



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

STAGE II AUDIT REPORT

ISO 9001:2015

Lucky Industries

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INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015

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. AUDIT CRITERIA: ISO 19011:2018, other applicable regulatory 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 AFFECTS THE MANAGEMENT SYSTEM OF THE COMPANY SINCE THE LAST AUDIT TOOK PLACE: None

19. AUDIT FINDINGS:

18.1 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. All the issues have been discussed at the management review meeting.

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 Activities pertaining to manufacturing of wearing apparel.

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

DOC. NO.: QP-06-F-04

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throughout the organization with required input and expected output.

18.2 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. Director, HR Manager, Quality Manager have been interviewed.

Policy (5.2 of ISO 9001:2015):

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

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 assigned responsibility and authority with regards 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.

18.3 PLANNING(6 of ISO 9001:2015):

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

Company has used 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.

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

Quality objectives have been defined and established. The monitoring of the status of the established objectives was recorded.

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.

18.4 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, sanitizers, masks, 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):

Organization has provided equipment necessary to obtain valid and reliable results. This equipment has been controlled by regular inspection according to the relevant standards and specifications. Survey instruments and testing equipment's have been calibrated according to the relevant standards and all reports are available.

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. 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 safety, policy and quality 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): 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 for both documents and records.

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18.5 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. 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 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 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)

Excluded.

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, washing, embroidery, printing 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 are included in the quality management system and appropriate control have been implemented for both services provided and for intended output.

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

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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 under controlled conditions.

Identification and traceability (8.5.2 of ISO 9001:2015):

According to the order planning department create the batch no and communicated to the production .Using the job card information can be traced.

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

None

Preservation (8.5.4 of ISO 9001:2015):

Not applicable

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

Considering the type of the product manufactured and after sales activities are not applicable

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 provide service as per the customer request and in accordance with the agreement with the customer. Release of product will be authorized only after inspection and with approval of quality 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 to prevent them from using same. The necessary documented information with regard to nonconforming products, its immediate disposition, analysis of root cause and the corrective action taken is retained.

18.6 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,

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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 complain, customer satisfaction, performance of external providers, risk analysis Quality issue & sub-contractor evaluation.

Internal audit (9.2 of ISO 9001:2015):

Internal audit has not been carried out (NCR 01)

Management review (9.3 of ISO 9001:2015):

Management Review meeting has not been carried out at planned intervals (NCR 02)

18.7 IMPROOVEMENT (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 implemented for such nonconformities.

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, and audit results, analysis of data, management review, and corrective implementation.

20. KEY PERSONNEL INTERVIWED:

| Name | Designation | Responsibilities |
|---------------------|-------------|--|
| Mohamade Mustafa | Director | Overall handling the business |
| Mohamade Ameen | GM | Overall business planning |
| Ridma Hettiarachchi | HR Manager | JD. Training, Recruitment, ISO document handling |

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| | | |
|-------------------|----------------------------|---|
| S.S.Karunathilaka | QA Manager | Maintaining Quality of the products, Authority of releasing final products. |
| Chamara | GHR and compliance Manager | Taking overall responsibility of HR activities of the organization. |

21. APPLICABLE LEGAL REQUIREMENTS: EPL,EPF, Labour law, Business registration

22.ANY UNRESOLVED ISSUES: No unresolved issues identified at the time of audit

23. REVIEW OF PREVIOUS AUDIT REPORT & VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES: Previous audit report was reviewed and verification was done for the previously identified corrective actions.

24. USE OF LOGO: Terms and conditions are as per the certification body regulations.

25. 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 demnstrated 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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25. MAJOR NON-CONFORMITIES: No

26. MINOR NON-CONFORMITIES: Two

01. Management Review meeting has not been carried out at planned intervals
02. Internal audit has not been carried out

27. OPPORTUNITIES FOR IMPROVEMENT: None

28. RECOMENDATION FROM AUDIT TEAM:

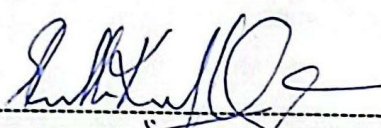
(Strike off which is not relevant)

The audit team concludes that the organization has / ~~has not~~ established and maintained 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

2020/07/02
DATE

- *This page is for internal purposes only.*

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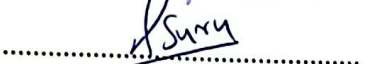
29. RECOMMENDATION BY AUDIT TEAM :

Recommended for certification provided all non-conformities raised at the audit is corrected and evidence submitted


.....
Signature of Team Leader

2020/07/02

Date


.....
Signature of Team Member -1

2020-7-2

Date


.....
Signature of Team Member - 2

2020-07-02

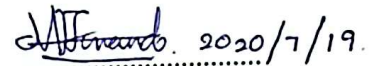
Date



2020-07-02.

30. RECOMMENDATION BY CERTIFICATION MANAGER:


.....
Signature of Certification Manager


.....

Date

31. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:


.....
Signature of Director

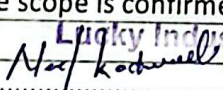
2020/7/19

Date



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| | |
|--|---|
| 1. NAME OF ORGANIZATION : | Lucky Industries |
| 2. ADDRESS OF HEAD OFFICE : | Dewalakanda Estate, Iriyagolla, Dehiowita |
| 3. ASSESSMENT SITE/S : | Same as 2 |
| 4. CONTACT DETAILS : | |
| 4.1 Name : | Mr. Neel Kodithuwakku Designation : Manager – Group HR and Compliance |
| 4.2 Tel : | +94362267413 Mobile : +94773860092 Fax : +94114513100 |
| 4.3 E-mail : | neel@lucky.lk 075 9 408 504 / 0772 408 504 |
| 5. NO. OF EMPLOYEES : | 507 |
| 6. APPLICABLE STANDARD : | ISO 9001:2015 |
| 7. FILE NO. : | |
| 8. NACE CODE / SUBCATEGORY : | C 14.1 - Manufacturing of wearing apparel, except fur apparel |
| 9. SCOPE OF CERTIFICATION : | Activities pertaining to manufacturing of wearing apparel |
| 10. CONFIRMATION FOR SCOPE OF CERTIFICATION : | |
| The scope is confirmed. | |
|  Lucky Industries Signature | |
| Manager - Operations | |
| 11. DATE OF AUDIT & Time : | 2020 – 07 – 01 & 2020 – 07 - 02 |
| 12. TYPE OF AUDIT : | Stage II |
| 13. AUDIT TEAM : | |
| Mr. D. N. S. Kuruppumullage (DNSK) | Team Leader |
| Ms. Mihiri Fernando (MF) | Team Member |
| Mr. Aruna Amaradasa (AA) | Team Member |
| Mr. Isuru Ilangakoon (II) | Team Member |

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