



Management System Certification Audit Summary Report

Organization:	The Safe House SG Pte. Ltd.				
Address:	506 Chai Chee Lane #01-01 Singapore 469026				
Standard(s):	ISO 9001:2015	Accreditation Body(s): UKAS			
Representative:	Mr. John Tay				
Site(s) audited:	As above	Date(s) of audit(s):	20 th Dec 2017		
EAC Code:	31, 35	NACE Code:	63.12, 74.82	Technical Area code:	31.4, 35.5
Effective No. of Personnel:	5	No. of Shifts:	Normal Shift		
Lead auditor:	T1: Loh Woon Yee	Additional team member(s):	Nil		
Additional Attendees and Roles	Nil				
This report is confidential and distribution is limited to the audit team, client representative and the SGS office.					

1. Audit objectives

The objectives of this audit were:

To determine conformity of the management system, or parts of it with audit criteria and its:

- *ability to ensure applicable statutory, regulatory and contractual requirements are met,*
- *effectiveness to ensure the client can reasonably expect to achieve specified objectives, and*
- **ability to identify as applicable areas for potential improvement.**

2. Scope of certification

Testing, Packing and Storage of Precious Metal Bullion

Note: Describe below in detail the activities in the organisation under certification:

As mentioned above

Has this scope been amended as a result of this audit?

Yes No

Note: Highlight the changes in the amended scope.

(Example: Technical and geographical extension, reduction and changes)

This is a multi-site audit and an Appendix listing all relevant sites and/or remote locations has been established (attached) and agreed with the client

Yes No

Job n°:	601595	Report date:	20 th Dec 2017	Visit Type:	Renewal	Visit n°:	V01
CONFIDENTIAL	Document:	GS0304	Issue n°:	21E	Page n°:	1 of 10	



For integrated audits, confirm the current level of the client's IMS integration: N/A Basic High
BASIC Level of Integration:

Is there a single internal audit program, a single management review and a single, commonly managed document control system covering the entire IMS?

YES NO

HIGH Level of Integration:

Is there a single IMS Management Team responsible for its implementation and maintenance and able to respond to questions about the entire system?

YES NO

3. Current audit findings and conclusions

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives required by the standard(s). A sampling process was used, based on the information available at the time of the audit. The audit methods used were interviews, observation of activities and review of documentation and records.

The structure of the audit was in accordance with the audit plan included as an annexe to this summary report.

The audit team concludes that the organization has has not 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 or services within the scope and the organization's policy and objectives.

Number of nonconformities identified: 0 Major 0 Minor

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 / Withheld / Suspended until satisfactory corrective action is completed.

4. Previous Audit Results

The results of the last audit of this system have been reviewed, in particular to assure appropriate correction and corrective action has been implemented to address any nonconformity identified. This review has concluded that:

- Any nonconformity identified during previous audits has been corrected and the corrective action continues to be effective. (Refer to Section 6 for details)
- The management system has not adequately addressed nonconformity identified during previous audit activities and the specific issue has been re-defined in the nonconformity section of this report.

5. Audit Findings

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives. The audit methods used were interviews, observation of activities and review of documentation and records.

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 and is capable of achieving its policy objectives, as well as and the intended results of the respective management system(s). Yes No

Job n°:	601595	Report date:	20 th Dec 2017	Visit Type:	Renewal	Visit n°:	V01
CONFIDENTIAL		Document:	GS0304	Issue n°:	21E	Page n°:	2 of 10



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

Certification claims are accurate and in accordance with SGS guidance and the organization is effectively controlling the use of certification documents and marks. N/A Yes No

6. Significant Audit Trails Followed

The specific processes, activities and functions reviewed are detailed in the Audit Planning Matrix and the Audit Plan. In performing the audit, various audit trails and linkages were developed, including the following primary audit trails, followed throughout:

- **Relating to Previous Audit Results / Stage 1 Findings / Certification History:**
Nil as no CAR raise
- **Relating to this Audit; including any significant changes (eg: to key personnel, client activities, management system, level of integration, etc.):**
The organization converting to ISO 9001:2015. All the key personnel are the same and no changes to the organization chart. Some minor changes in staff movement due to resignation and hiring only. The client activities as per the scope.

Information and evidence about the organization's adaptation to the new and amended ISO 9001:2015 / ISO 14001:2015 requirements was assessed during the audit (audit evidence summarized below)

(Note: Delete item if not applicable or not part of audit area for surveillance visit)

Item	Audit result
Context of organization Including understanding the organization and its context, understanding the needs and expectations of interested parties, determining the scope of the quality management system	Seen and verified the organization identification of internal & external issues in the risk analysis form. Sampled internal issues identified such as <ol style="list-style-type: none"> Information not shared and passed down among TSH staffs Silver Bullions making conflicting TSH tour arrangement and providing inadequate information regarding the arrangement Content dispute during phone conversation with Silver Bullion that is not documented. Sampled external issues identified such as <ol style="list-style-type: none"> Price competitiveness Silver Bullion is the only customers Slowing economy and market economic cycle Law imposed tax on bullion and declaration Interested parties identified with their needs and expectations are clearly

Job n°:	601595	Report date:	20 th Dec 2017	Visit Type:	Renewal	Visit n°:	V01
CONFIDENTIAL		Document:	GS0304	Issue n°:	21E	Page n°:	3 of 10

	<p>documented in the register of stakeholder interest dated 22nd Sept 2017. Sampled</p> <ul style="list-style-type: none"> a) Management & Employees Requirements: Safe & sound workplace, Career development opportunity, Fair treatment and benefits & etc b) Customers Requirements: Meeting the contract requirements, Quality customer services, reliable esting for authentication of gold/silver & effective communication channels. c) Vendor Requirements: Fair dealing in transactions, Sustainable business opportunity & timely payment delivered material/services
<p>Leadership and commitment</p>	<p>The top management demonstrates leadership and commitment with respect to the QMS by</p> <ul style="list-style-type: none"> a) taking accountability for the effectiveness of the quality management system b) ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organization c) ensuring the integration of the quality management system requirements into the organization's business processes d) promoting the use of the process approach and risk-based thinking e) ensuring that the resources needed for the quality management system are available f) communicating the importance of effective quality management and of conforming to the quality management system requirements g) ensuring that the quality management system achieves its intended results h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system i) promoting improvement j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility <p>Top management ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization through Job Description. The organization identified the role of Management Responsibility (MR. John Tay, MR) in ensuring</p> <ul style="list-style-type: none"> a) that the quality management system conforms to the requirements of ISO 9001 b) that the processes are delivering their intended outputs c) reporting on the performance of the quality management system and on opportunities for improvement in particular to top management d) ensuring the promotion of customer focus throughout the organization e) ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.
<p>Policy / objectives & programmes</p>	<p>Checked and verified quality policy and quality objectives for 2017:- The organization reviewed and confirmed that the quality policy remain no change. This is evident in the management review minutes of meeting</p> <p>1) Achieving 90% of overall customers' satisfaction, result 100%</p>

	<p>2) All visitors' information shall be checked, verified and recorded. (100%)</p> <p>3) 100% stock accountable during yearly stock take., result 100% from the 3rd party audit.</p> <p>Checked and verified objectives, targets and management program to achieve the target set.</p>
Risks and opportunities (identification and actions)	<p>Sampled internal issues identified such as</p> <ul style="list-style-type: none"> a) Information not shared and passed down among TSH staffs Risk/Impact: Disrupt work leading to customer dissatisfaction b) Silver Bullions making conflicting TSH tour arrangement and providing inadequate information regarding the arrangement Risk/Impact: Disrupt work leading to customer dissatisfaction c) Content dispute during phone conversation with Silver Bullion that is not documented. Risk/Impact: Disrupt work leading to customer dissatisfaction d) Price competitiveness Opportunity: To establish more value added product and customer personalized services e) Silver Bullion is the only customers Risk/Impact: No expansion in business f) Slowing economy and market economic cycle Risk/Impact: Affect business g) New trends such as evolving to cashless society resulting not holding physical Opportunity: Adopting new business strategy
Organisational knowledge	<p>The organization has determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services through performance review. The training plan is established and monitor to ensure organization knowledge is managed.</p> <p>The organization has determined the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system.</p>
Communication, responsibility and authority Competence, training and awareness	<p>Checked and verified training record for Mr. Colin Yeh, Secure Logistics Officer. Sampled OJT training of</p> <ul style="list-style-type: none"> a) TSH Orientation b) Sales TRaining c) ISO 9001:2015 awareness <p>Checked and verified training evaluation & competency for Mr. Colin Yeh Checked and verified internal audit training record for Mr. John Tay & Mr. Colin Yeh dated 17th Oct 2017 for ISO 9001:2015 by ACE Team Management Consultancy.</p>

<p>Process control including outsourced processes including control of nonconforming product; infrastructure; control of monitoring and measuring equipment; and monitoring and measurement</p>	<p>Control of outsourced Checked and verified approved vendor list with total 14 suppliers only. All the suppliers were evaluated on yearly basis to assess their performance. 4 suppliers were also delisted from the list due to services 'Not Required'. Sampled Supplier Approval for</p> <ul style="list-style-type: none"> a) Vendor: IDI Laser Services Pte Ltd Service: Laser Eqpt Supplier & Service b) Vendor: Accumech Instruments Pte Ltd Service: Testing Equipment Supplier & Service <p>Sampled suppliers assessment for</p> <ul style="list-style-type: none"> c) Vendor: Annex Microsystem Service: Precision Weighing Services Result: 45/45 d) Vendor: Olympus Singapore Pte Ltd Service: Testing Equipment Supplier & Service Result: 45/45 e) Vendor: Micro-Tech Supplies & Services Pte Ltd Service: Testing Equipment Supplier & Service Result: 45/45 <p>All the suppliers assessed remain in the AVL list The assessment criteria include of</p> <ul style="list-style-type: none"> - consistency, - response to instruction, - complainace to requirements, - On time, - No delivery error, - Response to replace goods - Technical knowledge - Urgency - Co-operative - Sufficient Labor <p>With scoring from 1 to 5. The score of '5' being excellent and '1' being poor. Sampled Quotation from vendors, the organization will sign on quotation for confirmation of their purchase order to vendors. There is no issuance of P/O to vendor as the organization uses the quotation as form correspondence. Sampled:</p> <ul style="list-style-type: none"> 1) Quotation: A1709319DT-TF-The Safe House from Accumech Instruments Pte Ltd with Invoice #: AIINV2017-0595 2) Quotation: SAL-QUO-1709-3 from IDI Laser Services Pte Ltd with Invoice #: S/IDI/20005322 <p>TSH-QP-06, Packaging and Storage Provision TSH-QP-08, Monitoring and measurement of processes TSH-QP-09, Monitoring and measurement of product TSH-QP-10, Control of non-conforming product TSH-QP-12, Control of monitoring and measuring equipment TSH-QP-13, DUX Testing</p> <p>Seen the calibration master-list, randomly select and verified the below equipment :-</p> <ul style="list-style-type: none"> 1) Portable X-ray Spectrum Analyzer , model XL2-100, s/n 82244 with, calibration date 19th Jan 2017 and next cal date 18th Jan 2018. 2) Ultrasonic flaw detector, S/N: 130566007 with Cert #: 178141904352
--	--

	<p>calibrated on 25th Oct 2017 and exp: 24th Oct 2018.</p> <p><u>Storage and Preservation</u> Seen the store area with strong and tight security. There is no special storage condition required. Generally the goods are stored in a clean environment and secured with CCTV monitoring and sensors.</p> <p>Seen the incoming goods are being verified and receipt with acknowledgement. Reference to the email dated 9/12/15 that there is an incoming transfer from the end-customer in which the order information are provided by the parent company and the Deposit Receipt #1806.</p> <p>Seen the receiving through system, deposit receipt 1806, identifying the total parcel ID of 15, randomly verified the parcel ID SB20010799, SB30004821 & SB20010806 with testing result and photograph of the bullion with parcel ID on it. Verified test ID # 3800 for Bullion purity, Weight & Ultrasound thickness.</p> <p>Seen the internal inventory check as well as a quarterly inventory check by external party, Inspectorate (Singapore) Pte Ltd. Randomly verified the internal inventory statement for 20 October 2016 were observed to be satisfactorily.</p> <p>Seen and verified the withdraw, the procedure is the same as receiving, seen the information on the withdraw information, randomly select withdraw receipt # 1810 dated 14th December 2017, #1790 dated 7th December 2017 & etc with the information on withdraw with the withdrawal notification, the withdraw receipt was signed and stamp by the receiver, the security and the vault personnel.</p>
<p>Internal audit and management review</p>	<p>TSH-QP-03, Management Review Management review was conducted on the 24th Nov 2017 covering all required requirements. Seen agenda of management review including</p> <ul style="list-style-type: none"> • Matters arising from previous meeting • Findings of Internal Audit / External Audit • Internal feedback and communication within TSH • Changes in Risks / Opportunities • Customers' survey, feedback / complaints • Quality Policy / Quality Objectives • Operation performance • Monitoring and Measurement Result • Activities of corrective / preventive actions • Vendors / Outsourced activities • Adequacy of resources • Legal update and relevant communication • Changes to QMS • Continual improvements • AOB <p>Checked and verified minutes of meeting, the management has reviewed and decided that there is no change to the QMS objectives and policy.</p> <p>TSH-QP-07, Internal Audit Seen the internal audit schedule for 2018 issue on 2nd Oct 2017, the internal audit was carried out on 8th Nov 2017 by the Mr. John Tay & Mr. Collin Yeh.</p>

	<p>Checked and verified internal audit training record for Mr. John Tay & Mr. Colin Yeh dated 17th Oct 2017 for ISO 9001:2015 by ACE Team Management Consultancy. Verified the internal audit report with no NCs raise. Checked and verified internal audit checklist in ensuring the internal audit coverage is sufficient to meet the ISO 9001:2015 requirements.</p>
<p>Nonconformity, corrective, preventive action, analysis of data, continual improvement</p>	<p>TSH-QP-11, Corrective and preventive action Till date, there is no customer complaint. No CAPA raise during internal audit.</p> <p>Verified corrective action status log with 1 CAR issued due to incoming inspection discrepancies resulted from the delivery by the supplier. Verified CAR: TSH-CPAR-17-01.</p> <p>The detail of non-conformance was clearly identified and reported by Colin Yeh. Investigation was carried out to address the root cause. Verified corrective action taken to prevent mix-up and NCs goods were quarantined for investigation.</p> <p>Customer satisfaction survey confirmed the favourable service from the organization with score of 100%.</p>
<p>Customer satisfaction and complaints</p>	<p>TSH-QP-11, Corrective and preventive action Seen the customer complaint log sheet, till date, there is no customer complaint.</p> <p>The organization's customer is its' very own parent company (Silver Bullion Pte Ltd) and has no external dealing.</p> <p>Verified customer feedback form dated 22nd Nov 2017 from Silver Bullion Pte Ltd with score of 100%.</p> <p>The customer satisfaction survey assessment criteria consisting 2 categories namely</p> <ul style="list-style-type: none"> • Quality <ul style="list-style-type: none"> - Consistency - Compliance to requirements - Safety consciousness - Corrective actions • Service <ul style="list-style-type: none"> - Handling of queries professionally - Responsiveness - Competency of staff - Co-operative <p>The assessment scoring of 1 to 5 with '1' being poor and '5' being excellent.</p>
<p>Documentation and records control</p>	<p>The documented procedure were updated to align with ISO 9001:2015 version. There is no distribution of documents as only 1 copy available for use.</p>
<p>Other relevant information</p>	<p>Nil</p>
<p>Use of certificate and logo</p>	<p>The organization uses the logo and the certificate (e.g. on business cards, company brochures, websites etc.) in compliance with SGS on the use of logo.</p>

• Client Proposed Action to Address Minor Non-Conformances Raised at this Audit:

Job n°:	601595	Report date:	20 th Dec 2017	Visit Type:	Renewal	Visit n°:	V01
CONFIDENTIAL		Document:	GS0304	Issue n°:	21E	Page n°:	8 of 10



Nil as no CAR raise

7. Nonconformities (Nil)

NonConformity N° ___ of ___

Department /
Function:
Document Ref.:

Major Minor
Standard
Ref.:
Issue / Rev.
Status:

Details of
Nonconformity:

Nonconformities detailed here shall be addressed through the organization’s corrective action process, in accordance with the relevant corrective action requirements of the audit standard, including actions to analyse the cause of the nonconformity and prevent recurrence, and complete records maintained.

- Corrective actions to address identified major nonconformities shall be carried out immediately including a cause analysis, and SGS notified of the actions taken within 30 days. An SGS auditor will perform a follow up visit within 90 days to confirm the actions taken, evaluate their effectiveness, and determine whether certification can be granted or continued.
- Corrective actions to address identified major nonconformities shall be carried out immediately including a cause analysis, and records with supporting evidence sent to the SGS auditor for close-out within 90 days.
- Corrective Actions to address identified minor non conformities including a cause analysis, shall be documented on a action plan and sent by the client to the auditor within 90 days for review. If the actions are deemed to be satisfactory they will be followed up at the next scheduled visit.
- Corrective Actions to address identified minor non-conformities including a cause analysis, have been detailed on an action plan and the intended action reviewed by the Auditor, deemed to be satisfactory and will be followed up at the next scheduled visit.
- Appropriate cause analysis and immediate corrective and preventative action taken in response to each non-conformance as required.

Organisation Closed (Received)
Date:-

CBE (Auditor) Closed
Date:-

Note:- Initial, Re-certification and Extension audits – recommendation for certification cannot be made unless check box 4 is completed. For re-certification audits the time scales indicated may need to be reduced in order to ensure re-certification prior to expiry of current certification.

Note: At the next scheduled audit visit, the SGS audit team will follow up on *all* identified nonconformities to confirm the effectiveness of the corrective actions taken.

Job n°:	601595	Report date:	20 th Dec 2017	Visit Type:	Renewal	Visit n°:	V01
CONFIDENTIAL		Document:	GS0304	Issue n°:	21E	Page n°:	9 of 10



8. General Observations & Opportunities for Improvement

Positive Aspect of the Organization:

- 1) The management and staff are committed in implementing the Quality Management System.
- 2) Records are available and retrievable which help in facilitate the audit.

Opportunities for Improvements

- 1) The supplier approval evaluation record ould be promptly updated for traceability.
- 2) The CPAR effectiveness could be clearly documented for easy traceability.

9. Opening and Closing Meeting Attendance Record

Name	Position	Opening	Closing
Mr. John Tay	Management Representatives	√	√
Mr. Collin Yeh	Deputy MR	√	√