Management System's Audit Report

1. Basic Company Information

Company Name	**EMCO Industries Limited**
Full Address (Street / Number /P.O/Town/Country)	**19 – KM, Sheikhupura Road, Lahore, Pakistan.**
Other Audited Sites (permanent or temporary)	**Nil**
Company Representative	**Syed Naqi Raza**
Description of the company (number of personnel, basic business processes, commercial activities, brief history)	In 1951, a very modest beginning was made by setting up a small facility located in the basement of the offices of the organization for the production of electrical accessories. Organization is involved in trading of Electrical Goods. EMCO the pioneer of ceramics in Pakistan is committed to produce high quality ceramic products which include high tension porcelain insulators.

2. Audit information

Audit date	**St.1**	**N/A**	**Surveillance**	**20th May 2020**	**Audit Duration (Mandays)**	0.9
	St.2	**N/A**	**Recertification**	N/A		
Certification Scope	Design, Manufacturing and Supply of Electrical Procelain for Commercial, Industrial and Utility Operations.			**EA:**	19, 19.1, 29, 29.1	
				NACE:	26 Except 26.6 and 26.7, 27	
				Category:	Medium	
				Other:	None	
Use of remote auditing activities (describe)						

Audit type	2ND SURVEILLANCE	**Audit Kind**	Choose an item.	**Audit language**	ENGLISH
Covered Standards	**Standard 1**	**Standard 2**	**Standard 3**	**Other**	Urdu
	ISO9001:2015	Choose an item.	Choose an item.		

3. Audit team

LA	**Qaiser Raza**	**CA**	**None**	**TE**	**None**
Other participants (observers, interpreters, experts etc)	**None**				

4. Audit Objectives

The audit objectives are the following:

1. Determination of the conformity of the client's management system, or parts of it, with audit criteria within the scope of the Management System.
2. Determination of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements.
3. Determination of the effectiveness of the management system to ensure the client organization can reasonably expect to achieving its specified objectives
4. As applicable, identification of areas for potential improvement of the management system.
5. Review of any management system's changes
6. Validation that the management system was effectively applied in the previous period (valid for surveillance or recertification audits) and to verify its readiness for the coming period

The audit was carried out according to the relevant applicable procedure for Management Systems Certification and the relevant Regulation for Certification of TÜV AUSTRIA HELLAS. The basic information documenting the results of the audit are included into this report, and in total, into the audit questionnaire, the copies of documents and other evidence obtained during the audit.

5. Other remarks / Observations on the audit

NIL

3. ConclusionsandAuditresults

3.1AUDIT RESULTS

Stage 1

Audit results

Requirement	Evaluation*(1,2N/A)*		
	…….	……	……
A. Management System *(Justification of any Exclusion for ISO 9001)*	NA		
B. Management Review	**NA**		
C. Internal Audit	**NA**		
D. Legislative Requirements *(License of Operation, Authorizations etc.)*	NA		
E. Infrastructure, Prerequisites, HACCP/OPRP Plans	**NA**		
F. Other	**NA**		

Audit Team Suggestion: Result

☐ *The audit team is convinced that the stage 2 of the audit can be conducted as planned*

☐ *The audit team is convinced that the stage 2 of the audit can be conducted as planned but the organization has to assure that the deviations will be positively addressed within the agreed time frame.*

☐ *The onsite audit (stage 2) can be conducted after the completion of the findings' corrective actions, which were detected during the stage 1 of the audit.*

CHARACTERIZATION OF RESULTS

1: Full Compliance

2: (O): Point of Improvement, the effectiveness of the corrective action is evaluated during the next audit

3: Non-Conformity (-ies): Correction through the submission of Documents

4: Non-Conformity (-ies): Correction through Re-audit

NA: Nor Applicable or/and is Excluded

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LIST OF DEVIATIONS FOR STAGE 1				Time allowed to close deviations until (maximum 6 months after the completion of stage 1)		
Serial Number	**Findings Description**	**Relevant Standard**	**§ clause of the Standard**	**Corrective action**	**Correction evidence**	**Evaluation of corrective action**
	NA					
	NA					
	NA					
	NA					

			Completion of Corrective Actions
Place, Date: NA		**Place, Date: NA**	**Place, Date: NA**
Lead Auditor (Name, Signature)	**Company Representative (Name, Signature)**		**Lead Auditor (Name, Signature)**
NA	NA		NA

Surveillance

3.2 Audit Conclusions

Audit	Stage 2 ☐	Surveillance ☒	Recertification ☐

Minimum Mandatory Requirements	Audited	Result
Compliance to all the requirements of the relevant management system standard (or other normative document related to the management system)	☒	1
Conclusion / Comment: Fully Complied and well documented, approved and circulated for compliance requirements.		
Monitoring of the performance, measurement, reports and reviews in comparison to the main goals and objectives (related to the expected outcomes that are resulted from the requirements of the applicable management systems standards)	☒	1
Conclusion / Comment: All related compliance Parameters fulfilled and available on controlled Documentation.		
Management System performance in relation to statutory/regulatory/contractual requirements	☒	1
Conclusion / Comment: Properly complied, Registered with desired Regulatory Authorities. All related documents Current and Valid.		
Monitoring of processes	☒	1
Conclusion / Comment: Properly implemented on controlled documentation.		
Internal Audit and Management Review	☒	1
Conclusion / Comment: Compliance Proper as per defined frequencies once in a year. Last Internal Audits conducted on 31-10-2018. Last MRM conducted on 31-12-2018. (Internal Audit documentation is not appropriate)		
Upper Management Responsibility for the stated Policies	☒	1
Conclusion / Comment: All related Policies properly identified and documented, approved by CEO. Circulated for compliance requirements and implemented.		
Management System Effectiveness	☒	1
Conclusion / Comment: Well implemented and effectively controlled for all compliance requirements.		
The corrective actions from the previous audit (action list) were reviewed and their effectiveness was verified	☒	1
Conclusion / Comment: During last Internal Audit, 4 NCRs were identified for compliance parameters. Corrective actions are verified.		
Complaint management and handling	☒	1
Conclusion / Comment: Detailed operative compliance Procedure available, no complaints received since implementation of Quality Standards. The system parameters strong and effectively implemented and all details recorded on controlled documentation		
Changes review	☒	1
Conclusion / Comment: The compliance requirement is defined as per documented procedure. No action identified and generated to make any changes to the compliance requirements.		
Use of the logo and / or any reference to the certification	☒	1
Conclusion / Comment: The use of CB logo QMS logo was checked during the audit. No issues were identified and proper compliance of Scheme Rules and Regulations with respect to use of logo were found followed.		

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LIST OF OBSERVATIONS / NON-CONFORMITIES

s/n	Relevant standard	§ clause of the Standard	Finding Description	Characterization	Root Cause and Corrective Action	Completion of corrective actions until:	Correction Evidence for Non Conformities	Evaluation/Verification of corrective action
			Nil					

Completion of Corrective Actions

Place, Date: Lahore, 20th May 2020		**Place, Date:**	**Place, Date:** N/A
Lead Auditor (Name, Signature)	**Company Representative (Name, Signature)**		**Lead Auditor (Name, Signature)**
Qaiser Raza 	Syed Naqi Raza		

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6.3 Recommendation of the audit team						
The certification scope is appropriate			**YES** ☒		**NO** ☐	
The audit objectives have been fulfilled			**YES** ☒		**NO** ☐	
Standard (s)	**Audit team Suggestion**					
9001:2015	☐	Issue of the certificate / Verification Statement	**AFTER**	☒	no other action	
	☒	**Maintenance of Certificate**		☐	Correction of Non Conformities with the submission of Documents	
	☐	Renewal of Certificate		☐	Correction of Non Conformities with the Re-audit	
	☐	Withdrawal of Certificate				

Place, Date:	Lahore, 20th May 2020			
Lead Auditor	Qaiser Raza	***Auditor (s)***		
Signature		***Signature***		

Other Information:

During the validity of the Certificate, thecertifiedcompanyhastheobligationtoinformtheCertificationBodyfor any changes of the Management System and its documentation. It should be noted that the audit is based on sampling of the available information, which means that additional non – conformities may exist, besides the ones that have been documented during the audit. The result of the audit does not release the audited company from its responsibility to control the installed Management System, as well as of the maintenance and conformity to the requirements of the standard(s) for which the certificate(s) has (have) been awarded.
The Certification Body or the Auditor does not, under no circumstances, substitute or replace the control enforced by the relevant National Authorities.
The responsibility for the enforcement and the assessment of compliance with relevant legislation and regulations remains, in any case, company's responsibility.

CLIENT ACCEPTANCE					
Company Representative *(Name and Surname)*	Syed Naqi Raza	***Signature / Stamp***		***Period of the next audit*** *(Month and year)*	May - 2021