



**IND-EXPO CERTIFICATION LIMITED**

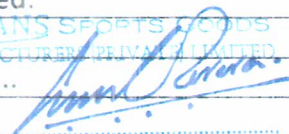
**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME**

**STAGE II AUDIT REPORT**

**ISO 9001:2015**

**Lallans Sports Goods  
Manufacturers (Pvt) Ltd**

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

<b>1. NAME OF ORGANIZATION :</b> Lallans Sports Goods Manufacturers (Pvt) Ltd		
<b>1. ADDRESS OF HEAD OFFICE :</b> 30/2, Colombo Road, Malangama, Hidellana, Ratnapura		
<b>2. ASSESSMENT SITE/S :</b> Industrial Zone, stage II, Paradise, Kuruwita		
<b>3. CONTACT DETAILS :</b>		
<b>4.1 Name :</b> Mr. M.D.L.K Jayasinghe <b>Designation :</b> Production Manager		
<b>4.2 Tel :</b> 045- 2263922	<b>Mobile :</b> 070- 2863060	<b>Fax :</b>
<b>4.3 E-mail :</b> lallansperera@hotmail.com		
<b>4. NO. OF EMPLOYEES :</b> 32		
<b>5. APPLICABLE STANDARD :</b> ISO 9001:2015		
<b>6. FILE NO. :</b> IMSC-QMS-032		
<b>7. NACE CODE / SUBCATEGORY :</b> C 32.9.9		
<b>8. SCOPE OF CERTIFICATION :</b> Activities pertaining to manufacturing of Nursery playground equipments.		
<b>9. CONFIRMATION FOR SCOPE OF CERTIFICATION :</b>		
The scope is confirmed.		
		
Signature		
Chairman/Managing Director		
<b>10. DATE OF AUDIT &amp; Time :</b> 2017/09/28		
<b>11. TYPE OF AUDIT :</b> Stage II		
<b>12. AUDIT TEAM :</b>		
Ms.KumuduniePerera	Lead Auditor	
Ms.ChalaniJayasuriya	Auditor	
Mr.Isurulllangakoon	Auditor	

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**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
STAGE II AUDIT REPORT – ISO 9001:2015****13. AUDIT OBJECTIVES:**

The objectives of this audit were:

- to confirm that the management system conforms with all the requirements of the audit standard;
- to confirm that the organization has effectively implemented the planned management system;
- to confirm that the management system is capable of achieving the organization's policy and objectives on quality management

**14. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS:** None

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

**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. The organization reviews and evaluates these processes to achieve intended results. Based on the risk and opportunities identified by the organization, organization

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implement continual improvement processes. The quality management system is also equipped with necessary documented information.

**The organization has not adequately determined the inputs required and outputs expected from the process and the interaction of the process.**

**Eg: customer handling process & production process.(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 a 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 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):**

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 and is available to relevant interested parties to company web site.it is also in line with the propose, context and its strategic direction that can provide framework for setting quality objectives.

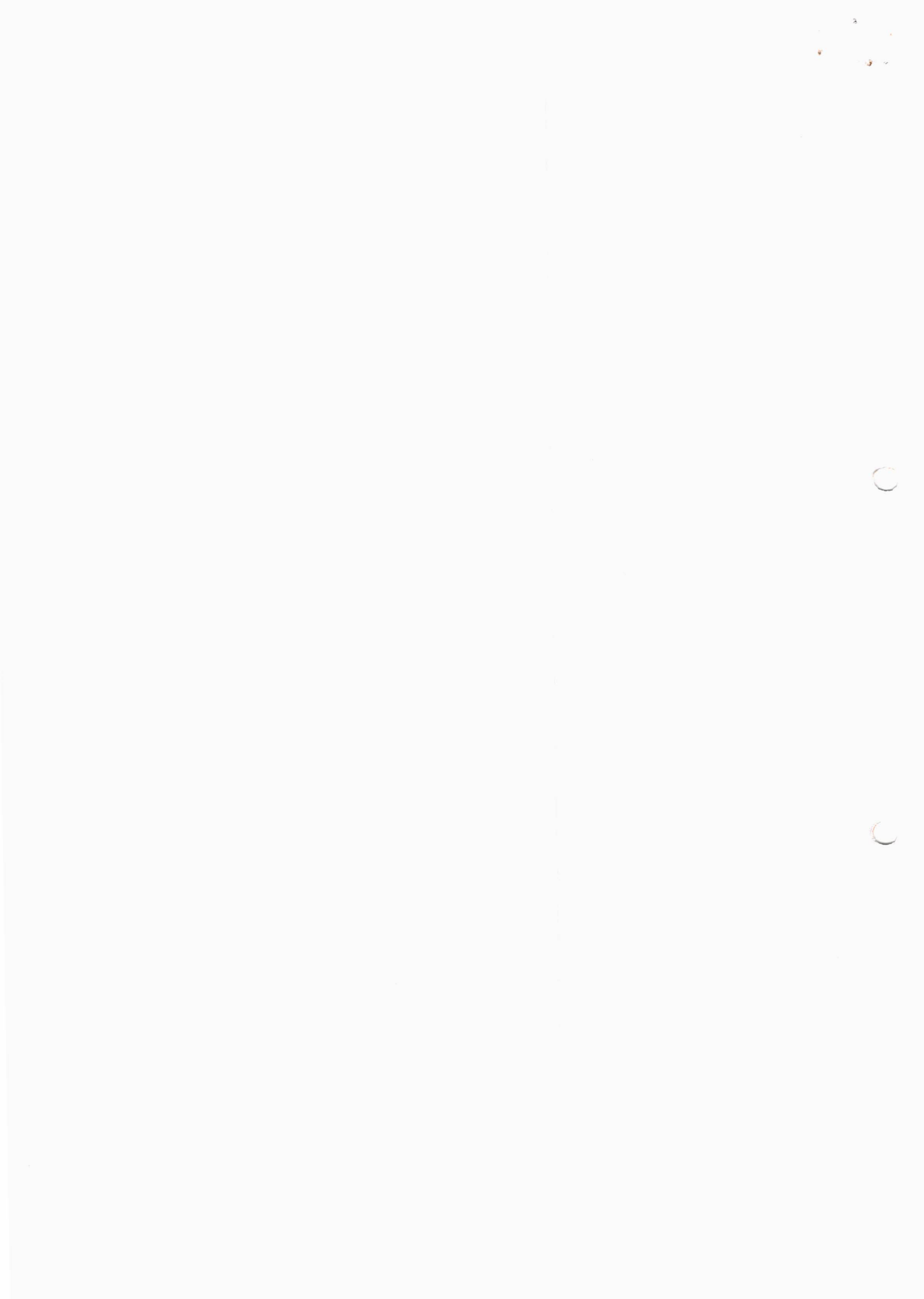
**Organizational roles, responsibilities and authorities (5.3 of ISO 9001:2015):**

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.

**17.3 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. The planning also ensures integration and implementation of action in to its QMS processes with evaluation of effectiveness.

**The organization has not adequtly planned the actions to address the opportunities identified. (NCR 02)**



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

The data tabulated has not been analysed to understand the extent to which quality objectives have been met. (OB)

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

Organization has a mechanism to determine the changes required to quality management system and carry out the same by planning, while considering the need 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):**

Organization has provided required resources for establish, implement, maintain and continually improve the quality management system by considering capabilities and constraints of existing resources. 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):**

1. The company has not calibrated or verified the measurement equipment used in production. (ex: vernier calliper, measuring tape)
2. Some of the fire extinguishers has expired (Due date 2014/05/11) (NCR)

**Organizational knowledge (7.1.6 of ISO 9001:2015):**

Under organizational knowledge following deviations have been identified,

1. The company has not considered its current knowledge and determined how to acquire or access any necessary additional knowledge and required updates (training need identification).
2. Company has not provided adequate training for fire safety as there is a risk involved in the fire due to nature of the production condition. (NCR)

**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. There

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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 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. Including distribution, retrieval, storage and preservation, control of change.. However retention period & disposition of records has not been defined. (OB)  
All external documents required has been identified and controlled.

However certain external documents have not been addressed in the master list of document. (OB)

**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.

**The organization under takes the installation of the products as and when it's a customer requirement, however documented information is not available on the controls of this activity. (OB)**

**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.



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The customer's requirement has confirmed by the company before acceptance of the customer order and conducts review prior to committed supply product and banquet services 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):**

Excluded.

**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 the performance of such activities has been carried out 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):**

Company has mechanism to design the requirements including the quality and level of controls including communication channels and it is being conveyed to the company when the services are 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 the output whenever it is required to measure and monitor the conformity to the required specification. The deficient activities during the production process can be trace back through the batch code given in final packages to take necessary corrections and corrective actions.

**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):**

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



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protect from contamination

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

Any post-delivery activities requested by the customer is handles as per the contractual obligation, regulatory and statutory requirements, etc.

**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 Production Manager.

However signature and verification has taken only for quality of product received and proper installation of delivered goods has not been verified by the consignee/ customer (GRN) (OB)

**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.

**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):**

Company has determined what needs to be monitored and measured, the methods for monitoring, measurement, analysis.

**The organization has not determined the quality requirements to be monitored at the incoming inspection of the raw materials. Eg: steel pipee. (NCR 03)**

**The Standard Drawings of the products established by the organization needed to be reviewed and verified before issuing to the production. Eg: The drawing LL/PRO/DWG-1 has not specified the distance between the two poles. However, the drawing referred by the employee in the production floor specified the distance as 1440mm (OB)**

**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.



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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.

Although customer satisfaction has been carried out , root cause analysis for 'Fair rates' have not been carried out. (OB)

**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):**

Top management has reviewed the organization's quality management system, at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.

**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 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:** 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 Environmental Regulation and the stipulated requirements given in the environmental performance license issued to them and has e mechanism to evaluate the compliance of such requirements.

**18. ANY UNRESOLVED ISSUES: None**



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19. 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

20. MAJOR NON-CONFORMITIES: None

21. MINOR NON-CONFORMITIES:

- 1) The organization has not adequately determined the inputs required and outputs expected from the process and the interaction of the process. Eg: customer handling process & production process. (NCR 01)
- 2) The organization has not adequately planned the actions to address the opportunities identified. (NCR 02)
- 3) The organization has not determined the quality requirements to be monitored at the incoming inspection of the raw materials. Eg: steel pipe. (NCR 03)

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- 4) The company has not considered its current knowledge and determined how to acquire or access any necessary additional knowledge and required updates (training need identification).

Company has not provided adequate training for fire safety as there is a risk involved in the fire due to nature of the production condition. (NCR C4)

- 5) The company has not calibrated or verified the measurement equipment used in production.(ex:venire calliper, measuring tape)

Some of the fire extinguishers has expired (Due date 2014/05/11) (NCR 05)

**22. OBSERVATIONS:**

1. The data tabulated has not been analysed to understand the extent to which quality objectives have been met. (OB 1)
2. Although customer satisfaction has been carried out , root cause analysis for 'Fair rates' have not been carried out. (OB 2)
3. The Standard Drawings of the products established by the organization needed to be reviewed and verified before issuing to the production. Eg: The drawing LL/PRO/DWG-1 has not specified the distance between the two poles. However, the drawing referred by the employee in the production floor specified the distance as 1440mm (OB 3)
4. The organization under takes the installation of the products as and when it's a customer requirement, however documented information is not available on the controls of this activity. (OB 4)
5. certain external documents have not been addressed in the master list of document(OB 5)
6. retention period & disposition of records has not been defined. (OB 6)





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23. RECOMENDATION FROM AUDIT TEAM:

The audit team concludes that the organization  has  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.

.....  
SIGNATURE OF LEAD AUDITOR

2017-09-28  
.....  
DATE

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24. RECOMMENDATION BY AUDIT TEAM :

Recommended for certification subjected to submission of evidence for corrective action and time period for submission of evidence will be given two months from the date of Stage 2 audit.

  
.....  
Signature of Team Leader

2017/09/28  
.....  
Date

  
.....  
Signature of Team Member - 1

2017/09/28  
.....  
Date

  
.....  
Signature of Team Member - 2

2017/09/28  
.....  
Date

25. RECOMMENDATION BY CERTIFICATION MANAGER:


*All NCRs have been closed, hence recommended for final approval.*

  
.....  
Signature of Certification Manager

2017/10/13  
.....  
Date

26. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

*Approved*

  
.....  
Signature of Director

2017/10/13  
.....  
Date