of criteria and method needed to ensure that both the operation and control of communication of process was not evident.

Documenta on requirements(4.2 of ISO 9001:2008):

General (4.2.1 of ISO 9001:2008):

Quality Policy, Quality Objectives ,Quality Manual & documented procedures & records were included in the documentation of QMS.

Quality Manual (4.2.2 of ISO 9001:2008):

Quality Manual of the organization included scope , Referred procedures & a description of the interaction between processes of the QMS.

Control of documents (4.2.3 of ISO 9001:2008):

Documented procedure covering the requirements of 4.2.3 of ISO 9001: 2008for Control of documents was available and implemented.



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

Control of records (4.2.4 of ISO 9001:2008):

Documented procedure covering the requirements of 4.2.4 of ISO 9001: 2008 for Control Of records was available and implemented

17.2 MANAGEMENT RESPONSIBILITY (5 of ISO 9001:2008):

Management commitment (5.1 of ISO 9001:2008):

Management commitment is evident and top management ensures that customer requirements are met.

Customer focus(5.2 of ISO 9001:2008):

Top management ensures that customer requirements with regard to delivery and post delivery activities are met as per the customer requirements.

Quality policy (5.3 of ISO 9001:2008):

Quality policy is communicated through displaying in prominent places. However Quality policy has not been reviewed for it continues suitability for last 02 years.

Planning (5.4 of ISO 9001:2008):

Quality objectives(5.4.1 of ISO 9001:2008):

Quantifiable quality objectives have been developed department-wise and monitored on a regular basis

Quality management system planning (5.4.2 of ISO 9001:2008):

Quality Management system has planned & maintained as per 5.4.2. of ISO 9001:2008.

Responsibility , authority and communication (5.5 of ISO 9001:2008):

Responsibilities & authorities (5.5.1 of ISO 9001:2008):

Responsibilities and authorities are defined and communicated to relevant personnel

Management representative (5.5.2 of ISO 9001:2008):

The Quality Assurance Engineer has been appointed as the Management Representative.

Internal communication (5.5.3 of ISO 9001:2008):

communication through face to face discussions, meetings and memos

Management review(5.6 of ISO 9001:2008):

Management review meeting had not been carried out as per the intervals given in the manual.



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

17.3 RESOURCE MANAGEMENT (6 of ISO 9001:2008):

Provision of resources (6.1 of ISO 9001:2008):

Resources have been provided which needed to implement QMS

Human resources (6.2 of ISO 9001:2008):

Skill matrix was available. Training needs have been identified by Departmental Heads. Training plan has been developed for 2016.

Infrastructure (6.3 of ISO 9001:2008):

Infrastructure needed for the implementation of the QMS have been provided by the organization

Work environment (6.4 of ISO 9001:2008):

Work environment needed for the implementation of the QMS have been provided by the organization

17.4 PRODUCT REALIZATION (7 of ISO 9001:2008):

Planning of product realization (7.1 of ISO 9001:2008):

Company has an acceptable system for material planning and material quality controlling. According to the relevant specifications the company has obtained test reports from suppliers and for some materials the company has carried out specified tests before purchasing. Quality plans for the process available in relevant departments and is implemented.

Customer related processes (7.2 of ISO 9001:2008):

There are three types of tenders. Namely selective tenders, competitive bidding tenders and negotiates tenders. The organization has determined the customer requirement as per the drawings, Bill of Quantities and Specifications provided by the customer. All construction related activities of the company are comply with ICTAD regulations. Project Completion certificates indicating clients' satisfaction are issued the engineer once the project is handed over to client. The files for construction of the Proposed Building for Orel Corporation and Four Unit Residential Building for Hussain Eusafaly was examined and found that the documents are in order. However Sourcing of project in Quality Manual (Item 6) need to be reviewed for effectiveness

Design and development (7.3 of ISO 9001:2008):

Design and development planning (7.3.1 of ISO 9001:2008):

Has been excluded from scope with adequate justification

Design and development inputs (7.3.2 of ISO 9001:2008):

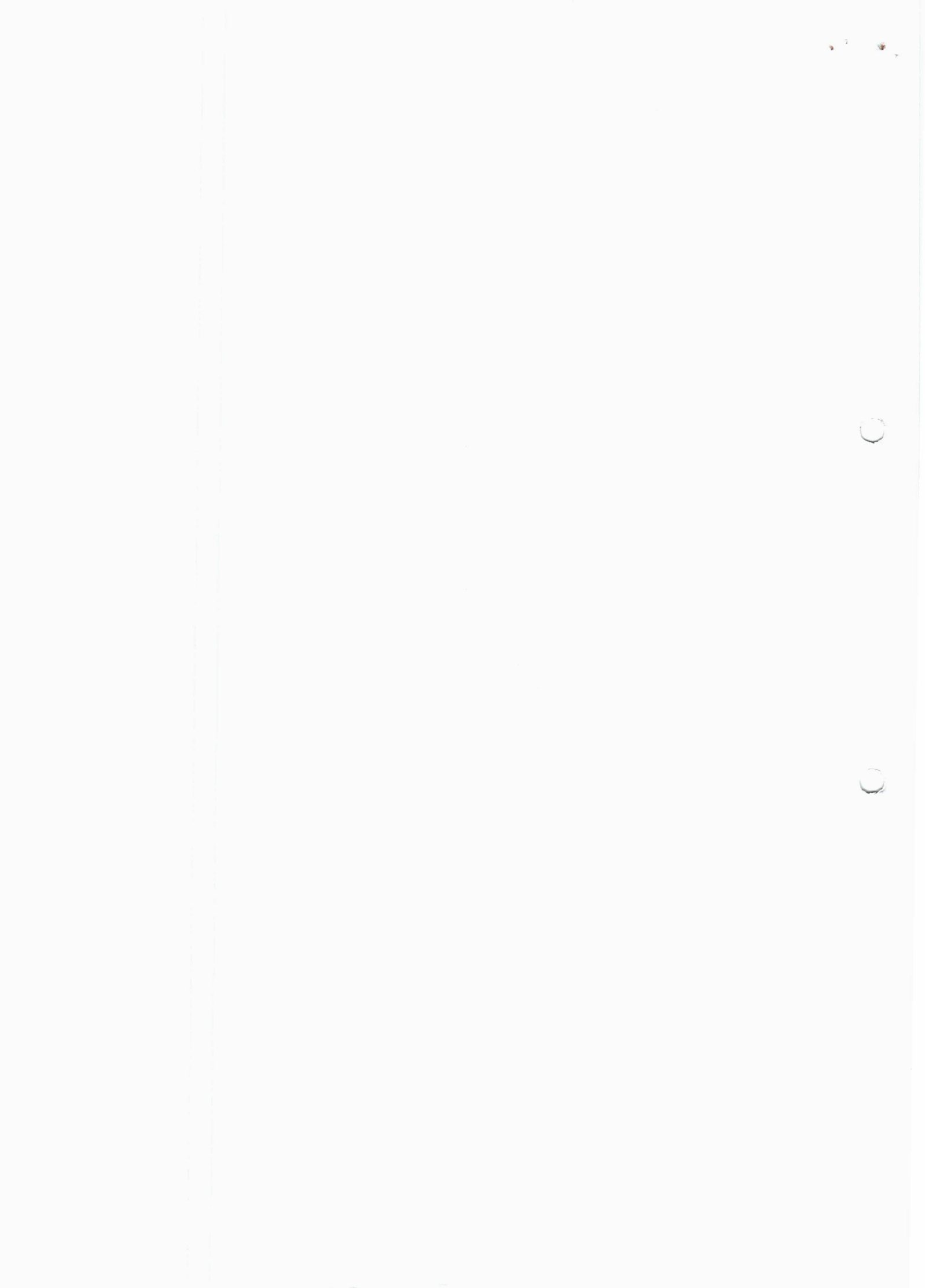
Has been excluded from scope with adequate justification

Design and development outputs(7.3.3 of ISO 9001:2008):

Has been excluded from scope with adequate justification

Design and development review(7.3.4 of ISO 9001:2008):

Has been excluded from scope with adequate justification





INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

Design and development verification (7.3.5 of ISO 9001:2008):

Has been excluded from scope with adequate justification

Design and development validation (7.3.6 of ISO 9001:2008):

Has been excluded from scope with adequate justification

Control of design and development changes (7.3.7 of ISO 9001:2008):

Has been excluded from scope with adequate justification

Purchasing (7.4 of ISO 9001:2008):

Purchasing is under the purview of the Accountant and suppliers have been evaluated as per the criteria stipulated in Page 04 QM-PR-01. List of suppliers prepared based on supplier evaluations carried out. Samples of incoming materials are tested according to the relevant standards and specifications and orders placed accordingly.

Skill matrix mentioned in clause 7 of section 2.3 of the quality manual was not available.

Production and service provision (7.5 of ISO 9001:2008):

Control of production and service provision (7.5.1 of ISO 9001:2008):

Service provision is carried out under controlled conditions. Validation is carried out where the resulting output cannot be verified by subsequent monitoring or measurement.

Validation of processes for production and service provision (7.5.2 of ISO 9001:2008):

Validation is carried out where the resulting output cannot be verified by subsequent monitoring or measurement

Identification and traceability (7.5.3 of ISO 9001:2008):

A no. is allocated for each item which is traceable to the date of dispatch and then up to the raw materials

Customer property (7.5.4 of ISO 9001:2008):

which is the design is maintained in the customer file. It is thus properly identified, verified, protected and safeguarded

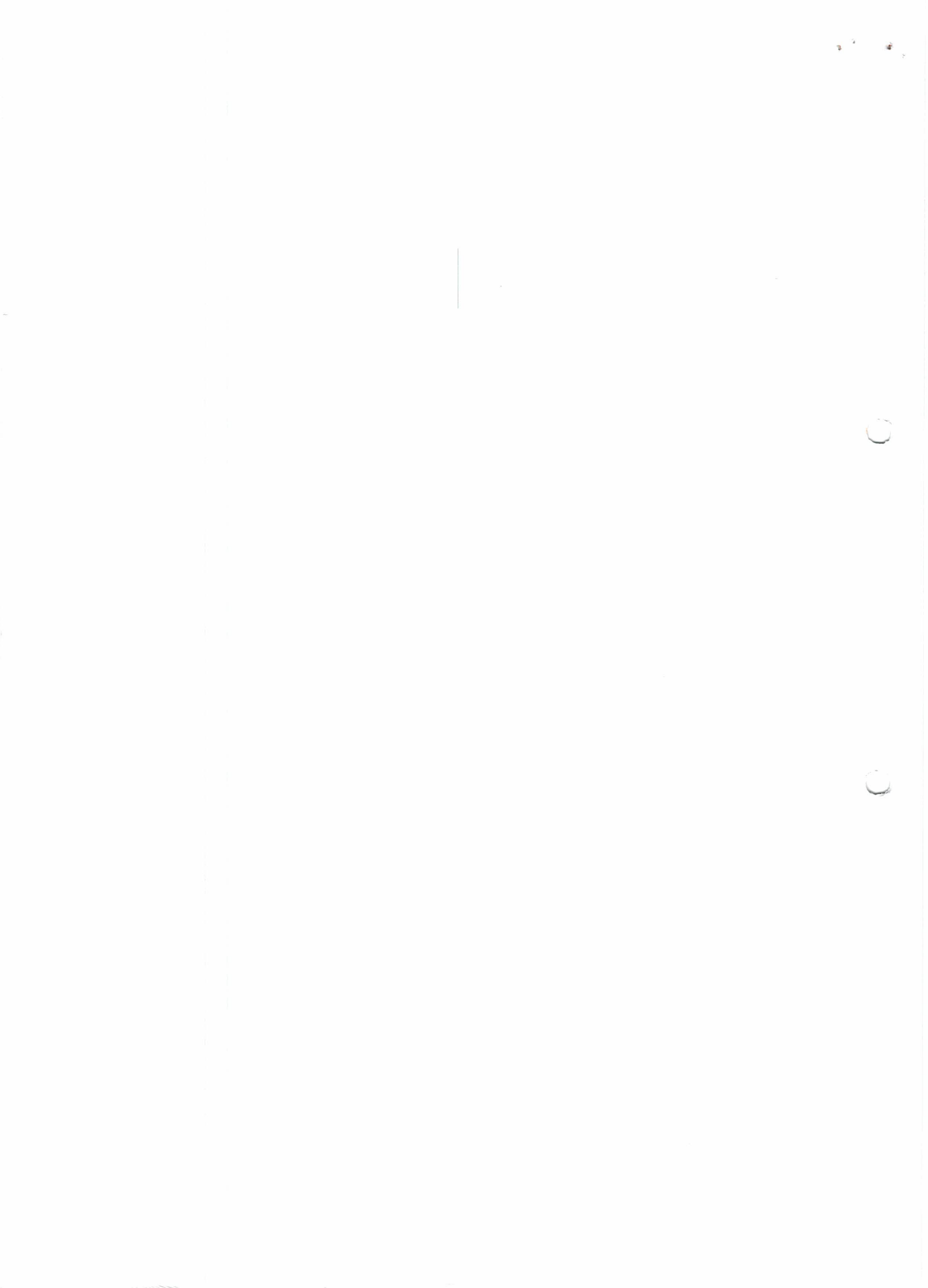
Preservation of product (7.5.5 of ISO 9001:2008):

The organizations ensure that the product is preserved during handling, packing, storage, and delivery. However, Cement and brick storage system is not effective and not comply with standards. This may cause to higher wastage and unsafe to workers

Control of monitoring and measuring equipment (7.6 of ISO 9001:2008):

Equipment used for the process has been listed and calibration schedule was available in the Survey Instruments such as Total station, Theodolite, and Levelling machines. However It has been observed that calibration of certain equipment use in the construction process to be carried out

Eg: Pressure testing machines with pressure gauges used for testing internal plumbing systems of buildings have not been calibrated. Instruments for insulation testing and megger testing in electrical wiring system of buildings to be calibrated.





INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

17.5 MEASUREMENT , ANALYSIS AND IMPROVEMENT (8 of ISO 9001:2008):

General (8.1 of ISO 9001:2008):

Monitoring and measurement (8.2 of ISO 9001:2008):

Customer satisfaction (8.2.1 of ISO 9001:2008):

A customer satisfaction questionnaire has been developed and sent to customers and the feedback was available. However Customer satisfaction analysis and method of evaluation is not effective as no response have been received from customer to the questionnaires.

Internal audit (8.2.2 of ISO 9001:2008):

Internal Audits had not been carried out as per the intervals given in the manual.

Monitoring and measurement of processes (8.2.3 of ISO 9001:2008):

Suitable methods are used for monitoring and where applicable measurement of the QMS.

Monitoring and measurement of product (8.2.4 of ISO 9001:2008):

The characteristics of the product such as thickness, density, water absorption and shrinkage are monitored to verify that product requirements are met and records maintained as appropriate.

However Project quality plan mentioned in clause 8 of section 2.2 of the manual was not available.

Control of nonconforming product (8.3 of ISO 9001:2008):

Control of non-conforming products: A documented procedure covering the requirements of 8.3 of ISO 9001: 2008 was available and implemented.

Analysis of data (8.4 of ISO 9001:2008):

Organization has analysed data for Suppliers, project rejects, Performance loss, Quality rate, . Customer satisfaction data has been analysed.

Improvement (8.5 of ISO 9001:2008):

Continual improvement (8.5.1 of ISO 9001:2008):

Continual improvement is evident.

Corrective action (8.5.2 of ISO 9001:2008):

Documented procedure available for Corrective actions covering the requirements of 8.5.2 and implemented.

Preventive action (8.5.3 of ISO 9001:2008):

Documented procedure covering the requirements of 8.5.3 of ISO 9001: 2008 for Preventive actions was available.



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

18. **APPLICABLE LEGAL REQUIREMENTS:** attached

19. **ANY UNRESOLVED ISSUES:** No

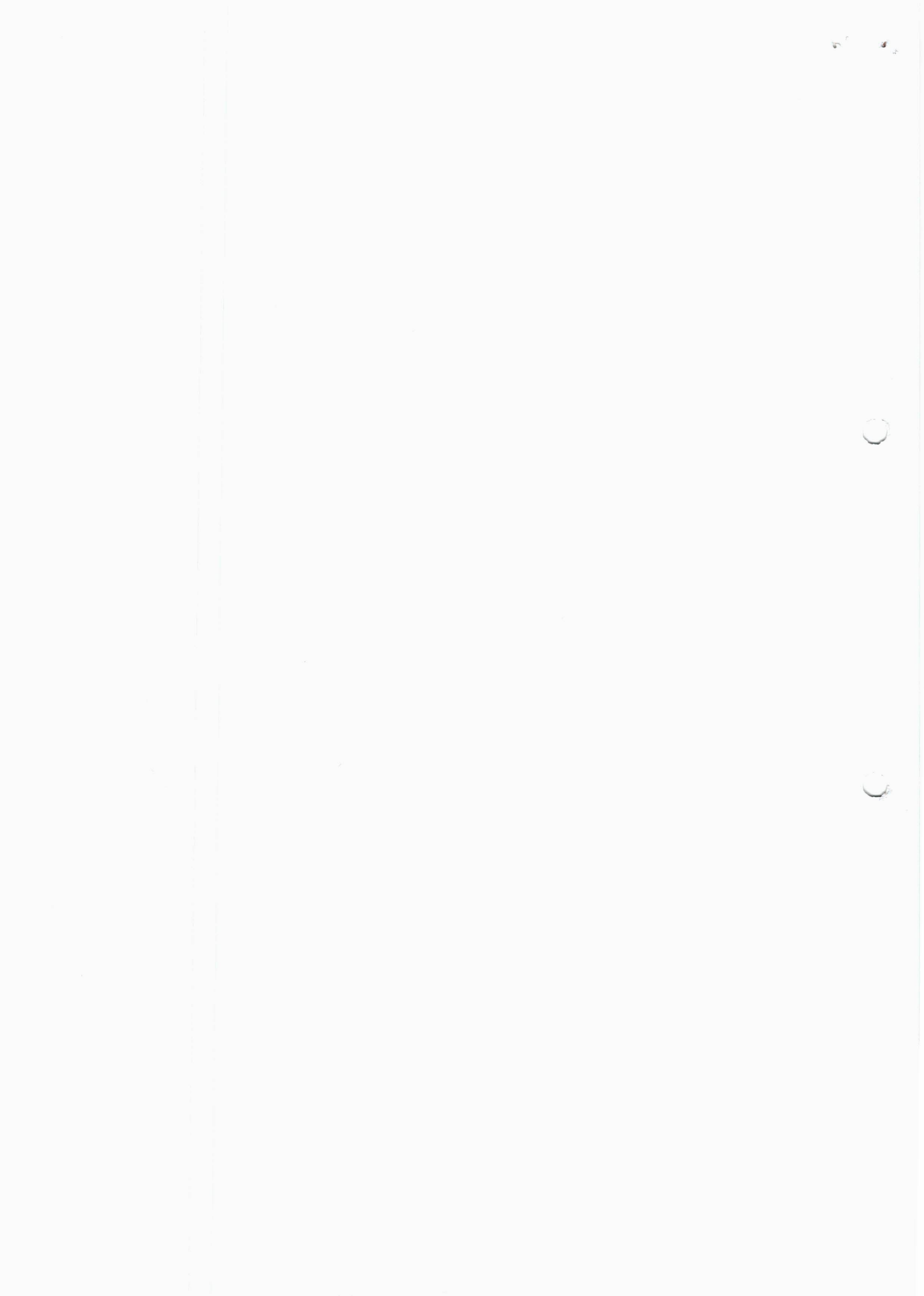
20. **REVIEW OF PREVIOUS AUDIT REPORT & VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES:**

21. **USE OF LOGO:** logo has been used as per the requirement mention in IMSM-CUL-01

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





INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

23. MAJOR NON-CONFORMITIES: Two (02)

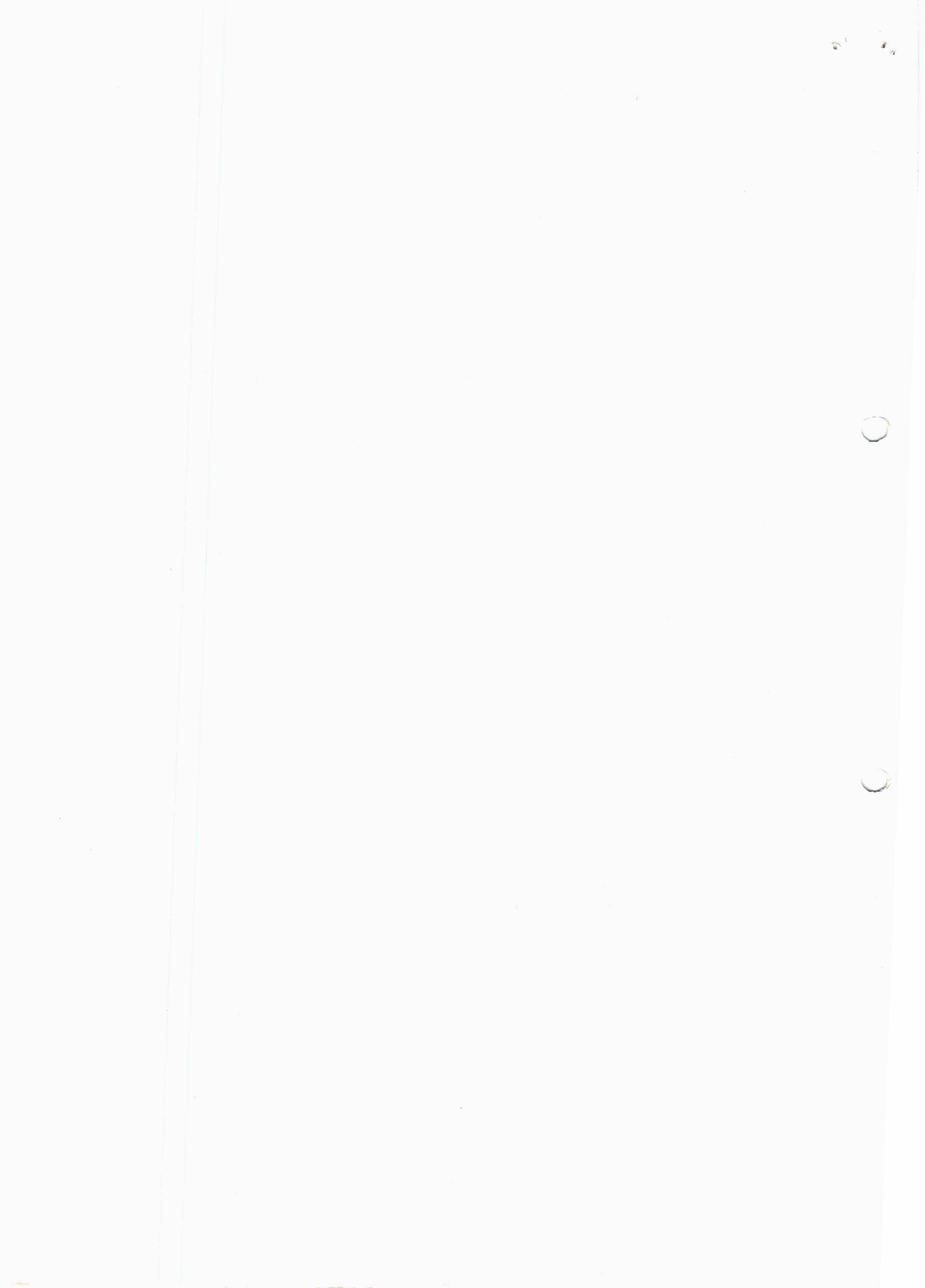
- 23.1 Management review meeting had not been carried out as per the intervals given in the manual.
- 23.2 Internal Audits had not been carried out as per the intervals given in the manual.

24. MINOR NON-CONFORMITIES: Six (06)

- 24.1 Determination of criteria and method needed to ensure that both the operation and control of communication of process was not evident.
- 24.2 Quality policy has not been reviewed for it continues suitability for last 02 years.
- 24.3 Skill matrix mentioned in clause 7 of section 2.3 of the quality manual was not available.
- 24.4 Pressure testing machines with pressure gauges used for testing internal plumbing systems of buildings have not been calibrated.
- 24.5 Customer satisfaction analysis and method of evaluation is not effective as no response have been received from customer to the questionnaires.
- 24.6 Project quality plan mentioned in clause 8 of section 2.2 of the manual was not available.

25. OPPORTUNITIES FOR IMPROVEMENT:

- 25.1 Sourcing of project in Quality Manual (Item 6) need to be reviewed for e ffectiveness.
- 25.2 Site cleaning and garbage disposal are not in satisfactory level.
- 25.3 Copy of the Testing of Concrete Cubes (BS 1881) specification, Safety Manual are not available at the site office.
- 25.4 Temporary electrical wiring system for construction purposes are not safe enough. It have been observed that, uncovered panel boards and unsafe cable laying in the sites premises
- 25.5 The following documents/formats are not properly maintained at Site Office
 - 1.Periodical Safety Inspection Report.
 - 2.Engineer's approval/comment.
 - 3.Accident Reports.
 - 4.Material quality controlling and approval files.
 - 5.Test reports of materials (Steel, Aggregate, Cement, Bricks/Blocks) except concrete test reports and electrical test reports.





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**INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008**

- Page 10 of 10 is for internal purposes only.

25. RECOMMENDATION BY AUDIT TEAM :

Recommended to grant certification provided the evidence on corrective action to raised NC is satisfactorily completed

[Signature]
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Signature of Team Leader

2016-09-27
.....
Date

[Signature]
.....
Signature of Team Member - 1

2016-09-27
.....
Date

[Signature]
.....
Signature of Team Member - 2

2016-09-27
.....
Date

[Signature]
.....
Signature of Team Member - 3

2016-09-27
.....
Date

26. RECOMMENDATION BY CERTIFICATION MANAGER:

Recommended

[Signature]
.....
Signature of Certification Manager

2017-01-31
.....
Date

27. APPROVAL FOR CONTINUATION OF CERTIFICATION:

Approved,
[Signature]
.....
Signature of Director

2017-01-31
.....
Date

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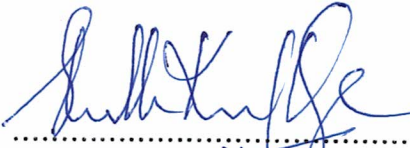
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INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2008

26. RECOMENDATION FROM AUDIT TEAM:

The audit team concludes that the organization has has not 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 continued 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 LEAD AUDITOR

2016-09-27
.....
DATE