IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2015

(ASIAN CHILL EQUIPMENT PVT LTD)

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

1. **NAME OF ORGANIZATION** : Asian Chill Equipmenrts Pvt Ltd

2. **ADDRESS OF HEAD OFFICE** : No:654/10,Industrial Estate, Golumadama Junction. Rathmalana Lanka

3. **ASSESSMENT SITE/S** : same as 2

4. **CONTACT DETAILS** :

   4.1 Name : Mr Vajira K Silva **Designation** : Managing Director

   4.2 Tel : : +94 0112625337 **Mobile** : +94 077352467[illegible] **Fax** : +94 011[illegible]

   4.3 E-mail : vajira@asparai.com

5. **NO. OF EMPLOYESS** : 50

6. **APPLICABLE STANDARD** : ISO 9001:2015

7. **FILE NO.** : IMSC-QMS-

8. **NACE CODE / SUBCATEGORY** :

9. **SCOPE OF CERTIFICATION** : Design and manufacture of Food Display cabinet's and Kitchen Equipment

10. **DATE OF AUDIT & Time** : 2018-12-01

11. **TYPE OF AUDIT** : Surveillance I

12. **AUDIT TEAM** :

Mr.D.N.S.Kuruppumullage	Lead Auditor
Ms.Chalani Jayasuriya	Auditor

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: None

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

16.AUDIT FINDINGS :

16.1 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 requirements 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):
Interactions of processes identified by the company is adequate and effective.

16.2 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 strategic direction of the company.

Policy (5.2 of ISO 9001:2015):
Quality policy has not communicated to all levels of the organization (NCR 01)

Organizational roles, responsibilities and authorities (5.3 of ISO 9001:2015):
Roles and responsibilities are not adequately communicated within the organization. Ex. employees do not know their roles and responsibilities. (NCR 02)

16.3 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 s 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 effects while achieving the improvements. The planning also ensures integration and implementation of actions in to its QMS processes with evaluation of effectiveness.

Quality objectives and planning to achieve them(6.2 of ISO 9001:2015):
Company does not have the plans to achieve quality objectives (NCR 03)

Planning of Changes (6.3 of ISO 9001:2015):
Organization has a mechanism to determine the changes required to quality management system carryout the same by planning, while considering the need for change and its expected results ensuring the integrity of QMS.

16.4 SUPPORT(7 of ISO 9001:2015):

Resources (7.1 of ISO 9001:2015):

General (7.1.1 of ISO 9001:2015):
Organization has provided required resources for establish, implement, maintain and continually improve the quality management system by considering capabilities and constrains of existing recourses.

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):
Electrical trip switches have not been checked in regular intervals to ensure the working condition (NCR 01)

Monitoring and measuring resources (7.1.5 of ISO 9001:2015):
Monitoring and measurement resources are not calibrated .ex. measuring tapes (NCR04)

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):
Organization has determined the necessary competent level of staff members based on their duties and responsibilities to avoid undesired effect on performance and effectiveness of QMS. Suitable education, training and experience is considered for this purpose. Where ever the gap between required competence and available competence exist. 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 the quality management system to different staff members depending on the responsibilities and authority in the hierarchy.

Documented information(7.5 of ISO 9001:2008):
Company has identified documented information required by the standard and documents needed to be apply for effectiveness of QMS. Company has established a documented information control system for both documents and records. Including distribution, retrieval, storage and preservation, control of changes, retention and disposition.

16.5 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 no control have been reviewed the consequences of unintended changes and actions has taken to mitigate

same.

Requirements for products and services (8.2of ISO 9001:2015):
Customer communication(8.2.1 of ISO 9001:2015):
Company has been adequately addressed customer communication as it is important to the
Company provides information to their customers regarding to their products. customer
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
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
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
company has ensured to change such requirement and amend the relevant documented

Design and development of products and services (8.3 of ISO 9001:2015):
Company makes all the products based on customer requirement which is conveyed to the
through marketing department. Product design is carried out by the design department and
by the Designer , production supervisor and marketing officer and submitted to the
validation. When the customer validation completed it is submitted to the Managing
for approval and any changes required to the product during the design review process
out and necessary validation and approvals are obtained.

Any changes required by the customer conveyed to the company which will be redesigned
and necessary validation and approvals are obtained. The documented information is
marketing department under customer file.

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
purchasing, etc. Criteria for the evaluation, selection, monitoring of performance and re-
the performance of such activities has been carried out and documented information
activities are retained and controlled.

Type and extent of control (8.4.2 of ISO 9001:2015):
Externally provided processes are included in the quality management system and
have been implemented for both services provided and for intended output.

Information for external providers (8.4.3 of ISO 9001:2015):
Company has mechanism to design the requirements including the quality and level of [illegible] including communication channels and it is being conveyed to the company when the [illegible] obtained.

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 [illegible] 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 out side by the customer will be recorded, preserve (if required) [illegible] with required identification and traceability until it is being used and handed over to the customer [illegible] completion of the function.

Preservation (8.5.4 of ISO 9001:2015):
Company has taken necessary steps to ensure that the product manufactured is kept protected [illegible] handling , packaging, storage, transmission or transportation and has taken necessary [illegible] to protect from contamination.

Post-delivery activities (8.5.5 of ISO 9001:2015):
Once year guaranty period is given for products and every 4months service has provided. Any [illegible] carried out within the guaranty period free of charge except damages to glass components. [illegible] after the guaranty period servicing and repaired carried out only on customer request.

Control of changes (8.5.6 of ISO 9001:2015):
When changes required for production and services , company has reviewed requirement of [illegible] 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 [illegible] with the agreement with the customer. Release of products will be authorized only after [illegible] inspection and with the approval of the Marketing officer

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 unintended use or delivery to the customers. Company has taken appropriate actions to [illegible]

nonconformity, segregation of nonconforming product and inform the customers to prevent [illegible] using same. The necessary documented information with regard to nonconforming [illegible] immediate disposition, analysis of root cause and the corrective action taken is retained.

16.6 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 [illegible] measurement, analysis

Customer satisfaction (9.1.2 of ISO 9001:2015):

Customer survey, customer feedback and meeting with customer have been identified to [illegible] requirements for the evaluation of customer satisfaction.

Analysis and evaluation (9.1.3 of ISO 9001:2015):

Data and information collected on QMS processes are not adequately analysed. ex [illegible] satisfaction (NCR 05)

Internal audit (9.2 of ISO 9001:2015):

There is no evidence that the last internal audit covered all the processes in QMS . (NCR 06)

Management review (9.3 of ISO 9001:2015):

Management review has been carried out and all the aspects has been discussed at the m [illegible] review meeting.

16.7 IMPROVEMENT (10 of ISO 9001:2015):

General (10.1 of ISO 9001:2015):

Company has determined and selected opportunities for improvement and implemented [illegible] 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 [illegible] implemented for such nonconformities. Company has retained documented information as to [illegible] 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 syst [illegible] the use of quality policy, quality objectives, audit results, analysis of data, management [illegible] corrective & implementation.

17. **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 .

18. **ANY UNRESOLVED ISSUES:** None

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

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

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	[x]	NO	[ ]
• The organization has demonstrated effective implementation and maintenance /improvement of its management system.	YES	[x]	NO	[ ]
• The organization has demonstrated the establishment and tracking of Appropriate key performance objectives and targets and monitored progress towards their achievement.	YES	[x]	NO	[ ]
• The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system.	YES	[x]	NO	[ ]
• The management review process demonstrated capability to ensure the continuing suitability, adequacy and effectiveness of the management system.	YES	[x]	NO	[ ]
• Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard.	YES	[x]	NO	[ ]

22. MAJOR NON-CONFORMITIES: none

23. MINOR NON-CONFORMITIES:six

1. Quality policy has not communicated to all levels of the organization (NCR 01)
2. Roles and responsibilities are not adequately communicated within the organization. Ex. certain employees do not know their roles and responsibilities. (NCR 02)
3. Company does not have the plans to achieve quality objectives (NCR 03)
4. Monitoring and measurement resources are not calibrated .ex. measuring tapes (NCR04)
5. Data and information collected on QMS processes are not adequately analysed. ex: customer satisfaction (NCR 05)
6. There is no evidence that the last internal audit covered all the processes in QMS . (NCR 06)

25.OPPORTUNITIES FOR IMPROVEMENT:

1. Electrical trip switches have not been checked in regular intervals to ensure the working condition.(OB 01)

26.RECOMENDATION FROM AUDIT TEAM:

(Strike off which is not relevant)

1. Quality policy has not communicated to all levels of the organization (NCR 01)
2. Roles and responsibilities are not adequately communicated within the organization (NCR 02)

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

…2018-12-01…
DATE

- *This page is for internal purposes only.*

27. RECOMMENDATION BY AUDIT TEAM :

Recommend to ~~award~~ continue the certifications subject to corrective action taken

.....
Signature of Team Leader

.....2018-12-01.....
Date

.....
Signature of Team Member -1

.....2018-12-01.....
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:

Appd. for continuation

.....
Signature of Director

.....
Date