

**IND-EXPO CERTIFICATION LIMITED**

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME**

**STAGE II AUDIT REPORT**

**ISO 22000:2018**

**Dumbara Natural Foods (Pvt) Ltd**



# INDEXPO CERTIFICATION LIMITED

## INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME STAGE II AUDIT REPORT – ISO 22000:2018

<b>1. NAME OF ORGANIZATION :</b> Dumbara Natural Foods (Pvt) Ltd
<b>2. ADDRESS OF HEAD OFFICE :</b> No. 22/C, Thennapitiyawatta, Malpana, Kengalla, Digana
<b>3. ASSESSMENT SITE/S :</b> Same as 2
<b>4. CONTACT DETAILS :</b>
<b>4.1 Name :</b> Mr. Ranjith Kumara Rathnasiri <b>Designation :</b> Managing Director
<b>4.2 Tel :</b> 081-3801028 <b>Mobile :</b> 077-6585622 <b>Fax :</b> -
<b>4.3 E-mail :</b> dumabara.md@gmail.com
<b>5. NO. OF EMPLOYESS :</b> 25
<b>6. APPLICABLE STANDARD :</b> ISO 22000:2018
<b>7. FILE NO. :</b> IMSC-FSMS-
<b>8. NACE CODE / SUBCATEGORY :</b> C IV
<b>9. SCOPE OF CERTIFICATION :</b> Activities pertaining to Activities pertaining to manufacturing of value added kithul products ( Puddings, sweets, jaggery, treacle, spreads, nectars, jams, chutneys and flour )
<b>10. CONFIRMATION FOR SCOPE OF CERTIFICATION :</b> The scope is confirmed. ..... Signature
<b>11. DATE OF AUDIT &amp; Time :</b> 2022/11/25
<b>12. TYPE OF AUDIT :</b> Stage II
<b>13. AUDIT TEAM :</b>
Mr. Tharindu Hettiarachchi      - Team Leader
Ms. Promila Jayarajh      - Team Member
Ms. Sammani Samarawickrama      - Team Member
Mr. Anurudda Yasas      - Team Member

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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 food safety

**15. AUDIT CRITERIA :** ISO 22000:2018, SLS 1266:2011, SLS 143:1999, ISO 19011, and relevant regulatory requirements

**16. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS:** No any deviations from the audit plan

**17. ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME:** No any significant issues

**18. SIGNIFICANT CHANGES, IF ANY, THAT AFFECT THE MANAGEMENT SYSTEM OF THE COMPANY SINCE THE LAST AUDIT TOOK PLACE :** No any significant change

**19. AUDIT FINDINGS :****19.1 Context of the Organization (4 of ISO 22000):****Understanding the organization and its context (4.1 of ISO 22000):**

Organization has determined the external and internal issues that are relevant to purpose and strategic direction to achieve the expected results from the food safety management system. The organization is also having a mechanism to monitor and review those issues annually.

**Understanding the needs and expectations of interested parties (4.2 of ISO 22000):**

Organization has identified interested parties that can affect the food safety management system. The requirements of these interested parties have been determined by the organization. Organization has a procedure and a system of monitoring and reviewing information of those interested parties.

**Determining the scope of the food safety management system (4.3 of ISO 22000):**

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 22000:2018 standard.

**Food safety management system (4.4 of ISO 22000):**

The food safety management system, comprising the procedures and their interactions, has been established, implemented, and maintained by the organization. All needed procedures have been implemented throughout the organization, including required input and expected output. The

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company has also built the necessary monitoring and measuring mechanisms, as well as delegated roles and authority for each need.

**19.2 Leadership (5 of ISO 22000):****Management commitment (5.1 of ISO 22000):**

Top management demonstrated leadership and commitment to the company's food safety management system, and they were aware of their responsibilities to maintain an effective food safety system in accordance with the company's food safety policy and food safety objective, which were established in accordance with the company's context and strategic direction.

They have determined to promote risk-based thinking throughout the company and have taken steps to ensure that all resources required and interested in attaining business goals are available, as well as to continue to strengthen existing food safety objectives.

**Policy (5.2 of ISO 22000):****Establishing the food safety policy (5.2.1 of ISO 22000):**

The company has established, implemented, and maintained a food safety policy that demonstrates adequate application of applicable regulations and continuous improvement.

**Communicating the food safety policy (5.2.2 of ISO 22000):**

Food safety policies were provided and kept as documented information. At all levels of the company, policy was communicated, understood, and implemented, as well as to appropriate interested parties.

**Organizational roles, responsibilities and authorities (5.3 of ISO 22000):**

Top management has delegated responsibility and authority for relevant personals via verbally. Appointment letters has been issued.

**19.3 Planning (6 of ISO 22000):****Actions to address risks and opportunities (6.1 of ISO 22000):**

During the planning of the foods safety management system, the company has determined the issues under clause number 4.1 and the requirements under clause number 4.2 of this standard, as well as the risk and opportunity that are occurring. While achieving the improvements, these include enhancing favourable benefits and preventing and reducing unwanted impacts. The planning also guarantees that action is integrated and implemented into the FSMS processes, with effectiveness evaluated.

**Objectives of the food safety management system and planning to achieve them (6.2 of ISO 22000):**

The objectives for food safety have been specified and established, and they are in keeping with the strategic orientation. In addition, the business has a system in place to track and measure food safety goals. At the management review meeting, they analysed and examined the accomplishments of the food management system's goals.

**Planning of changes (6.3 of ISO 22000):**

The organization has a framework in place to determine the modifications that are required to the food safety management system and to implement them through planning, taking into account the need for change and the expected outcomes while maintaining the integrity of the FSMS.

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The organization has committed to establishing, implementing, maintaining, updating, and improving the FSMS, and has been given the resources to do so.

**People (7.1.2 of ISO 22000):**

The organization has also provided the personnel needed to efficiently implement the FSMS and related operations.

**Infrastructure (7.1.3 of ISO 22000):**

The company has constructed structures and provided space for its intended operation, as well as all necessary services such as electricity, water, and information and communication technology.

**Work Environment (7.1.4 of ISO 22000):**

The company has created the essential operating environment for a combination of physical and human requirements. For the operation, the company has provided adequate ventilation and lighting. The company also adheres to the sanitary regulations for both employees and visitors. The environment's general cleanliness has also been assured.

**Externally developed elements of the food safety management system (7.1.5 of ISO 22000):**

PRPs, Hazards analysis, and the hazard control plan were all created, managed, and updated by the company on its own.

**Control of externally provided processes, products or services (7.1.6 of ISO 22000):**

Company has developed criteria for the evaluation of external providers of processes. Supplier evaluation is available.

**Competence (7.2 of ISO 22000):**

The need for training has been identified, and the effectiveness of the training provided has been assessed.

**Awareness (7.3 of ISO 22000)**

All employees were made aware of the organization's quality policies and objectives.

**Communication (7.4 of ISO 22000):****General (7.4.1 of ISO 22000):**

The company has recognized and planned FSMS-related internal and external communication.

**External Communication (7.4.2 of ISO 22000):**

The company has efficiently provided enough information to external parties who are interested.

**Internal Communication (7.4.3 of ISO 22000):**

With respect to food safety, the organization has built an excellent communication system. Changes

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were communicated to the food safety staff in a timely way.

**Documented Information (7.5 of ISO 22000):****General (7.5.1 of ISO 22000):****Creating and updating (7.5.2 of ISO 22000):****Control of documented information (7.5.3 of ISO 22000):**

Company has identified documented information required by the standard and documents required to be applied for effectiveness of FSMS. Company has established a documented information control system for both documents and records. Including distribution, retrieval, storage and preservation, control of changes, retention and disposition. All external documents required has been identified and controlled.

**19.5 Operation (8 of ISO 22000):****Operation planning and control (8.1 of ISO 22000):**

The processes required to control service and product provision have been planned, executed, and controlled by the company. The company has created applicable standards for processes and service and product acceptability. As well as controlling planned modifications, the organization has recognized that the repercussions of unexpected changes have been assessed, and efforts have been taken to reduce the same.

**Pre-requisite programmes (PRPs) ( 8.2 of ISO 22000):**

PRPs have been established and implemented in accordance with ISO 22000. However, certain deviations were identified as nonconformities.

The process of pest controlling was not adequate. (NC)

- Ex: 1. Open drainage lines have been observed at certain areas.
- 2. Door gaps have been observed in production area.

The controlling process of cross contamination was not adequate. (NC)

- Ex: 1. Water has been stagnated closed to room.
- 2. Moulds have been observed in cubic jiggery molds

**Traceability system (8.3 of ISO 22000):**

Traceability is maintained. It can be traced from finished products to supplier.

**Emergency preparedness and response (8.4 of ISO 22000):****General (8.4.1 of ISO 22000):****Handling of emergencies and incidents (8.4.2 of ISO 22000):**

A procedure has been designed and is being executed to deal with potential emergency situations and incidents that could affect food safety and are relevant to the organization's function in the food chain. There is a documented emergency preparedness and response strategy.

**Hazard Control (8.5 of ISO 22000):****Preliminary steps to enable hazard analysis (8.5.1 of ISO 22000):****General (8.5.1.1 of ISO 22000):**

Hazard analysis is carried out and documented information is maintained.

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Raw material characteristics have been described. Food hazards have been documented in terms of their physical, chemical, and biological nature.

**Characteristics of end products (8.5.1.3 of ISO 22000):**

End-product characteristics have been described. Food dangers have been documented in terms of their physical, chemical, and biological nature.

**Intended use (8.5.1.4 of ISO 22000):**

Intended use of products has been addressed in the food safety manual.

**Flow diagrams and description of processes (8.5.1.5 of ISO 22000):****Preparation of the flow diagrams (8.5.1.5.1 of ISO 22000):**

There were flow diagrams available for processes that encompassed the full process from receiving raw materials to dispatching the finished product, as well as the control methods.

**On-site confirmation of flow diagrams (8.5.1.5.2 of ISO 22000):**

The flow diagrams accuracy is verified by food safety team after onsite conformation and records are maintained.

**Description of processes and process environment (8.5.1.5.3 of ISO 22000):**

Company has maintained layout of premises with processing equipment and product flows.

**Hazard analysis (8.5.2 of ISO 22000):****General (8.5.2.1 of ISO 22000):**

All significant data for the hazard analysis was collected, preserved, updated, and documented. There were records kept. Records were maintained.

**Hazard identification and determination of acceptable levels (8.5.2.2 of ISO 22000):**

Company has identified possible hazards in throughout the food chain.

**Hazard assessment (8.5.2.3 of ISO 22000):**

Hazard assessment is carried out and identified significant hazards.

**Selection and categorization of control measure(s) (8.5.2.4 of ISO 22000):**

The process of selection and categorization of control measures has not been adequately done. (NC)

Ex: Kithul Nectar

**Validation of control measure(s) and combinations of control measures (8.5.3 of ISO 22000):**

The food safety team has ensured that the control methods in place are capable of controlling the significant hazards as anticipated. CCPs, PRPs, and OPRPs all have clearly specified verification techniques. Verification procedures include document review, external lab testing, calibration, and internal audits. The responsibility holders verify the monitoring records.

**Hazard control plan (HACCP/OPRP plan) (8.5.4 of ISO 22000):**

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**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
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Food safety hazards, critical limits, monitoring technique, action criteria for corrections, responsibility and authority, and a record of monitoring have all been established, maintained, and documented by the organization.

**Determination of critical limits and action criteria (8.5.4.2 of ISO 22000):**

Company has identified CCPs or OPRPs for the packaging of black tea and taken action to control the impact to FSMS.

**Monitoring systems at CCPs and for OPRPs (8.5.4.3 of ISO 22000):**

Company has established monitoring systems for CCPs and OPRPs. And defined frequency, responsibilities & authorities and evaluation of results have been documented.

**Actions when critical limits or action criteria are not met (8.5.4.4 of ISO 22000):**

Company has specified corrections and corrective actions when critical limits and action criteria not meet.

**Implementation of the hazard control plan (8.5.4.5 of ISO 22000):**

Company has implemented and maintain document of hazard control plan.

**Updating the information specifying the PRPs and the hazard control plan (8.6 of ISO 22000):**

Preliminary data was recorded and updated as needed. When it comes to material and ingredient characteristics, final product qualities, intended use, and flow diagram.

**Control of monitoring and measuring (8.7 of ISO 22000):**

Company has provided adequate monitoring and measuring activities related to PRPs and hazards control plan.

**Verification related to PRPs and the hazard control plan (8.8 of ISO 22000):****Verification (8.8.1 of ISO 22000):**

Company has defined purpose, methods, frequencies and responsibilities for verification activities.

**Analysis of results of verification activities (8.8.2 of ISO 22000):**

Food safety team has conducted an analysis of result of verification results has used to evaluate performance of FSMS.

**Control of product and process nonconformities (8.9 of ISO 22000):****General (8.9.1 of ISO 22000):****Corrections (8.9.2 of ISO 22000):**

Product deviated from the hazard control plan have been identified and controlled with regard to their use and release.

**Corrective Actions (8.9.3 of ISO 22000):**

To identify and eliminate the source of the observed nonconformity, appropriate steps have been defined. Information is documented and kept up to date.

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Company has identified and established a process to evaluate and disposition of non-conforming products.

**Disposition of nonconforming products (8.9.4.3 of ISO 22000):**

Appropriate actions have been specified to identify and eliminate the cause and detected non conformity. Documented information is maintained.

**Withdrawal/Recall (8.9.5 of ISO 22000):**

Where it has been discovered as potentially unsafe, the company has guaranteed the timely withdrawal of lots of end goods that have been identified as potentially unsafe. The company has a mechanism in place for dealing with recalled products.

**19.6 Performance evaluation (9 of ISO 22000):****Monitoring, measurement, analysis and evaluation (9.1 of ISO 22000):****General (9.1.1 of ISO 22000):**

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

**Analysis and evaluation (9.1.2):**

The company has a procedure and method for evaluating PRPs and risks control plans, as well as the results of internal and external audits.

**Internal Audit (9.2 of ISO 22000):** The internal audit has been carried out according to the procedure and as at defined intervals by the responsible persons, defined scope, criteria. The reports of the NC raised during the internal audits has been completed with relevant corrective actions.

**Management Review (9.3 of ISO 22000):****General (9.3.1 of ISO 22000): Management review input (9.3.2 of ISO 22000): Management review output (9.3.3 of ISO 22000):**

Management review has been conducted and the information was documented.

**19.7 Improvement (10 of ISO 22000):****Nonconformity and corrective action (10.1 of ISO 22000):**

Nonconformities have been addressed by the company, and corrective actions have been performed for such nonconformities. The company has kept documentation about the nature of the NC, as well as any subsequent actions and results of corrective action performed.

**Continual improvement (10.2 of ISO 22000):**

Company is committed to continually improve the effectiveness of the management system through the use of food safety policy, food safety objectives, audit results, analysis of data, management review, and corrective implementation.

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**Update of the food safety management system (10.3 of ISO 22000):**

Top management reviewed the FST at specified intervals, establishing PRPs and updating the hazard control strategy.

**20. KEY PERSONNEL INTERVIEWED :**

Name:	Designation	Responsibilities
Mr. Salinda	Production executive	Production
Mr. Kumara	MD	Represent the top management
Ms. Chani	QA Officer	Compliance

**21. APPLICABLE LEGAL REQUIREMENTS:** Food act, Food hygiene regulation and other relevant food regulations.

**22. ANY UNRESOLVED ISSUES:** No any unresolved issues noted during the audit.

**23. 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 YES  NO

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conformance with the requirements of the audit standard.

**24. MAJOR NON-CONFORMITIES:** None

**25. MINOR NON-CONFORMITIES:**

1. The process of pest controlling was not adequate. (8.2.4 d)  
Ex: 1. Open drainage lines have been observed at certain areas.  
2. Door gaps have been observed in production area.
2. The controlling process of cross contamination was not adequate. (8.2.4 h)  
Ex: 1. Water has been stagnated closed to room.  
2. Moulds have been observed in cubic jiggery molds
3. The process of selection and categorization of control measures has not been adequately done.  
(8.5.2.4)  
Ex: Kithul Nectar

**26. OBSERVATIONS:** None

**27. RECOMENDATION FROM AUDIT TEAM:**  
**(Strike off which is not relevant)**

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 / ~~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.

**ANY OTHER COMENTS:**

Signature of Team Leader : ..... Date:.....

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• This page is for internal purposes only.

28. RECOMMENDATION BY AUDIT TEAM :

Recommended for certification, subject to verification of corrective action taken for raised nonconformities

Dhanushka  
Signature of Team Leader

2022/11/25  
Date

[Signature]  
Signature of Team Member -1

2022/11/25  
Date

[Signature]  
Signature of Team Member - 2

2022/11/25  
Date

29. RECOMMENDATION BY CERTIFICATION MANAGER:

Recommended

[Signature]  
Signature of Certification Manager

2022/12/01  
Date

30. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

[Signature]

[Signature]  
Signature of Director

2022/12/01  
Date