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IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 22000:2018

Ivy Valley Tea Company (Pvt) Ltd



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1. NAME OF ORGANIZATION : Ivy Valley Tea Company (Pvt) Ltd
2. ADDRESS OF HEAD OFFICE : Ihala Lelwala, Wanduramba, Galle
3. ASSESSMENT SITE/S : Same as 2
4. CONTACT DETAILS :
4.1 Name : Mr. I.V.A. Goonethilake Designation : Managing Director
4.2 Tel : Mobile : 0777765953 Fax :
4.3 E-mail : ivo@ivyvalley.lk
5. NO. OF EMPLOYEES : 50
6. APPLICABLE STANDARD : ISO 22000:2018
7. FILE NO. : IMSC-FSMS- IMSC-FSMS-
8. NACE CODE / SUBCATEGORY : C IV
9. SCOPE OF CERTIFICATION : Activities pertaining to manufacturing of black tea
10. CONFIRMATION FOR SCOPE OF CERTIFICATION :
11. DATE OF AUDIT & Time : 21/12/2022
12. TYPE OF AUDIT :
13. AUDIT TEAM : Mr. Thrindu Hettiarachchi (TH) – Team Member Mr. Anuruddha Yasas (AY) – Team Member

Doc. No. : QP-11-F-03

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14. AUDIT OBJECTIVES:

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, 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 impacting on the audit programme

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

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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.

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.

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
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The organization has been determined and provided the resources needed for the establishment, implementation, maintenance, update and continual improvement of the FSMS.

People (7.1.2 of ISO 22000):

Organization also has provided personnel required to effectively implement the FSMS and the activities related to FSMS.

Infrastructure (7.1.3 of ISO 22000):

Company has provided buildings, space for its intended operation with required utilities such as electricity, water, and information and communication technology.

Work Environment (7.1.4 of ISO 22000):

Company has provided necessary environment operation for combination of both physical and human requirement. Company has provided adequate ventilation and light for the operation. Company also complies with the sanitary requirements for staff and the visitors. General cleanliness of the environment also has been ensured.

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

Company has established, maintained and updated elements such as PRPs, Hazards analysis and the hazard control plan by itself.

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 questionnaire is available.

Competence (7.2 of ISO 22000):

Training need identification and delivering of training was done. The process of evaluating effectiveness of the training not effective.

Awareness (7.3 of ISO 22000)

The organization given awareness to all the staff members on quality policy and objectives.

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

The company has identified and planned internal and external communication relevant to FSMS.

External Communication (7.4.2 of ISO 22000):

The company has communicated effectively sufficient information with external interested parties.

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
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The company has developed effective communication system with related to food safety impact. Food safety team has informed changes in timely manner.

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):**

Company has planned, implemented and controlled the processes required to control the service and product provision. Company has established relevant criteria for the processes and the acceptance of service and products. As well as organization has controlled planned changes and it has noticed they have been reviewed the consequences of unintended changes and actions has taken to mitigate the same.

Pre-requisite programs (PRPs) (8.2 of ISO 22000):

PRPs have been established as per 8.2.2 of ISO 22000 and implemented.

However, the process of control of cross contamination is not effective

Ex: It was observed that oil patches min the lift

Traceability system (8.3 of ISO 22000):

Traceability is maintained. Invoice number, invoice book, graded tea book, bin card, shifted tea book, fired tea record, green leaf weighing book and field diary are used to trace from finished products to tea 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 established, implemented to manage potential emergency situations and accidents that can impact food safety and which are relevant to the role of the organization in the food chain. Emergency preparedness and response plan has been documented.

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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Characteristics of raw materials, ingredients and product contact materials (8.5.1.2 of ISO 22000):

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.

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):

Company has identified CCPs and OPRPs from the significant hazards. Control measures are taken to prevent or reduce the CCPs and OPRPs.

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

Food safety team has ensured that the control measures taken, its capability to achieve intended control the significant hazards. Verification methods were defined clearly for CCPs, PRPs and OPRP's. Reviewing documents, external lab testing, calibration and internal audits have been used as verification methods. Monitoring records are verified by the responsibility holders.

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

General (8.5.4.1 of ISO 22000):

Organization has implemented, maintained and documented a hazard control plan including food safety hazards, critical limits, monitoring procedure, action criteria for correction, responsibility and authority and record of monitoring.

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

Company has determined critical limits for critical control points and action criteria for OPRPs.

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 information was noted updating when necessary. When characteristics of materials and ingredients, characteristics of end products, 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):

Appropriate actions have been specified to identify and eliminate the cause of detected



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nonconformity. Documented information is maintained.

Handling of potentially unsafe products (8.9.4 of ISO 22000):

General (8.9.4.1 of ISO 22000):

Evaluation for release (8.9.4.2 of ISO 22000):

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):

Company has ensured the timely withdrawal of lots of end products that have been identified as potentially unsafe, where it's identified as potential unsafe. Company Has procedure for a procedure for handling 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):

Company has a procedure and method to evaluate PRPs and hazards control plan, internal and external audit results.

Internal Audit (9.2 of ISO 22000):

Internal audit has been conducted as per the requirements defined in the procedures and planned intervals.

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 done.

19.7 Improvement (10 of ISO 22000):

Nonconformity and corrective action (10.1 of ISO 22000):

Company has taken necessary actions to addressed nonconformities and corrective actions have been implemented for such nonconformities. Company has retained documented information as evidence of the nature of the NC and any subsequent action taken and results of corrective action taken.

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



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review, and corrective implementation.

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

FST was evaluated planned intervals by top management and established PRPs and hazard control plan was updated at planned intervals.

20. KEY PERSONNEL INTERVIEWED:

Name:	Designation	Responsibilities
Mr. Priyantha Goonasekara	General Manager	Overall responsibility of organization
Mr. N.P. Dissanayake	Superintend	Overall responsibility of estate management
Mr.W.S. Priyanka Sajeewani	Clerk	Administration
Mr.K.P. Gamini	Factory officer	Factory Operations

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

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

23. USE OF LOGO: Use of logo in par with the “a Conditions for Use of Logo” document issued by Ind-Expo Certification Ltd.

24. 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

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YES NO
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- The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system.
- 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

26. MAJOR NON-CONFORMITIES: None

27. MINOR NON-CONFORMITIES:

- 1) The process of control of cross contamination is not effective (NC-01)
Ex: It was observed that oil patches in the lift

28. OBSERVATIONS: None

1. 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.

Signature of Team Leader : Dhanishka

Date: 2022/12/21

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2. RECOMMENDATION BY AUDIT TEAM :

Recommended for continuation, subject to verification of
corrective action taken for raised non-conformities

..... Signature of Team Leader Date
..... Signature of Team Member -1 Date
..... Signature of Team Member - 2 Date

3. RECOMMENDATION BY CERTIFICATION MANAGER:

Recommended
for Survey -
Signature of Certification Manager

..... Date
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4. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

Approved
Signature of Director

..... Date
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