AUDIT REPORT

LK ENGICONS

Initial Audit for compliance to ISO 9001:2015

Team Leader: **SONI SINGH**

Date(s) of Audit: 13 SEPT.2025

Client File No: QAC/R91/1489

CLIENT INFORMATION			
Client:	**LK engicons**		
Client Contact	Mr. Akash gupta	**E-mail/ website:**	Lkengicons@gmail.com
Position:	Business head	**Mobile/Phone:**	+91- 7302657774

AUDIT DESCRIPTION				
Standard	ISO 9001:2015			
Audit Type: *(please highlight relevant box)*	Initial Stage 1 ☐	Initial Stage 2 ☐	Surveillance ☐	**Triennial** ☐
Duration	One Manday			
Audited Sites				
	Site 1: LK engicons 114 village bhawanpur kila road meerut u.p. 250001			
Audit team	Team leader	Soni singh		
	Auditor(s)	-		
	Technical expert	-		
	Observer(s)	-		
Audit Plan	Sent: 13/Sept/2025			
Site sampling methodology:	Total number sites :	Sites sampled :	N/ A	☒
Description of temporary sites :			N/ A	☒
Pre triennial review conducted:			N/ A	☒
Previous certification details:			N/ A	☒

CERTIFICATION INFORMATION

Scope of Certification:

MANUFACTURING OF BRIDGE BEARINGS, BRIDGE EXPANSION JOINTS, CRASH BARRIERS, DRAINAGE SPOUT, STEEL GRINDER, FABRICATION & ERECTION WORK, REHABILITATION OF BRIDGE AND ALL HEAVY STEEL FABRICATION WORKS

***Justification of the Exclusion Clause 8.3*:** *Development is applicable*

Employee Numbers:	10	ANZSIC:	2178

CHANGES IN CLIENT INFORMATION AT THIS AUDIT

Client Name/Address	No	Scope	No
Employee Numbers	No	Other	No

EXECUTIVE SUMMARY

An audit of LK engicons Management System was conducted on the above date(s) by CPG (Global) in accordance with the requirements outlined in ISO 17021-1:2015.

Audit Objectives

The purposes of the audit were; to verify compliance of the client's management system to the requirements of ISO 9001:2015 and to ensure that the management has a system in place to identify applicable legal, statutory and contractual obligations.

Summary of Audit Findings

The audit was conducted as per mutually agreed audit plan forwarded to the client. Mr. SAMEER – CEO. Plant Head chaired the opening meeting and remained engaged with the auditor throughout the audit duration. Over all working of the organization found in conformity with the audit standard's requirements.

Audit objectives were met	**Yes** ☐	No ☐
Non-conformances were identified at this audit:	Yes ☐	**No** ☐
Number and category of non-conformances: 0		
Description of non-conformances: Nil		

Recommendation

Recommended for **Re-certification to ISO 9001:2015 Standard**	**Yes** ☐	No ☐

DESCRIPTION OF CLIENT OPERATIONS

Company is one of the leading manufacturers MANUFACTURING OF BRIDGE BEARINGS, BRIDGE EXPANSION JOINTS, CRASH BARRIERS, DRAINAGE SPOUT, STEEL GRINDER, FABRICATION & ERECTION WORK, REHABILITATION OF BRIDGE AND ALL HEAVY STEEL FABRICATION WORKS. They are one of the pioneers in the market and have an experienced and proficient workforce that has successfully maintained stability in quality, with state-of-the-art production unit and large production capacity, their clients have a variety of products to choose from. All our products are sternly tested for quality and hygiene.

Some of the most well-known brands include “MANUFACTURING OF BRIDGE BEARINGS, BRIDGE EXPANSION JOINTS, CRASH BARRIERS, DRAINAGE SPOUT, STEEL GRINDER, FABRICATION & ERECTION WORK, REHABILITATION OF BRIDGE AND ALL HEAVY STEEL FABRICATION WORKS etc. Their Commodious infrastructure is developed to carry out business endeavours in the most efficient manner. The stress on quality in not just a mission statement but it is translated into practice by acquiring the best technical skills, well equipped laboratory and an up to mark plant suitable for producing world class fabrications. All their products are sternly tested for growing demands of our products in domestic as well as international markets and offer customer-made products as per the specific needs and requirements of the customers.

They have been successfully in their endeavour to reach out the global market. MANUFACTURING OF BRIDGE BEARINGS, BRIDGE EXPANSION JOINTS, CRASH BARRIERS, DRAINAGE SPOUT, STEEL GRINDER, FABRICATION & ERECTION WORK, REHABILITATION OF BRIDGE AND ALL HEAVY STEEL FABRICATION WORKS

At LK engicons derives synergies from the group companies and have developed highly technical team for R&D. This remains their biggest strength in Development of High Quality Products as per specific requirements of the Customers.

Client Representatives:

MARKETING (DEEPAK KUMAR AGARWAL) M.Com (15 YEARS) PRODUCTION INCHARGE (Kushant Verma) B.TECH (5 YEARS) PURCHASE DEPARTMENT (RAJEEV GARG) Mcom. (5 YEARS) Dispatch (SANJEEV GARG) B.com. (5YEARS) STORE INCHARGE (SAGAR PARCHA) B.A. (2 YEARS) ACCOUNTS DEPARTMENT (DHARMENDRA BISHT)

AUDIT INFORMATION

Clause 4.0- Context of the organisation

Understanding the organisation and its context, Understanding the needs and expectations of interested parties, determining the scope of the, Quality management system.

Audit Findings

LK engicons They have been successfully in their endeavour to reach out the global market. MANUFACTURING OF BRIDGE BEARINGS, BRIDGE EXPANSION JOINTS, CRASH BARRIERS, DRAINAGE SPOUT, STEEL GRINDER, FABRICATION & ERECTION WORK, REHABILITATION OF BRIDGE AND ALL HEAVY STEEL FABRICATION WORKS and Food Industry with an enviable reputation for innovation, cost effective solution, quality, timely delivery.
Company has its presence in this filed with immense experience in every products with deep study over development of any type of products within the product range. Plant is fully equipped with machine and inspection facilities.

Marketing is done through Sales team, E mail, Tele-call and person visits. Website is accessible for such information. Organisation is spread over PAN-India.

Lab and Lab equipments are upgraded with the latest equipments available as per Standard.

Observations/Opportunities for Improvement/ NCR:
Conformity evidenced.

Clause 5.0- Leadership

Leadership and commitment, Customer focus, Quality policy, Organisational roles, responsibilities and authorities.

Audit Findings

Mr. Deepak kr verma – along with his son directly looks after Marketing, Procurement and Commericals and Team looks after Manufacturing / Production Planning, Processing, Execution and Dispatches. Most of the customers are regular and CEO remains in communication with them. The catalogue of products is regularly updated and product order is communicated as per item nos/ names, mentioned in the catalogue.

Quality Policy found appropriate, found prominently displayed. It makes all commitments prescribed under the ISO 9001:2015 standard.

This is a middle size organization and most of the personnel perform multi role functions. Interacted with Mr. DHARMENDRA BISHT – Head Admin found that he clearly understands his responsibilities.
Observations/Opportunities for Improvement/ NCR:
Conformity evidenced.

Clause 6.0 Planning for the quality Management system

Actions to address risks and opportunities, Quality objectives and planning to achieve them, Planning of changes

Audit Findings

6.1 Risk & Opportunity: The top management understands Risk and opportunities associated with key processes of the organization, and takes adequate action to address these issues. Interacted with Mr DHARMENDRA BISHT – Plant Head and he identified some key risks like: a. Very less availability of competent staff b. Technical innovations c. competition d. Regulations and Legislative compliance, record maintenance etc.

He also explained about opportunities of improvement that exists in different process areas like:

a. improvisation in product packaging and Secondary Packaging b. frequent changes product technology and specifications etc c. introduction of e-way bill system.

Observations/Opportunities for Improvement /NCR:

Risk Management Procedure (LK/QSP/06)

Business Risk Management Register (LK/SC/F-11)

Objectives Target Monitoring Report available in MRM File (LK/SC/F-04)

Periodic review of Risk and Opportunities and action plan to develop (found reviewed this time).

6.2 Quality Objectives:

Management is proactive and is looking after sales, procurement, production, and despatches by themselves.

Quality Objectives achievement:

Customer Satisfaction: Above 90%

[The projection for 2024-25 = 15.0 Cr.]

Objective Target Monitoring Report available in MRM File (LG/SC/F-04).

Periodic Reviews are done by CEO for: Sales Review, Improvement, Safety Awareness, Productivity, Inventory and dispatches.

Data is being recorded and monitored on a regular basis by the Top Management. Data generation is on real time basis.

6.3 planning of change: Process found adequately defined in the Quality manual.

Clause 7.0 - Support
Resources, People, Environment for the operation of processes, Monitoring and measuring resources, Organisational knowledge, Awareness, Communication
Audit Findings

7.1.1 The top management has provided adequate resources for marketing, production, inspection and supply.

7.1.2 Resource Management:

Training record found maintained however, no change in the existing setup of human resource.

Module based trainings are being provided however training evaluation record not found evidenced.

Training Records are being updated from time to time and as when the trainings are conducted.

Certificate of Fitness (Prescribed under Rule No 17) Form No 5 record found not done as per Factory Rules, Eye test is also recommended for Lab persons who check and approve food color scheme **[done, conformity verified].**

All persons are examined by a competent Doctor / Medical Officer, for example: Mr. Arvind Kumar – Production In charge

7.1.3 Infrastructure: Found adequate. Process performance found good as no breakdown found reported.

List of machines and equipments (F/09) is available. Monthly preventive maintenance records available. Housekeeping found adequate.

Maintenance register found up to date.

Adequate Infrastructure and resource is available.

7.1.4: Environment: Adequate PPE like hand gloves, nose mask to be made available where ever required. are available and found being used. Adequate lightings, fans, exhausts are available.

7.1.5: MME: The factory has Measuring and Test Equipments:
Calibration:
External:
Master List of Measuring & Monitoring Equipments found updated [QC-F-7.6-01].
List of Inspection Measuring and Test Equipment found updated and maintained [Ref No: QC-F-7.6-012].

7.1.6: Organizational knowledge: Factory Staff has indepth knowledge about the product and its usage. He interacts with the customers for trouble shooting, improvements are made by him and incorporated in the organizational knowledge.
7.2 Competence: Competence skill matrix to update as per current business requirements.
Ref: Skill Matrix (LG/SC/F-07).

7.3 Awareness: Production process awareness found adequate.
7.4 Communication: No change
7.5 Documentation:
Documentation was updated at the time of upgradation last time.
Document No: LG/QSM/04
Issue No: 04, Date of Issue: 01.01.2024 Approved by CEO

Procedure for Documented Information (LG/QSP/01) available in Quality System Procedure.
List of Quality Records (LG/SC/F-01).
List of Master Documents (LG/SC/F-03).

Document of External Origin Register found maintained.
List of Master Documents are maintained.
Retention Period found maintained as per SOP.
Document Distribution Matrix is maintained.

Standard Operating Procedure found documented for all equipments, instruments like: pH Meter (1), pH Meter (2), Hot Air Oven (1), (2), Analytical Weighting Balance and control, Requirement for product and services, Customer communication, Determination of requirement related products and services, Review of requirements related to products and services, Design and development of products and service, Control of externally provided products and services, Production and services provision; Sales/Marketing

Product development; Supply Chain; Purchasing; Production; Inspection and Testing; Labeling Process, Packaging, preservation and dispatch;

Identification and traceability, Property belonging to customers and external providers, Preservation,

Post-delivery activities, Control of changes, Release of product and services, Control of nonconforming outputs.

Audit Findings

8.1 Process operations are well controlled. Product and process specifications are well defined. Process records related to production and inspection are available. No Production process is outsourced.

Order Management System found effective.

Orders are being reviewed by CEO.

Orders are being executed on time. Sale Order File found maintained, generally orders are received over the mail.

Delivery: immediate.

Review of the actions raised in the Marketing is awaited for compliance.

Regular mailers through mails, product promotion by telecalling. Monthly targets to assign.

Regular updation & production addition on Website and Product Marketing be closely monitored.

Statutory and Regulatory Requirements:

Factory Licence No: SPR00007765 vide Registration No: UPFA7000442 granted on dt: 10/01/2025 and expiry on dt: 09/01/2027 as per FORM-4 (Prescribed under rule-5) Government of UTTAR PRADESH

DIC Regd No: UPFA7000442

Consent to Operate under Section 25/26 of Water (Prevention & Control of Pollution) Act, 1974 and under section 21(4) of Air (Prevention & Control of Pollution) Act, 1981 vide Application Id ;22031323Date: 07/08/2023, Order No: 188824/UPPCB/Meerut(UPPCBRO)/CTO/BOTH MEERUT/2023 is valid for a period from 07/08/2023 to 31/03/2026.

IS 1697: 1994, IS 4467: 1996, IS 2923: 1995, IS 2558: 1994, IS1695: 1994, IS 6404: 1994, IS 1698:1994 Specifications.

8.3 Design & development: Non applicability of the clause is adequately addressed in the Quality System Manual. Food Colours are being manufactured as per relevant BIS Specifications which does not require any designing and developmental activity. Only proper mixing and processing is required.

8.4 Externally provided products/ services:

External Providers:

Approved External Providers List and Performance Evaluation record found maintained (LG/PUR/F-01).

Calibration Certificate Test Record:

Inhouse:

1.Modek Vaishno labs Report of: ULR: CC46242600000

Date Of Calibration:04-05-2026 Exp Date: 03-05-2026 found maintained vide Test Report No:Cal/26/1769

Quality Plan:

Quality Plan for Incoming Raw Material, Incoming Packaging Materials Ref No: LG/QP/01

Issue No: 01, Date of Issue: 01.07.24.

Quality Plan for Final Inspection Ref: LG/QP/03 Rev No: 01 Rev Date: 01/01/2014.

8.5 Control over production process:

Production:

PPC is handled by CEO on Orders and priority based. Down the line communication gets transmitted to Production man / respective HOD's for action.
Production is done as per confirmed orders received.
Processing Plan is sent inside the Shop Floor for Supervisor to manufacture as per dispatch planning.
Production capacity in a day enhanced to by doing little modification internally:
Carmel SS packing

In-process Inspection Record:
Lot Register record found maintained having information about Lot No, Date and so on [Ref No: QC/R-8.2.3-02].
Basic Colours Register found maintained.
Lake Colours Register found maintained.
Food Colours Preparation Register found maintained.
Caramel Liquid S.S. Type-IV Register found maintained.

Store:
FIFO system has been maintained.
Transporter Monitoring Policy is documented on dt: 01.01.2018.
Glass Breakage Control Policy
Waste Disposal Policy
Hygiene Rule found modified and displayed.
Visitor Policy board found displayed at the entrance of the Plant.
Hygiene Procedures are being strictly followed due to COVID-19.
Water Sample Analysis of RIICO Supply Water Test record is available and maintained vide Test Report No: EL/BWD/041220-3395 Dt: 10/12/2020 done from Enviro Lab – Meerut. Test conforms to the IS: 3025 specifications.
Raw Material entry details are maintained for stock in and balance checking purpose.
Last Stock found reviewed in the month of April 2025. Currently, stock is checked manually and accordingly indented as per Customer Order / Project wise.
Finished Product is suitably identified with item code and tested OK sticker is affixed on the product before its release for the product traceability.
Adequate stacking found done.
Finished Goods Stock Trial found maintained and uptodate.

Labelling Management System found in place:
As per FASSI guidelines.

Control of Non Conforming Product:
No Non Conformance of any Batch of and Product has been sighted.
Process is being monitored by CEO himself.

Observations/Opportunities for Improvement/ NCR:
Conformity evidenced.

Clause 9.0 – Performance evaluation

Monitoring, measuring, analysis and evaluation, Customer satisfaction, Analysis and evaluation, Internal audit, Management review

Audit Findings

9.1 Monitoring & measurement:
Purchase, production, sale, delivery schedule and Customer complaints / rejections are recorded and monitored on monthly basis [F/13]. Production- inspection record is maintained in the form of batch production-inspection-dispatch register. No Product non-conformity / rejection noted in recent past.

Trends:

Yield Analysis Report Product wise and Month wise found implemented.

Observations/Opportunities for Improvement:

Conformity evidenced.

Internal Audits

Frequency:	Monthly ☐	Six-monthly ☐	**Yearly** ☐	Other ☐
Date of most recent audit:	[LG/SC/F-10]			
Date of audit preceding last:	Between 19-20/SEP/2025			
Audit performed by :	Team of Auditors with the help of External Auditor			
During the audit, the internal Audit Plan, dated 15/09/2025 and internal Audit Report, dated 25/09/2026 were verified.				
Forward planning is informed by the most recent two audits, information from the analysis of data and information from critical processes Five NC's raised by trained External with the help of Trained Internal Auditor.	**Yes** ☐ No ☐			

Management Review Meeting

Frequency:	Monthly ☐	Six-monthly ☐	**Yearly** ☐	Other ☐
Date of most recent meeting:	(LG/SC/F-04)			
Date of meeting prior to last:	27/Apr/2025			
Management review chaired by :	Mr. Arun Dev Bhardwaj – CEO			
The continuing suitability, adequacy and effectiveness of the management system was confirmed by the top management.	**Yes** ☐ No ☐			

Clause 10.0 – Improvement

Nonconformity and corrective action, continual improvement

Audit Findings

The QMS of the organization is in place but transitional problems like lack of understanding in implementation evidenced.

Observations/Opportunities for Improvement:

For revival of old customer, ensure timely customers feedback & there after speedy corrective action.

Ensure to control complaint recording properly for speedy corrections and corrective measures. Vice President monitors it on a day to day basis.

Due to COVID-19, focus on hygiene is emphasised which was demonstrated during the video round taken.

Instruction Manual must be prepared / arrange well before delivery.

ADDITIONAL INFORMATION

As before, no change evidenced.

Use of Marks and Logos

As before no change evidenced.

Previous Non-conformances Closed/Open and Action Taken

There was no issue of concern in the previous audit report.

Complaints

(Comment on complaints received or dealt with. Include reference number for traceability)

Complaints Management System:

One market complaint found received since last audit.

Investigation of Product Market complaint

Triennial review

Documents Reviewed for Pre-Triennial Review			
Docs reviewed	Audit Log ☐	**Previous NCs** ☐	**Previous Reports** ☐
Comments on Documents:	Documentation and Plant Hygiene		

Outstanding Issues

None

Site Specific Summary (if applicable)

Site 1:

Audit findings:

Risk Management:
Risk Management Register (Risk & Opportunity) however, Manufacturing Activity to be included Rev No: 04, Rev Date: 01.04.2022 [Ref. SFT/SC/F-11]

Health Surveillance Record:
Certificate of Fitness Form No. 5 (Prescribed Under Rule No. 17) of Mr. Deepak kumar agarwal found examined on dt: 16/04/2026 from by Dr. V.S. Beniwal, MBBS, Reg No: 128786.

Pest Control Management System:
General Disinfections and Rodent Control found done from Free Pest Control – uttar pradesh (up) under AMC renewed on dt: 01/sep/2025. Chemical used is Malathaion (50% EC), Dicholorovos (76% EC), Deltra Mathri (85% EC).

Documentation Status:

Doc No: LG/QSM/05
Issue No: 05, Date of Issue: 01.01.2025

External Provider:
List of Approved Supplier is available and maintained.
Performance Monitoring record is maintained [Ref No. LG/PUR/F-01].

Internal Audit:
Internal Audit conducted between 04-05/SEP/2025 [LG/SC/F-10].
Internal Audit conducted by trained External Auditor with the help of Internal Auditor.
Total 06 NCR raised found closed out.

MRM:
MRM done on 12/SEP/2025.
Being chaired by Mr. Arun Bhardwaj – CEO

<u>Pointers:</u>
Safety – Loose Wiring etc
Clean Uniform for Production Workers

Broken Glass
Drains to cover outside the building, Effectiveness of Pest Control to check and monitor.
Hygiene at Shop Floor
5 ‘S’ and stacking system
ETP Sludge to be properly kept in blocks and disposal mechanism
Fly Catcher to install inside the Production Area (Vessel area)
Effort to made to replace MS with SS where ever possible and required.
MS to be repaired / painted especially doors for all production halls.

Site 2:

CONCLUSION

Statement of Conclusion

QMS is in place, Bigger and better Finished Goods Store found done.
Generally, found organization is meeting the standard requirements as stated in the ISO 9001:2015.

Recommendation

Recommended for **Re-certification to ISO 9001:2015**.	**Yes** ☐	No ☐
Recommended Surveillance Interval	**Yearly**	
Next First Surveillance Audit Date before	**10/May/2026**	

DISCLAIMER

Some issues, non-compliances or required improvements within the organisation may not have been identified in this report, due to the sampling size and time available during the audit. The organisation's management is responsible for implementing a surveillance system (based on internal audits) to identify non-conformances/continuous improvement opportunities and to take the necessary controls to ensure the quality management system implemented is effective and meets organisational and regulatory requirements.

CONFIDENTIALITY STATEMENT

CPG, its employees, auditors and contractors, shall keep all information relating to your organisation collected during this audit confidential, and shall not disclose any such information to any third party, except that as required by legislation or relevant accreditation bodies.
CPG, its employees, auditors and contractors and accreditation bodies have signed confidentiality agreements and will only receive confidential information as per the requirement of the standards being audited.

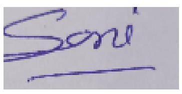
Report by:	**SONI SINGH**		**13/SEP/2025**
	Team Leader (name)	**Signature**	**Date**

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Table 1 - Audit Program Elements to be audited

Elements in **bold** to be audited at every audit

Schedule may be subject to change.

Triennial Audit Program Section title		**Audit Type** **Triennial / Recert.** **Year 2022**	**Surveillance 1** **Year 2023**	**Surveillance 2** **Year 2024**	**Triennial /Recert.** **Year 2025**
1	General Review	✓	✓	✓	✓
2	**Leadership (Clause 5.0)** Leadership and commitment, Customer focus, Quality policy, Organisational roles, responsibilities and authorities,	✓	✓	✓	✓
3	**Planning for the quality management System (Clause 6.0)** Actions to address risks and opportunities, Quality objectives and planning to achieve them, Planning of changes,	✓	✓	✓	✓
4	**Support (Clause 7.0)** Resources, People, Environment for the operation of processes, Monitoring and measuring resources, Organisational knowledge, Awareness, Communication	✓	✓	✓	✓
5	**Operation (Clause 8.0)** Operational planning and control, Determination of requirement for product and services, Customer communication, Determination of requirement related products and services, Review of requirements related to products and services. Control of externally provided products and services, Production and services *e.g. Sales/Marketing* *development of productss;*	✓	✓	✓	✓

Triennial Audit Program Section title		Audit Type Triennial / Recert. Year 2022	Surveillance 1 Year 2023	Surveillance 2 Year 2024	Triennial /Recert. Year 2025
	;Purchasing; *Production; Manufacturing;* *Inspection and Testing;* *warehousing, Packaging, preservation and dispatch;*				
6	**Performance evaluation (Clause 9.0)** Monitoring, measuring, analysis and evaluation Customer satisfaction, Analysis and evaluation, **Internal audit** **Management review**	✓	✓	✓	✓
7	*Documentation Status*	✓	✓	✓	✓
8	*H.O, Site Visit or Visits (including Addresses)*	✓	✓	✓	✓
9	*Site visits for Temporary Sites*	**	**	**	**
10					