



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2015

Lanka Soil Coir Substrate (Pvt) Ltd

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO9001:2015**

1. NAME OF ORGANIZATION : Lanka Soil Coir Substrate (Pvt) Ltd
2. ADDRESS OF HEAD OFFICE : Arambe Uyana Estate, Wewagama, Kuliypitiya
3. ASSESSMENT SITE/S : Same as above
4. CONTACT DETAILS :
4.1 Name : Mr. Pravin Rajapaksha , Designation : Director
4.2 Tel : Mobile : 077-2631498 Fax :
4.3 E-mail : lankasoilcoirsubstrate@gmail.com
5. NO. OF EMPLOYEES : 35
6. APPLICABLE STANDARD : ISO 9001:2015
7. FILE NO. : IMSC-QMS- 084
8. NACE CODE / SUBCATEGORY :
9. SCOPE OF CERTIFICATION : Activities pertaining to Manufacturing of Coir Pith Substrate based products
10. DATE OF AUDIT & Time : 2023.09.14
11. TYPE OF AUDIT : Surveillance II
12. AUDIT TEAM :
Mr. Isuru Ilangakoon (II) Team Leader
Ms. Promila Jayaraj (PJ) Team Member

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13. AUDIT OBJECTIVES:

The objectives of this audit were:

- to confirm that the management system continually 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. AUDIT CRITERIA : ISO 9001: 2015, ISO 19011 and other applicable requirements

16. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS: None

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

18. SIGNIFICANT CHANGES, IF ANY, THAT AFFECT THE MANAGEMENT SYSTEM OF THE COMPANY SINCE THE LAST AUDIT TOOK PLACE : None

19. AUDIT FINDINGS :

19.1 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.

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. Scope is defined as 'Manufacturing of coco pith based products.

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

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requirement. The organization review and evaluates these processes to achieve intended results. quality management system is also equipped with necessary documented information

19.2 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 objective established compatible with company context and the strategic direction of the company.

They also committed to promote risk based thinking throughout the organization and has taken steps to adequately provide recourses required and interested in achieving business objectives with continual improvement of established quality objectives. Director(Production) whom we 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):

Company has established, implanted and maintained a quality policy that can prove satisfactory application of applicable requirements and achievement of continual improvement, it is documented and communicated thorough out the organization. it is also in line with the propose, context and its strategic direction that can provide framework for setting quality objectives.

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.

19.3 PLANNING(6 of ISO 9001:2015):**Actions to address risks and opportunities(6.1 of ISO 9001:2015):**

Company has use the issues under clause number 4.1 and the requirements under 4.2 of the standard and as determine the risk and opportunities that are arising during the planning of quality management system. These include enhance desirable effects and prevention and reduction of undesired effect while achieving the improvements.

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

Company has maintained documented information on the Quality objectives for 2023.

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

Organization has a mechanism to determine the changes required to quality management system and carryout the same by planning, while considering the need for change and its expected results while ensuring the integrity of QMS.

19.4 SUPPORT(7 of ISO 9001:2015):**Resources (7.1 of ISO 9001:2015):**

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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 recourses. Company has also obtained fire controlling from external providers.

People (7.1.2 of ISO 9001:2015):

Organization also has provided personnel required to effectively implement the QMS and the activities related to QMS.

Infrastructure (7.1.3 of ISO 9001:2015):

Company 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):

Company has provided necessary environment operation intern of both physical and human requirement. Company has provided adequate ventilation and light for the operation. Company also complies with the sanitary requirements for staff and the visitors. General cleanliness of the environment also has been ensured.

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

Company has provided equipment necessary to obtain valid and reliable results such as digital weighing scales, ruler, dial gauge and tensile tester etc. However, the process of measurement traceability is not effective. **(NC)**

Eg: The moisture analyser has not been calibrated/verified at specific defined interval.

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):

The training has been performing to acquire the necessary competency. All training records are available.

Awareness (7.3 of ISO 9001:2015):

The organization has given awareness to all the staff members on quality policy and objectives and there expected contribution from them to the effectiveness to the quality management system including improvements.

Communication (7.4 of ISO 9001:2015):

The company has identified and assign 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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Company has identified documented information required by the standard and documents required to be apply for effectiveness of QMS. Company has established a documented information control system a procedure for both documents and records. Including distribution, retrieval, storage and preservation, control of changes, retention and disposition. All external documents required has been identified and controlled. However it was observed that the process of document control is not effective (NC)
Eg: Master list, work instruction for order

19.5 OPERATION (8 of ISO 9001:2015):**Operational planning and control (8.1 of ISO 9001:2015):**

Company has planned, 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. Company provides information to their customers regarding to their banquet service and menus. Customer feedback has obtained after completion of service provided and customer complains 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 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 product 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 menus and banquet service, 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):

The process related to design and developments are not currently performing in the organization.

Control of externally provided processes, products and services (8.4 of ISO 9001:2015):**General (8.4.1 of ISO 9001:2015):**

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

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Externally provided processes remained within the company 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 company.

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

Company 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 batch code is issued for each product to identify the production details in case of need.

Property belonging to customers or external providers (8.5.3 of ISO 9001:2015):

Company does not have any item or property belong to customer or external provider

Preservation (8.5.4 of ISO 9001:2015):

Company has taken necessary steps to ensure that the product manufactured is kept protected during handling, packaging, storage, transmission or transportation and has taken necessary controls to protect from contamination.

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

After the delivery, customer feedback will be taken and accept the returns with acceptable issue.

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

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

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

The company has a mechanism to release its products as per the customer request and in accordance with the agreement with the customer. Release of products will be authorized only after the final inspection and with the approval of the factory manager.

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

When the product or service does not ensure required output, company has controlled to prevent their unintended use or delivery to the customers. Company has taken appropriate actions to correct the nonconformity, segregation of nonconforming product and inform the customers.

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The company has retained documented information regarding nonconforming situation and it describes the nonconformity, action taken and identifies the authority declining the action in respect of the nonconformity.

19.6 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):

Company 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 satisfaction evaluation has been commenced using a questioner recently,

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 complain, customer satisfaction, performance of external providers, risk analysis.

Internal audit (9.2 of ISO 9001:2015):

As per the requirement in the standard correction and corrective action has to be taken without undue delay.

Management review (9.3 of ISO 9001:2015):

Management review has been conducted considering the inputs of the standard requirement. The output is communicated where the actions need to address.

19.7 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 action taken for customer complains and process NCR's are documented.

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.

20. KEY PERSONNEL INTERVIEWED:

Name:	Designation	Responsibilities
Mr. Pravin Rajapaksha	Director -Operation	Overall management and guidance,

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Ms. N Kumari	Office clerk	Management system documentation
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21. APPLICABLE LEGAL REQUIREMENTS: Company has obligations to comply with both the shop and office act and the factory ordinance. In addition company comply with other labour laws applicable such as EPF, ETF and gratuity act. Company also complies with the National Environment Regulation and stipulated requirements given in environmental performance licence.

22. ANY UNRESOLVED ISSUES: None

23. REVIEW OF PREVIOUS SURVEILLANCE AUDIT REPORTS AND VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES: Previous audit reports and effectiveness of the corrective actions were verified at the audit.

24. USE OF LOGO: Logo can be used as per the terms and conditions of the certification body.

25. DETAILS OF SHIFT ACTIVITIES : No

26. 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

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27. MAJOR NON-CONFORMITIES: None

28. MINOR NON-CONFORMITIES:

1. The process of measurement traceability is not effective. (7.51.5.2.a)
Eg: The moisture analyser has not been calibrated/verified at specific defined interval.
2. The process of document control is not effective (7.5.3.2)
Eg: Master list, work instruction for order

29. OPPORTUNITIES FOR IMPROVEMENT:

30. 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 Team Leader : Isuru Illangakoon

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31. RECOMMENDATION BY AUDIT TEAM :

Recommended for continuation subject to verification of corrective action taken for raised non conformities.


Signature of Team Leader

.....2023/09/14.....
Date


Signature of Team Member - 1

.....2023/09/14.....
Date

.....
Signature of Team Member - 2

.....
Date

32. RECOMMENDATION BY CERTIFICATION MANAGER: All NCRs have been closed
Hence recommended for continuation


Signature of Certification Manager

.....2023.09.21.....
Date

33. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

Appd.


Signature of Director

.....2023/09/21.....
Date

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