




IND-EXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

STAGE II AUDIT REPORT

ISO 9001:2015

Carolina Tea Factory

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015**

1. NAME OF ORGANIZATION : Carolina Tea Factory	
2. ADDRESS OF HEAD OFFICE :	
3. ASSESSMENT SITE/S : Carolina Estate, Watawala	
4. CONTACT DETAILS :	
4.1 Name : Mr. H.B.T. Jayasanka	Designation : Assistant Manager - QA
4.2 Tel :-	Mobile :
	Fax : -
4.3 E-mail :	
5. NO. OF EMPLOYESS :	
6. APPLICABLE STANDARD : ISO 9001:2015	
7. FILE NO. : JMSC QMS - 099	
8. NACE CODE / SUBCATEGORY : C 10-83	
9. SCOPE OF CERTIFICATION : Activities pertaining to manufacturing of CTC black tea	
10. CONFIRMATION FOR SCOPE OF CERTIFICATION :	
The scope is confirmed.	
 Signature	
11. DATE OF AUDIT & Time : 2023/10/30	
12. TYPE OF AUDIT : Stage II	
13. AUDIT TEAM :	
Mr. Mohamed Asif	Team Leader
Mr. Tharindu Hettiarachchi	Team Member

Doc. No. : QP-06-F-04

Issue no. : 07
Rev No : 05

Issue date : 2016-09-15
Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative
Page 1 of 10

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015****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 quality management

15. AUDIT CRITERIA : ISO 9001:2015, ISO 19011:2018, other applicable regulatory requirements

16. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS: None

17. ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME: None

18. SIGNIFICANT CHANGES, IF ANY, THAT AFFECT THE MANAGEMENT SYSTEM OF THE COMPANY SINCE THE LAST AUDIT TOOK PLACE : None

19. AUDIT FINDINGS :**19.1 CONTEXT OF THE ORGANIZATION (4 of ISO 9001:2015):****Understanding the organization and its context (4.1 of ISO 9001:2015) :**

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

Understanding the needs and expectations of interested parties(4.2 of ISO 9001:2015):

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

Determining the scope of the quality management system(4.3 of ISO 9001:2015):

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 9001:2015 standard.

Doc. No. : QP-06-F-04

Issue no. : 07

Issue date : 2016-09-15

Rev No : 05

Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative

Page 2 of 10

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT - ISO 9001:2015**

Quality management system and its processes (4.4 of ISO 9001:2015):
Organization has established, implemented and maintained the quality management system including the processes needed and its interaction. Organization has applied all the processes required throughout the organization with required input and expected output.

19.2 LEADERSHIP(5 of ISO 9001:2015):**Leadership and commitment (5.1 of ISO 9001:2015):**

The top management has demonstrated the leadership and commitment with respect to quality management system and was aware about their responsibilities to maintain an effective quality system as per the quality policy and quality objective established compatible with company context and the strategic direction of the company.

Policy (5.2 of ISO 9001:2015):

Company has established, implemented and maintained a quality policy that can prove satisfactory application of applicable requirements and achievement of continual improvement.

Organizational roles, responsibilities and authorities (5.3 of ISO 9001:2015):

Top management has delegated responsibility and authority for relevant personals and it is communicated with in the organization. Company has also assigned responsibility and authority with regards to requirements of the standard ensuring that the processes are delivering there expected outputs, reporting on performance of the quality management system back to the management including opportunities for improvement.

The process assigning responsibilities and authorities is not adequate. Ex; AFO has assigned for handling of documents to delivering their intended outputs. However, his responsibilities were not communicated properly (NCR-01)

19.3 PLANNING(6 of ISO 9001:2015):**Actions to address risks and opportunities(6.1 of ISO 9001:2015):**

Company has used the issues under clause number 4.1 and the requirements under 4.2 of the standard and as determine the risk and opportunities that are arising during the planning of quality management system.

Quality objectives and planning to achieve them (6.2 of ISO 9001:2015):

Company has established quality objectives for 2023. However, the objectives are not measurable and not relevant to specific functions (NCR-02)

Planning of changes (6.3 of ISO 9001:2015):

Organization has a mechanism to determine the changes required to quality management system and carryout the same by planning, while considering the need for change and its expected results while ensuring the integrity of QMS.

19.4 SUPPORT(7 of ISO 9001:2015):**Resources (7.1 of ISO 9001:2015):****General (7.1.1 of ISO 9001:2015):**

Doc. No. : QP-06-F-04

Issue no. : 07

Issue date : 2016-09-15

Rev No : 05

Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative

Page 3 of 10

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015**

Organization has provided required resources for establish, implement, maintain and continually improve the quality management system by considering capabilities and constrains of existing recourses.

People (7.1.2 of ISO 9001:2015):

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

Infrastructure (7.1.3 of ISO 9001:2015):

Company has provided buildings, space for its intended operation with required utilities such as electricity, water, and information and communication technology. Company has also provided necessary equipment and vehicle required to transportation.

Environment for the operation of processes (7.1.4 of ISO 9001:2015):

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.

Monitoring and measuring resources (7.1.5 of ISO 9001:2015):

Calibration has been carried out at planned intervals.

Organizational knowledge (7.1.6 of ISO 9001:2015):

Available organizational knowledge is sufficient to provide the expected service: Opportunities are given to the staff to acquire required organizational knowledge through experience, failures and successes and also knowledge gained from experiences acquired from education, training and customers.

Competence(7.2 of ISO 9001:2015):

Organization has determined the necessary competent level of staff members based on their duties and responsibilities to avoid undesired effect on performance and effectiveness of QMS. Even though training has been performing to acquire the necessary competency, the effectiveness of the conducted training has been evaluated.

Awareness (7.3 of ISO 9001:2015):

The organization has given awareness to all the staff members on quality objectives and there expected contribution from them to the effectiveness to the quality management system including improvements.

Communication (7.4 of ISO 9001:2015):

The company has identified and assign internal and external communication relevant to quality management system to different staff members depending on the responsibilities and authority down the hierarchy.

Documented information(7.5 of ISO 9001:2008):**General (7.5.1 of ISO 9001:2015):****Creating and updating (7.5.2 of ISO 9001:2015):****Control of documented information (7.5.3 of ISO 9001:2015):**

Doc. No. : QP-06-F-04

Issue no. : 07

Issue date : 2016-09-15

Rev No : 05

Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative

Page 4 of 10

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015**TYPE
EXT
no

Company has identified documented information required by the standard and documents required to be apply for effectiveness of QMS. 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.

19.5 OPERATION (8 of ISO 9001:2015):**Operational planning and control (8.1 of ISO 9001:2015):**

Company has planned, implemented and controlled the processes required to control the service and product provision. Similarly, 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. Operations are going on according to one shifts.

Requirements for products and services (8.2 of ISO 9001:2015):**Customer communication (8.2.1 of ISO 9001:2015):**

Company provides information to their customers regarding to their services. Customer complaints and enquiries have been handled in appropriate manner.

Determining the requirements for products and services (8.2.2 of ISO 9001:2015):

Company has considered about statutory and regulatory requirements when defining the requirements for services.

Review of the requirements for products and services (8.2.3 of ISO 9001:2015):

The customer's requirement has confirmed by the company before acceptance of the customer order and conducts review prior to committed supply product to customers.

Changes to requirements for products and services (8.2.4 of ISO 9001:2015):

When amendment is required due to customer made aware of changing requirement for products company has ensured to change such requirement and amend the relevant documented information.

Design and development of products and services (8.3 of ISO 9001:2015):**General (8.3.1 of ISO 9001:2015):****Design and development planning (8.3.2 of ISO 9001:2015):****Design and development inputs (8.3.3 of ISO 9001:2015):****Design and development controls (8.3.4 of ISO 9001:2015):****Design and development outputs (8.3.5 of ISO 9001:2015):****Design and development changes (8.3.6 of ISO 9001:2015):**

Company has manufacturing CTC black tea based on their own manufacturing practices by CTC cutter technique. However, from that none of design and development activities are undergone. In accordance with that 8.3 clause is excluded.

Control of externally provided processes, products and services (8.4 of ISO 9001:2015):**General (8.4.1 of ISO 9001:2015):**

Company has ensured the control of externally provided services. Criteria for the evaluation, selection, monitoring of performance and re-evaluation of the performance of such activities has been carried out and documented information of those activities are retained and controlled.

Doc. No. : QP-06-F-04

Issue no. : 07

Issue date : 2016-09-15

Rev No : 05

Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative

Page 5 of 10

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015****Type and extent of control (8.4.2 of ISO 9001:2015):**

Externally provided processes are included in the quality management system and appropriate control have been implemented for both services provided and for intended output.

Information for external providers (8.4.3 of ISO 9001:2015):

Company has mechanism to design the requirements including the quality and level of controls including communication channels and it is being conveyed to the company when the services are obtained.

Production and service provision (8.5 of ISO 9001:2015):**Control of production and service provision(8.5.1 of ISO 9001:2015):**

Production and service provision is carried out under controlled conditions.

Identification and traceability (8.5.2 of ISO 9001:2015):

Company has a mechanism to identify its products at different stages of production and Job number is issued for each products to identify the production details in case of need.

Property belonging to customers or external providers (8.5.3 of ISO 9001:2015):

Any item that is brought from out-side by the customer will be recorded, preserve (if required) and kept with required identification and traceability until it is being used and handed over to the customer after completion of the function.

Preservation (8.5.4 of ISO 9001:2015):

Company has taken necessary steps to ensure that the product manufactured is kept protected during handling, packaging, storage, transportation and has taken necessary controls to protect from contamination.

Post-delivery activities (8.5.5 of ISO 9001:2015):

Post-delivery activities have been performed effectively.

Control of changes (8.5.6 of ISO 9001:2015):

When changes required for production and services, company has reviewed requirement of the same and documented information has been retained under controlled condition.

Release of products and services (8.6 of ISO 9001:2015):

The company has a mechanism to release its products as per the customer request and in accordance with the agreement with the customer. Release of products will be authorized only after the final inspection and with the approval of the sales officer.

Control of nonconforming outputs (8.7 of ISO 9001:2015):

When the product or service does not ensure required output, company has controlled to prevent their unintended use or delivery to the customers. Company has taken appropriate actions to correct the nonconformity, segregation of nonconforming product and inform the customers to prevent them from using same. The necessary documented information with regard to nonconforming products, its immediate disposition, analysis of root cause and the corrective action taken is retained.

Doc. No. : QP-06-F-04

Issue no. : 07

Issue date : 2016-09-15

Rev No : 05

Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative

Page 6 of 10

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015****19.6 PERFORMANCE EVALUATION (9 of ISO 9001:2015):****Monitoring, measurement, analysis and evaluation (9.1 of ISO 9001:2015):****General (9.1.1 of ISO 9001:2015):**

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

Customer satisfaction (9.1.2 of ISO 9001:2015):

Customer feedback has been identified as essential requirement for the evaluation of customer satisfaction. Company has developed a process for monitoring and reviewing of customer satisfactions.

Analysis and evaluation (9.1.3 of ISO 9001:2015):

Organization has implemented a process to analyse and evaluate the data and evaluation obtains from monitoring and measurement activities. Such as customer complain, customer satisfaction, performance of external providers, risk analysis.

Internal audit (9.2 of ISO 9001:2015):

Internal audit has been conducted and Internal audit report, internal audit plan and schedule, internal audit log and corrective action reports were available at the audit.

Management review (9.3 of ISO 9001:2015):**General (9.3.1 of ISO 9001:2015):****Management review inputs (9.3.2 of ISO 9001:2015):****Management review output (9.3.3 of ISO 9001:2015):**

Management review meeting has carried out at planned intervals. All the inputs for conducting management review meeting minute are stipulated in the standard have been discussed in the management review meeting.

19.7 IMPROVEMENT (10 of ISO 9001:2015):**General (10.1 of ISO 9001:2015):**

Company has determined and selected opportunities for improvement and implemented necessary actions to meet customer requirements and to increase customer satisfaction.

Nonconformity and corrective action (10.2 of ISO 9001:2015):

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 (10.3 of ISO 9001:2015):

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

Doc. No. : QP-06-F-04

Issue no. : 07

Issue date : 2016-09-15

Rev No : 05

Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative

Page 7 of 10

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME STAGE II AUDIT REPORT - ISO 9001:2015

20. KEY PERSONNEL INTERVIEWED :

Name:	Designation	Responsibilities
Mr. U. R. B. Madugalle	Deputy Manager	Overall top Management
Mr. M.H.B.T. Jayasanka	Assistant Manager QA	Overall group QA and Compliance
Mr. M. Dhayalan	Assistant Factory Officer	Factory Management
Mr. R. Siwarasa	E.M.A.	Factory In Charge and Admin

21. APPLICABLE LEGAL REQUIREMENTS:

Company has obligations to comply with both the shop and office act and the factory ordinance. In addition company comply with other labour laws applicable such as EPF, ETF, and gratuity act. Company also complies with the National Environment Regulation and stipulate requirements given in environmental performance licence and tea board circular.

22. ANY UNRESOLVED ISSUES: None

23. USE OF LOGO:

Use of logo in par with the "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
- The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system. YES NO

Doc. No. : QP-06-F-04

Issue no. : 07
Rev No : 05

YES NO
Issue date : 2016-09-13
Rev Date : 2023-06-26

Reviewed and approved by : Director

Issued by : Management Representative
Page 8 of 10

INDEXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME STAGE II AUDIT REPORT - ISO 9001:2015

29. RECOMMENDATION BY AUDIT TEAM :

Recommended for certification committee after taken corrective actions are verified

M. Adif
.....
Signature of Team Leader

2023/10/30
.....
Date

Dhanubha
.....
Signature of Team Member -1

2023/10/30
.....
Date

.....
Signature of Team Member - 2

.....
Date

30. RECOMMENDATION BY CERTIFICATION MANAGER: All NCRs have been closed . Hence recommended for certification

[Signature]
.....
Signature of Certification Manager

2023-11-23
.....
Date

31. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

Appd

[Signature]
.....
Signature of Director

2023/11/23
.....
Date