



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2015

HYPER JET TECHNOLOGIES (PVT) LTD

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

1. NAME OF ORGANIZATION : Hyper jet Technologies Pvt Ltd	
2. ADDRESS OF HEAD OFFICE : NO. 42, Cameron place , Colombo 03	
3. ASSESSMENT SITE/S : same as 2	
4. CONTACT DETAILS :	
4.1 Name :	D. Susanthi De Zoysa Designation : Marketing Coordinator
4.2 Tel :	011- 2394666 Mobile : 077 3870 424 Fax :
4.3 E-mail :	susanthidz@gmail.com
5. NO. OF EMPLOYESS : 08	
6. APPLICABLE STANDARD : ISO 9001:2015	
7. FILE NO. : QMS 053	
8. NACE CODE / SUBCATEGORY :	
9. SCOPE OF CERTIFICATION : Import and sales of industrial telecommunication equipment.	
10. DATE OF AUDIT & Time : 2019/11/18	
11. TYPE OF AUDIT : Surveillance I	
12. AUDIT TEAM :	
Mr. Shantha Kuruppumullage	Team Leader
Ms.Chalani Jayasuriya	Team Member

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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:

15.ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME:

16.AUDIT FINDINGS :

17.1 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. The organization also has established required monitoring and measurement mechanism and assigned responsibilities and authorities for each requirement.

Company has not reviewed the external and internal issues, interested parties and their need and

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expectation ,risk and opportunities arising from same on performance of QMS. (NCR 01)

17.2 LEADERSHIP(5 of 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 objectives established compatible with organizational context and the strategic direction of the organization.

They also committed to promote risk based thinking throughout the organization and have taken steps to adequately provide resources required and interested in achieving business objectives with continual improvement of established quality objectives. Director whom we have interviewed during the audit express the necessity of meeting the applicable statutory and regulatory requirements and customer satisfaction.

Policy(5.2 of ISO 9001:2015):

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

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

Top management has delegated responsibility and authority for relevant personals and it is communicated with in the organization. Company has also assign responsibility and authority with regard 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.

17.3 PLANNING(6 of ISO 9001:2015):

Actions to address risks and opportunities(6.1 of ISO 9001:2015):

Organization has determined the risks and opportunities which considered the issues referred to in 4.1 and the requirements referred to in 4.2 and it has planned actions to address them. The planning also included how to integrate and implement these actions into its QMS processes and how to evaluate the effectiveness of these actions.

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

Quality objectives have been defined and established and are inline with the strategic direction.

Planning of changes (6.3 of ISO 9001:2015):

There is a mechanism to carry out the changes when the organization determine the need for changes to the QMS while considering the purpose for change and its expected results while ensuring the integrity of QMS.

17.4 SUPPORT(7 of ISO 9001:2015):

Resources (7.1 of ISO 9001:2015):

General (7.1.1 of ISO 9001:2015):

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

ISSUE NO. : 04

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Organization has provided required resources for establish, implement, maintain and continually improve the quality management system by considering capabilities and constrains of existing resources and needs obtained from external providers.

People (7.1.2 of ISO 9001:2015):

Organization has provided personnel required to implement the QMS effectively and for the operation and control of its processes.

Infrastructure (7.1.3 of ISO 9001:2015):

Organization 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):

Organization has provided necessary operation environment in terms of both physical and human requirement. Adequate ventilation and light for the operation are provided. Operation also complies with the sanitary requirements for staff and the visitors.

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

Excluded

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):

evaluation of performance after training for certain training programme has been carried out without any clear criteria for state of competence of personals evaluation of performance after training for certain training programme has been carried out without any clear criteria for state of competence of personals
(OB 01)

Awareness (7.3 of ISO 9001:2015):

The organization has given awareness to all the staff members on quality objectives, their contribution to the effectiveness to the quality management system and the implications of not conforming QMS requirements.

Communication (7.4 of ISO 9001:2015):

The organization has determined 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):

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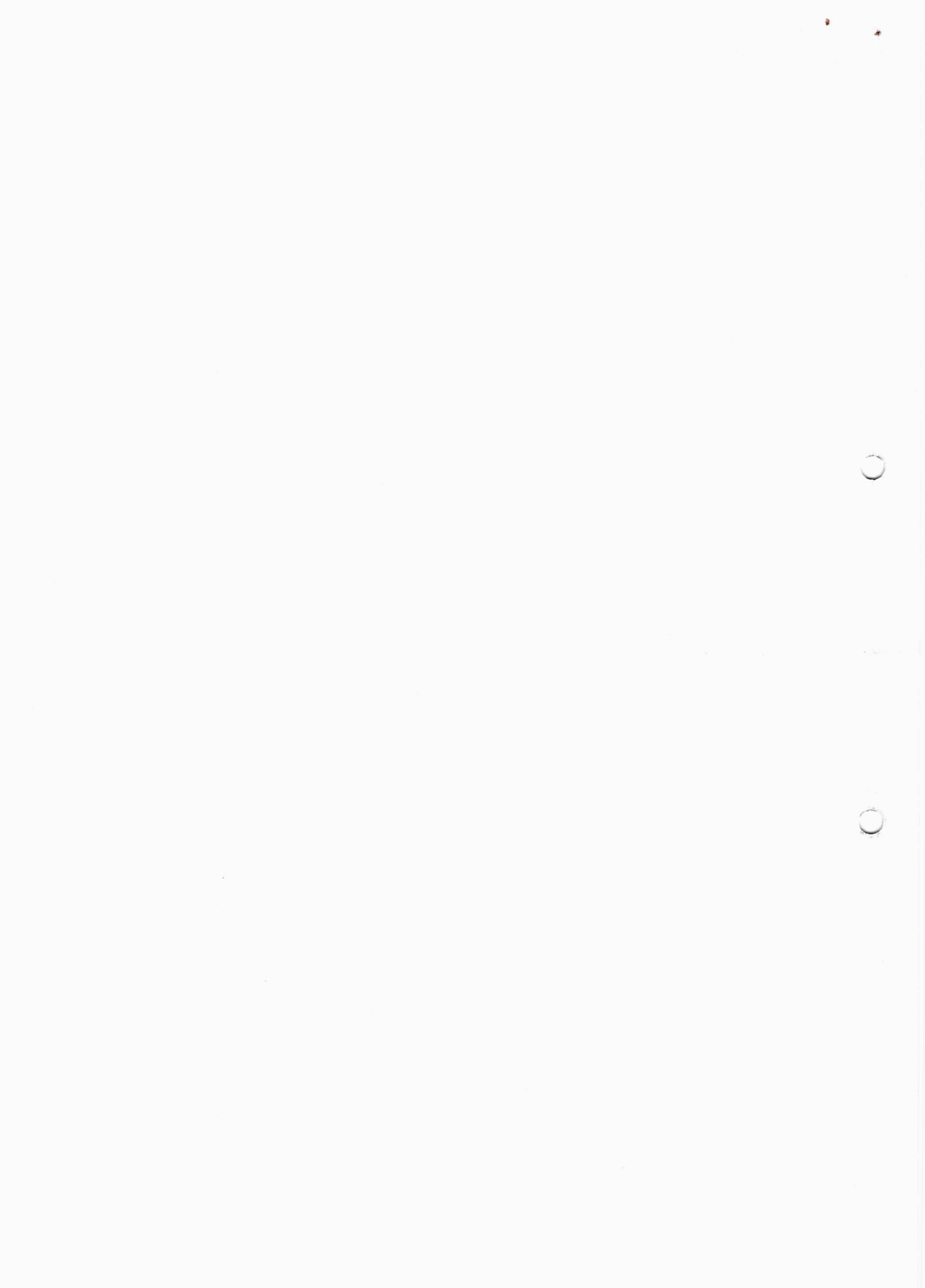
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It has been observed that the company dispose obsolete documents without considering the information it is contained under confidentiality requirement.

Ex: method of disposal mentioned in master list of documents as disposal through Licensed waste collectors without considering the confidentiality of documents (NCR 02)

Company used Certain documents only as soft copies which is not included in the master list of documents **(OB 02)**

What the company is practicing and what is documented is different in certain cases.

Ex: training evaluation done by Director and Operational manager. However in the procedure for competence , training and development 7/PR/07 revision It mentioned that sectional head will be evaluating the training effectiveness **(OB 03)**

17.5 OPERATION (8 of ISO 9001:2015):

Operational planning and control (8.1 of ISO 9001:2015):

Company has planed, 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. Customer feedback has obtained after completion of service provided and 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, relevant specifications, governing Laws 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 products 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 has stated that the activities related to design and development has exempted, when verified company does not validate the products they sale as it is not applicable to their operations.

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

General (8.4.1 of ISO 9001:2015):

The organization has ensured the control of externally provided services including outsourced processes, purchasing, etc. Criteria for pre qualifying, evaluation, selection, monitoring of performance and re-evaluation of such activities has been established and documented information of those activities are retained and controlled.

Type and extent of control (8.4.2 of ISO 9001:2015):

Externally provided processes remained within the organization under controlled condition and verification of same has been carried out as it is necessary to ensure that the externally provided processes meet requirements of the organization.

Information for external providers (8.4.3 of ISO 9001:2015):

Organization has ensured the adequacy of requirements prior to communication to the external providers and company provided necessary information regarding the processes, product and services to be provided, competency requirement, etc.

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):

The organization has identified, handled, stored, and protected the outputs during production, to the extent necessary to ensure conformity to requirements.

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

Excluded

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

When changes required for production, organization has reviewed requirement of the same and documented information has been retained under controlled condition.

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Release of products and services (8.6 of ISO 9001:2015):

The organization has implemented proper approval procedures of raw materials, process inspections and final inspection as per the specifications and conditions of the contracts to verify that the product requirements have been met. The release of products to the customer has proceeded once the above arrangements have been satisfactorily completed.

Control of nonconforming outputs (8.7 of ISO 9001:2015):

When the product does not ensure required output, organization has controlled to prevent their unintended use or delivery to the customers. The organization has taken appropriate actions to correct the nonconformity and segregation of nonconforming products. The organization has retained documented information regarding nonconforming situation and it is describes the nonconformity, action taken and identifies the authority declining the action in respect of the nonconformity.

17.6 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):

The organization 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 complaints, 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 log and corrective action reports were available at the audit.

There is no evidence to prove that the Internal audit are being conducted at planned intervals. (NCR 05)

Management review (9.3 of ISO 9001:2015):

Management review has been carried out, all the aspects has been discussed at the management review meeting

17.7 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 addressed nonconformities and corrective actions have been

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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.

17. APPLICABLE LEGAL REQUIREMENTS:

18. ANY UNRESOLVED ISSUES:

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

20. USE OF LOGO:

21. 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

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- 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

22. MAJOR NON-CONFORMITIES:

23. MINOR NON-CONFORMITIES:

1. Company has not reviewed the external and internal issues, interested parties and their need and expectation ,risk and opportunities arising from same on performance of QMS. (NCR 01)
2. It has been observed that the company dispose obsolete documents without considering the information it is contained under confidentiality requirement.
Ex: method of disposal mentioned in master list of documents as disposal through Licensed waste collectors without considering the confidentiality of documents (NCR 02)

25.OPPORTUNITIES FOR IMPROVEMENT:

- 1..evaluation of performance after training for certain training programme has been carried out without any clear criteria for state of competence of personals evaluation of performance after training for certain training programme has been carried out without any clear criteria for state of competence of personals **(OB 01)**
2. Company used Certain documents only as soft copies which is not included in the master list of documents **(OB02)**
3. What the company is practicing and what is documented is different in certain cases.
Ex: training evaluation done by Director and Operational manager. However in the procedure for competence , training and development 7/PR/07 revision It mentioned that sectional head will be evaluating the training effectiveness **(OB 03)**
- 4.company has stated that the activities related to design and development has exempted, when verified company does not validate the products they sale as it is not applicable to their operations.
(OB 04)

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26.RECOMENDATION FROM AUDIT TEAM:

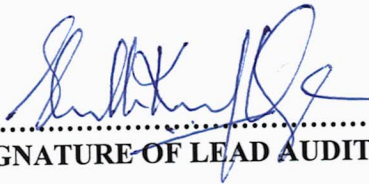
(Strike off which is not relevant)

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 / 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 major/minor non conformities raised / Suspended until satisfactory corrective action is completed.

ANY OTHER COMENTS:



.....
SIGNATURE OF LEAD AUDITOR

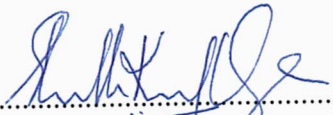
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- *This page is for internal purposes only.*

27. RECOMMENDATION BY AUDIT TEAM :

*Recommended for continuation on successful completion of
corrective action for raised Non-Conformities*


.....
Signature of Team Leader

.....2019-11-18.....
Date


.....
Signature of Team Member - 1

.....2019-11-18.....
Date

.....
Signature of Team Member - 2

.....
Date

28. RECOMMENDATION BY CERTIFICATION MANAGER:

.....
Signature of Certification Manager

.....
Date

29. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

.....
Signature of Director

.....
Date

