



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2008

Latex Lanka International (Pvt) Ltd



INDEXPO CERTIFICATION LIMITED
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SURVEILLANCE AUDIT REPORT – ISO 9001:2008

1. NAME OF ORGANIZATION : Latex Lanka Interntional (Pvt) Ltd.
2. ADDRESS OF HEAD OFFICE : 308/17 B, Magamma road, Homagama, Sri Lanka
3. ASSESSMENT SITE/S : same as 2
4. CONTACT DETAILS :
4.1 Name : Mr.Sanjeewa Nawarathna Designation : Director
4.2 Tel : +94 0114573000 Mobile : 077 7639609 Fax : +94 0112857006
4.3 E-mail : latexlanka@gmail.com
5. NO. OF EMPLOYESS : 33
6. APPLICABLE STANDARD : ISO 9001:2008
7. FILE NO. : IMSC-QMS- 024
8. NACE CODE / SUBCATEGORY : 20.3
9. SCOPE OF CERTIFICATION : Manufacturing of water proofing joint
10. DATE OF AUDIT & Time : 2017-08-16
11. TYPE OF AUDIT : Surveillance
12. AUDIT TEAM : Mr.D.N.S.Kuruppumullage Team Leader

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14. 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: None

16. ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME: None

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.

Scope has been defined as manufacturing of water proofing paints and distribution.

The company has trained the its management representative of the existing quality management system on ISO 9001:2015 requirements. The company has also planned a training for the staff members through the trained MR to implement the transition requirements including internal auditors. Organization also has determined its internal external issues , the interested parties and their requirements and risk and opportunities arising the same . scope of the management system has been determined, interested of processes required for effective quality management system has been identified. Company need to align the quality objectives to the strategic direction of the company and need planning to achieve quality objective as per the ISO 9001:2015 clause no 6.2.2.

Company has express their willingness to continue existing document control and record control procedure. The company still use the term supplier and service provider instead of external providers. However the controls for external providers have been implemented as it was a requirements of ISO 9001:2008 version as well.

It is recommended that the company may go through the existing quality management system and fine tune the same prior to next recertification audit.

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Documentation 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 C,MS.

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 available for control of documents covering the requirements of 4.2.3 of ISO 90001: 2008 and implemented.

Certain documents have not been controlled as per the procedure. Ex: appointment letter, Non conformity report **OB 01**

Control of records (4.2.4 of ISO 9001:2008): Documented procedure available for control of documents covering the requirements of 4.2.4 of ISO 9001: 2008 for Control of records was available and implemented. List of records available.

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

Management commitment (5.1 of ISO 9001:2008):Management commitment was evident. MD, Director, Factory Manager, Sales Manager were interviewed and found that they are well aware of their responsibilities.

The company taken steps to implement the ISO 9001:2015 QMS requirements. The company has scheduled an ISO 9001:2015 training programme to make the staff aware of the requirements of the standard and any changes for the transition of existing system. Company has carried out an analysis of external and internal issues by conducting a SWOT analysis.

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): It has been observed that the quality policy and the quality management system requirements are effectively to the staff members.

Planning (5.4 of ISO 9001:2008):

Quality objectives(5.4.1of ISO 9001:2008): Quantifiable quality objectives have been established and communicated to relevant personnel.

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. Top management has ensured that the planning of QMS is carried out in order to meet the requirements of general management system.

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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 Account assistant/ HR officer has been appointed as the Management Representative.

Internal communication (5.5.3 of ISO 9001:2008): E-mails, memos and discussions have been used effectively in the Internal communication.

Management review (5.6 of ISO 9001:2008): Management review frequency is defined as biannual and the last Management Review meeting has been conducted and minutes were available. All Agenda items as per 5.6.1 of ISO 9001 have been discussed. Decisions taken at the MRM has been implemented.

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

Provision of resources (6.1 of ISO 9001:2008): Human and other resources necessary for the implementation of the QMS have been provided by the organization.

Human resources (6.2 of ISO 9001:2008): Human and other resources necessary for the implementation of the QMS have been provided by the organization. Skill matrix and Training plan for 2017 was available.

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.

Mosquito breeding points to be controlled and collection of water has been observed on plastic barrels stored at the in front of raw material storage area (OB 02)

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

Planning of product realization (7.1 of ISO 9001:2008): Quality plans are available. Company has planned its production on orders that they received from their clients. All resources required are made available to the production floor based on the plan. Company complies with the all requirements stipulated in the standard.

Customer related processes (7.2 of ISO 9001:2008): Orders are accepted by the Sales & Marketing Department and communicated to Production. The R & D is requested to develop of the sample. If approved by the Management it is communicated to the production.

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

Overall responsibility of design and development activities of the organization is liaised with Top management and Factory Manager.

Purchasing (7.4 of ISO 9001:2008): All purchase orders are reviewed and approved prior to releasing to the supplier. Supplier evaluations have been carried out.

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

Control of production and service provision (7.5.1 of ISO 9001:2008): Organization has planned production, under controlled conditions. Work instructions are available at the point of operation in various manufacturing stages and company also possess all necessary machinery and equipment for production, monitoring and measurement. There are system implemented for product release, delivery and post-delivery activities such as handling of customer complaints with regards to delivered products.

Validation of processes for production and service provision (7.5.2 of ISO 9001:2008): Excluded with justification.

Identification and traceability (7.5.3 of ISO 9001:2008): Identification and traceability maintain and all process and products are assigned a unique reference number and customer traceability.

Customer property (7.5.4 of ISO 9001:2008): customer property has been excluded from the manual as it is not relevant to the company.

Preservation of product (7.5.5 of ISO 9001:2008): Organization ensures that the product is preserved throughout product realization.

Control of monitoring and measuring equipment (7.6 of ISO 9001:2008): List of equipment along with the calibration schedule was available and calibration done and records were available during the audit.

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

General (8.1 of ISO 9001:2008): Organization has planned and implemented necessary monitoring and measurement activities and the results have been analysed for the improvement required. Basic statistical methods have been used for analysis.

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

Customer satisfaction (8.2.1 of ISO 9001:2008): Customer satisfaction Questionnaire has been developed and feedback has been obtained from customers and analysed.

Internal audit (8.2.2 of ISO 9001:2008): A documented procedure covering the requirements of 8.2.2 of ISO 9001:2008 is available and implemented. Internal audit plan for 2017 available and corrective actions have been taken for the non-conformities detected at the internal audit.

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Monitoring and measurement of processes (8.2.3 of ISO 9001:2008): Monitoring and measurement is carried out in all important stages of production to identify deviations from the planned quality assurance requirements.

Monitoring and measurement of product (8.2.4 of ISO 9001:2008): A documented procedure covering the requirements of 8.2.2 of ISO 9001:2008 is available and implemented. Internal audit plan for 2016 available and corrective actions have been taken for the non-conformities detected at the internal audit.

Control of nonconforming product (8.3 of ISO 9001:2008): Documented procedure covering the requirements of 8.3 of ISO 9001: 2008 for Control of non-conforming products was available and implemented.

Analysis of data (8.4 of ISO 9001:2008): Organization has determined the types of data to be collected and relevant data has been collected and customer satisfaction data has been analysed.

Improvement (8.5 of ISO 9001:2008):

Continual improvement (8.5.1 of ISO 9001:2008): Company has identified areas for improvement based on data analyse from monitoring and measurement process. The objective have also been established for this purpose.

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.

Electrical trip switch has not been checked for verification of its effectiveness. (OB 03)

18. APPLICABLE LEGAL REQUIREMENTS: business registration, EPL

19. ANY UNRESOLVED ISSUES: None

20. REVIEW OF PREVIOUS AUDIT REPORT & VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES:
Corrective actions have been taken and effectiveness verified

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21. **USE OF LOGO:** Use of logo in par with the “a Conditions for Use of Logo” document issued by Ind-Expo Certification Ltd.

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 demcnstrated overall conformance with the requirements of the audit standard. YES NO

23. **MAJOR NON-CONFORMITIES:** none

24. **MINOR NON-CONFORMITIES:** none

25. OPPORTUNITIES FOR IMPROVEMENT:

1. Certain documents have not been controlled as per the procedure. Ex: appointment letter, Non conformity report **OB 01**

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- 2. Mosquito breeding points to be controlled and collection of water has been observed on plastic barrels stored at the in front of raw material storage area (OB 02)
- 3. Electrical trip switch has not been checked for verifiicator of its effectiveness. (OB 03)

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 de monstrated state of development and maturity, management system certification be:

Granted / continued he 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

.....2017/08/16.....
DATE

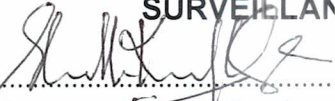
- Page 10 of 10 is for internal purposes only.

1. RECOMMENDATION BY AUDIT TEAM :

Recommended for continuation



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Signature of Team Leader

.....2017/08/16.....
Date

.....
Signature of Team Member - 1

.....2017/08/16.....
Date

.....
Signature of Team Member - 2

.....2017/08/16.....
Date

.....
Signature of Team Member - 3

.....
Date

2. RECOMMENDATION BY CERTIFICATION MANAGER:

*All NCRs have been closed. Recommend to continue
of certification*


.....
Signature of Certification Manager

.....2017/08/16.....
Date

3. APPROVAL FOR CONTINUATION OF CERTIFICATION:


.....
Signature of Director

.....2017/08/16.....
Date