



INDEXPO CERTIFICATION LIMITED

MANAGEMENT SYSTEMS CERTIFICATION SCHEME

**STAGE II AUDIT REPORT
ISO 9001:2008**

N & A Engineering Services (Pvt) Ltd;



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STAGE II AUDIT REPORT – ISO 9001:2008

1. **NAME OF ORGANIZATION** : N & A Engineering Services (Pvt) Ltd;
2. **REGISTERED ADDRESS** : No. 81/B, Awissawella Road, Nawagamuwa, Ranala.
3. **FACTORY/OUTLET/SITE AUDITED** : Same as 2
3S facility for Ford, Battaramulla
4. **CONTACT PERSON** :
 - 4.1 **Name**: Mr. Lalithya Gamage
 - 4.2 **Designation**: Asst. Construction Manager
 - 4.3 **Telephone** : 0114444311
 - Mobile**: 0715344803
 - Fax**: 01144402454
0716817921/0714559200
5. **APPLICABLE STANDARD** : ISO 9001:2008
6. **FILE NO.** : IMSC-QMS-15
7. **APPLICABLE SECTOR** : Construction of buildings and civil engineering works
(F 41, F 42.2)
8. **NO. OF EMPLOYEES** : 125
9. **TYPE OF AUDIT** : Stage II
10. **DATE OF AUDIT** : 2014-04-28 & 2014-04-29
11. **AUDIT TEAM** : Mr. S C Bamunuarachchi (Team Leader)
Ms. Felicia Weerawardena (Team Member)
Mr. Isuru Illangakoon (Trainee Auditor)
Mr. Dilshan David (Trainee Auditor)
12. **SCOPE OF CERTIFICATION** : Construction of all kinds of buildings, hotels, hospitals, factories, warehouses and related civil engineering works

13. SIGNATURE FOR CONFIRMATION OF SCOPE

The above scope is confirmed.

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SIGNATURE

N & A ENGINEERING SERVICES (PVT) LTD.
No. 81 B, Avissawella Road,
Nawagamuwa, Ranala.

DOC. NO.: QP-06-F-04
Reviewed and approved by : Director

ISSUE NO. : 05
Issued by : Management Representative

ISSUE DATE : 2013-04-10



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14. QUALITY MANAGEMENT SYSTEM

14.1 General requirements (4.1 of ISO 9001):

14.1.1 The processes needed for the QMS and their application has been determined by the organization. The sequence and interaction of these processes have been determined. Scope of the QMS has been defined. Design and development (7.3) has been excluded from Scope with justifications.

14.2 Documentation requirements (4.2 of ISO 9001): Documentation covers the Quality manual, Procedure manual, Quality policy, Quality objectives and relevant documents and records.

14.2.1 Control of documents(4.2.3 of ISO 9001): Documented procedure covering the requirements of 4.2.3 of ISO 9001: 2008 for Control of documents was available and implemented. However the following deviations were observed in the Document control process.(NCR 01)

- i) Some of the formats are not controlled. Eg. Calibration schedule, Machine maintenance, Training needs identification
- ii) Master list of documents not updated.

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

14.3 Management responsibility (5 of ISO 9001)

14.3.1 Management commitment (5.1 of ISO 9001) : Management commitment is evident and top management ensures that customer requirements are met.

14.3.2 Customer focus (5.2 of ISO 9001) : Top management ensures that customer requirements are met. Requirements specified, including the requirements for pre and post delivery requirements of civil construction services, and statutory and regulatory requirements.

14.3.3 Quality policy (5.3 of ISO 9001): : Quality policy is communicated to the staff and is reviewed periodically.

14.4 Planning (5.4 of ISO 9001):

14.4.1 Quality objectives(5.4.1 of ISO 9001) : Quantifiable quality objectives have been developed department-wise and monitored on a regular basis.

14.5 Responsibility, authority & communication (5.5 of ISO 9001):

14.5.1 Responsibility & authority: Responsibilities and authorities are defined and communicated to relevant personnel.

14.5.2 Management Representative : Assistant Construction Manager has been appointed as the Management representative. His responsibilities are defined as per Clause 5.5.2 of ISO 9001:2008.

14.5.3 Internal communication: Internal communication through face to face discussions, meetings and memos.



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14.5.4 Management review (5.6 of ISO 9001):: Management review meetings conducted as per the requirements of Clause 5.6 of ISO 9001 :2008. Last Management Review meeting has been conducted on 2013- 05-24 and the minutes were available for review. However Management Review meetings have not been conducted as per the frequency defined in the manual. (NCR 02)

14.6 Resource management (6 of ISO 9001):

14.6.1 Provision of resources (6.1 of ISO 9001): Resources necessary for the implementation of the QMS have been provided by the organization.

14.6.2 Human resources (6.2 of ISO 9001): Competence of personnel have been determined by the head office and training plan for 2014 has been prepared as per the needs identified. Training has been provided and records were available. However evaluation of ISO 9001 training requirements was not evident. (NCR 03)

14.6.3 Infrastructure (6.3 of ISO 9001) : Infrastructure work environment needed for the QMS have been provided by the organization.

14.6.4 Work environment (6.4 of ISO 9001): Infrastructure and work environment needed for the QMS have been provided by the organization.

14.7 Product realization (7 of ISO 9001):

14.7.1 Planning of product realization (7.1 of ISO 9001) : Quality plan for the process available and is implemented.

14.7.2 Customer related process (7.2 of ISO 9001) : There are three types of tenders. Namely selective tenders, competitive bidding(open tenders) and negotiative tenders. The organization has determined the customer requirements as per the drawing provided by the customer. ICTAD regulations are considered by the organization. Completion certificate is given by the customer once the project is handed over indicating his/her satisfaction. The files for Construction of the Lions Vision for Sight Hospital, Ratnapura (completed) was examined and found that the documents are in order. A bill board is displayed with the details of the project site after handing over the project.

14.7.3 Design and development (7.3 of ISO 9001) : Design and development has been excluded from scope with adequate justification.

14.7.4 Purchasing (7.4 of ISO 9001)

14.7.4.1 Purchasing process : Efficiency of response to the company's needs, Product/Service Quality, Compliance to standards, Delivery time, Price and Credit facilities have been stipulated as criteria for supplier evaluations. Evaluations have been carried out for Roofing materials, Steel and PVC items only. However the approved list of suppliers was not evident (NCR 04).

14.7.4.2 Verification of purchased product : Incoming inspections are carried out. Samples are tested and reports available.



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14.7.5 Production and service provision (7.5 of ISO 9001)

14.7.5.1 Control of production and service provision (7.5.1 of ISO 9001) : Control of service provision is carried out under controlled conditions.

14.7.5.2 Validation of processes for production and service provision(7.5.2 of ISO 9001) : There is no evidence of specifically identifying special processes referred to in item 17 of Section 2.2. **(NCR 05)**

14.7.5.3 Identification and traceability(7.5.3 of ISO 9001) : A project name is allocated when the project is confirmed and is traceable throughout product realization.

14.7.5.4 Customer property (7.5.4 of ISO 9001) : Sample is provided by the customer in certain instances and it is numbered and kept safely to prevent damage. Customer sample register is maintained Separate Bin cards are used to identify customer property and is stored safely.

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

14.7.6 Control of monitoring and measuring equipment (7.6 of ISO 9001) : List of equipment available in the Calibration schedule. Calibrations done and reports were available.

14.8 Measurement, analysis and improvement (8 of ISO 9001):

14.8.1 Monitoring and measurement (8.1 of ISO 9001):

14.8.1.1 Customer satisfaction (8.2 of ISO 9001): A questionnaire has been developed and sent to the Customers and feedback obtained and analysed and appropriate actions taken.

14.8.1.2 Internal audits (8.2.2 of ISO 9001) : A documented procedure covering the requirements of 8.2.2 of ISO 9001:2008 is available and implemented. However no internal audit has been conducted during the last twelve months. Procedure QAP 03 identifies internal audit frequency as every six months.**(NCR 06)**

14.8.1.3 Monitoring and measurement of processes (8.2.3 of ISO 9001):): Organization has applied suitable methods for monitoring and measurement of processes.

14.8.1.4 Monitoring and measurement of product (8.2.4 of ISO 9001) : Organization has applied suitable methods for monitoring and measurement of products.

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

14.10 Analysis of data (8.4 of ISO 9001) : Data on Customer satisfaction, Project satisfaction have been analysed.



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14.11 Improvement (8.5 of ISO 9001):

14.11.1 Continual improvement : Started to held Project monitoring and planning meetings Weekly

14.11.2 Corrective action (8.5.2 of ISO 9001) : Documented procedure covering the requirements of 8.5.2 of ISO 9001 was available and implemented. However there is no evidence of maintaining a NC register as stipulated in the Procedure QAP 05. (NCR 07) .

14.11.3 Preventive action (8.5.3 of ISO 9001) : Documented procedure covering the requirements of 8.5.3 of ISO 9001 was available and implemented.

13.13.3 Preventive action : Documented procedure covering the requirements of 8.5.3 of ISO 9001: 2008 for Preventive actions was available and implemented.

16. Minor Non-conformities :

16.1 The following deviations were observed in the Document control process.(NCR 01)

i) Some of the formats are not controlled. Eg. Calibration schedule, Machine maintenance, Training needs identification

ii) Master list of documents not updated.

16.2 Management Review meetings have not been conducted as per the frequency defined in the manual. (NCR 02)

16.3 Evaluation of ISO 9001 training requirements was not evident. (NCR 03)

16.4 Approved list of suppliers was not evident (NCR 04).

16.5 There is no evidence of specifically identifying special processes referred to in item 17 of Section 2.2. (NCR 05)

16.6 No internal audit has been conducted during the last twelve months. Procedure QAP 03 identifies internal audit frequency as every six months.(NCR 06)

16.7 There is no evidence of maintaining a NC register as stipulated in Procedure QAP 05. (NCR 07) .

17. Corrective action requests (CAR) : Corrective action plan has been submitted with proposed corrective actions agreed upon.

18. Observations / Opportunities for improvement :

18.1 Reference given in the manual for some formats is not what is indicated on the form .

18.2 Internal audit schedule need to be approved by Managing Director.


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SIGNATURE OF LEAD AUDITOR

2014/04/29
.....
DATE

- Page 06 of 06 is for internal purposes only.



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19. RECOMMENDATION BY TEAM LEADER:

This company can be recommended for certification upon submission of evidence to demonstrate effective implementation of corrective actions against seven (07) minor non-conformity reports raised.

[Signature]

SIGNATURE OF TEAM LEADER

2014/04/29

DATE

20. RECOMMENDATION BY CERTIFICATION MANAGER:

NCR's has been closed. Recommended for the certification committee.

[Signature]

SIGNATURE OF CERTIFICATION MANAGER

2014/08/02

DATE

21. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE

Recommended to submit to Certification Committee.

[Signature]

SIGNATURE OF DIRECTOR

2014-08-02

DATE