



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2015

AGRAKANDE GREEN TEA FACTORY



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

1. NAME OF ORGANIZATION :	Agrakande Green Tea Factory – Hatton Plantations PLC		
2. ADDRESS OF HEAD OFFICE :	Agrakande Estate, Lindula		
3. ASSESSMENT SITE/S :	Same as 2		
4. CONTACT DETAILS :			
4.1 Name :	Mr. M.J. Stephen (Mr. Torans Jayasanka) Designation : Manager (Assistant Manager		
4.2 Tel :	Mobile :	077-3698620 (076-9039944)	Fax : -
4.3 E-mail :	jerrard@hattonplantation.lk		
5. NO. OF EMPLOYEES :	20		
6. APPLICABLE STANDARD :	ISO 9001:2015		
7. FILE NO. :	IMSC-QMS-		
8. NACE CODE / SUBCATEGORY :			
9. SCOPE OF CERTIFICATION :	Manufacturing of green tea		
10. DATE OF AUDIT :	2024/11/20		
11. TYPE OF AUDIT :	Surveillance I		
12. AUDIT TEAM :	Mr Isuru Ilangakoon	- Team Leader	
	Mr. Tharindu Hettiarachchi	- Team Member	

Doc. No. : QP-11-F-04

Issue no. : 04
Rev No : 05

Issue date : 2017-08-10
Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative
Page 1 of 10



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

13. AUDIT OBJECTIVES:

The objectives of this audit were:

- to confirm that the management system complies with all the requirements of the audit standard;
- to confirm that the organization has effectively continue the planned management system;
- to verify whether there is any changes , incidence that could adversely affect the management system

14. AUDIT CRITERIA : ISO 9001:2015, relevant regulatory requirements and company procedures

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

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

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

18. AUDIT FINDINGS :

18.1 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.

Quality management system and its processes (4.4 of ISO 9001:2015):

The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.

18.2 LEADERSHIP(5 of ISO 9001:2015):

Doc. No. : QP-11-F-04

Issue no. : 04
Rev No : 05

Issue date : 2017-08-10
Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative
Page 2 of 10

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – 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 a quality policy that aligns with its strategic direction, ensuring commitment to meeting customer requirements, complying with applicable regulations, and continuously improving the quality management system.

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 regard to requirements of standard ensuring that the processes are delivering there expected outputs, reporting on performance of quality management system back to the management including opportunities for improvement.

18.3 PLANNING(6 of ISO 9001:2015):

Actions to address risks and opportunities (6.1 of ISO 9001:2015):

Company identifies and addresses risks and opportunities by implementing preventive measures, ensuring that potential issues are mitigated, and opportunities for improvement are seized to enhance the effectiveness of the quality management system.

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

Quality objectives have been defined and established and are in line with the strategic direction.

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.

18.4 SUPPORT(7 of ISO 9001:2015):

Resources (7.1 of ISO 9001:2015):

General (7.1.1 of ISO 9001:2015):

Company ensures that adequate resources, such as human resources, infrastructure, and technology, are available and effectively utilized to support the operation and continual improvement of its quality management system.

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):

Doc. No. : QP-11-F-04

Issue no. : 04

Issue date : 2017-08-10

Rev No : 05

Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 3 of 10

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.

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):

Company ensures that employees have the necessary skills, knowledge, and experience to perform their tasks effectively. Trainings are conducted relevant to ISO 9001 awareness and in-line defect analysis. Training evaluations are carried out to ensure the effectiveness of these programs and to continually improve employee competence.

Awareness (7.3 of ISO 9001:2015):

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

Communication (7.4 of ISO 9001:2015):

Company has established effective internal and external communication processes to ensure the timely exchange of relevant information. Internally, communication channels facilitate coordination among departments, while externally, clear communication with customers, suppliers, and other stakeholders supports transparency and alignment with business objectives.

Documented information(7.5 of ISO 9001:2008):

Company has identified documented information required by the standard and documents required to be applied 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.

18.5 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. 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.

Requirements for products and services (8.2 of ISO 9001:2015):

Customer communication(8.2.1 of ISO 9001:2015):

Company has been adequately addressed customer communication as it is important to their activities. Company provides information to their customers regarding to their products. customer complaints and enquiries have been handled in appropriate manner.

Doc. No. : QP-11-F-04

Issue no. : 04
Rev No : 05

Issue date : 2017-08-10
Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative
Page 4 of 10

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

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 product and 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):

company has implemented a structured design and development process to ensure that new products meet customer requirements and industry standards. This includes defining design inputs, creating prototypes, validating designs, and reviewing outputs to ensure functionality, quality, and reliability. Hypothetically, this process allows the company to innovate and its offerings while maintaining compliance with ISO 9001:2015 requirements.

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

General (8.4.1 of ISO 9001:2015):

The process of re-evaluate the external providers are not adequate. (NC)

Ex: Company does not have evaluate the performance of packing material suppliers.

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):

Company ensures control of production and service provision by implementing documented procedures, monitoring key processes, and maintaining appropriate equipment and resources. These controls ensure that products meet specified requirements and maintain consistent quality throughout production.

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

Company ensures proper identification and traceability of products throughout the production process. Each lot is marked to enable tracking from raw material to final delivery, ensuring accountability and conformity with customer requirements.

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

Doc. No. : QP-11-F-04

Issue no. : 04

Issue date : 2017-08-10

Rev No : 05

Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 5 of 10

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

Any item that is brought from outside by the customer will be recorded, preserved (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 ensures the preservation of products during production, storage, and delivery by implementing proper handling, packaging, and storage practices to prevent damage, deterioration, or contamination, maintaining product quality until final delivery.

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

Company offers warranty for its products, during which any necessary repairs are provided free of charge, except for damages to glass components. After the warranty period, servicing and repairs are performed only upon customer request.

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

When changes required for production, company has reviewed requirements 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 Asst. Factory 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.

18.6 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 survey, customer feedback and meeting with customer have been identified as essential requirements for the evaluation of customer satisfaction.

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

The process of analyse and evaluate appropriate data and information is not effective. (NC)

Ex: The degree of customer satisfaction.

Internal audit (9.2 of ISO 9001:2015):

Doc. No. : QP-11-F-04

Issue no. : 04

Issue date : 2017-08-10

Rev No : 05

Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 6 of 10



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

Internal audit was conducted. The internal audit report, audit plan, schedule, log, and corrective action reports were available for review. During the audit, 3 non-conformities were identified, and appropriate corrective actions have been implemented.

Management review (9.3 of ISO 9001:2015):

The management review was conducted on 20th September 2024, where key performance indicators, customer feedback, audit results, and process effectiveness were discussed. The review focused on evaluating the quality management system's performance, identifying areas for improvement, and aligning actions with the company's strategic objectives. Any necessary corrective or preventive actions were also identified to ensure continual improvement and compliance with ISO 9001:2015 standards.

18.7 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 a system in place to identify nonconformities, investigate their root causes, and take corrective actions to prevent recurrence. Nonconformities are documented, and corrective actions are tracked to ensure their effectiveness in resolving issues and improving the overall quality management system.

Continual improvement (10.3 of ISO 9001:2015):

Company fosters continual improvement by regularly reviewing processes, identifying areas for enhancement, and implementing corrective actions. Feedback from audits, customer satisfaction, and performance metrics are used to drive improvements in product quality, efficiency, and overall system effectiveness.

19. KEY PERSONNEL INTERVIEWED :

Name:	Designation	Responsibilities
Mr. Nishshanka Yainne	Assistant Manager	Overall Management
Mr. Asanka Gunasekara	Assistant Factory Officer	Factory Management and Compliance
Mr. M. Manoj	Factory In Charge and Technical Consultant	Responsible for Green Tea Manufacturing Process
Mr. Sri Thilban	Junior Assistant F/O	In charge in trough and rolling room
Mr. Torans Jayasanka	Assistant Manager	Compliance

20. APPLICABLE LEGAL REQUIREMENTS: Shop and office act, factory ordinance and applicable labour laws

Doc. No. : QP-11-F-04

Issue no. : 04

Issue date : 2017-08-10

Rev No : 05

Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 7 of 10

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

and environmental regulations.

21. ANY UNRESOLVED ISSUES: None

22. REVIEW OF PREVIOUS AUDIT REPORT & VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES: Actions taken are effective and verified

23. USE OF LOGO: Company has not used the logo in any primary packaging material or any other promotional material.

24. DETAILS OF SHIFT ACTIVITIES : No shift activities

25. 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 conformance with the requirements of the audit standard. YES NO

26. MAJOR NON-CONFORMITIES: None

27. MINOR NON-CONFORMITIES:

1. The process of re-evaluate the external providers are not adequate. (8.4.1)
 Ex: Company does not have evaluate the performance of packing material suppliers.

Doc. No. : QP-11-F-04

Issue no. : 04
 Rev No : 05

Issue date : 2017-08-10
 Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative
 Page 8 of 10



INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

2. The process of analyse and evaluate appropriate data and information is not effective. (9.1.3)
 Ex: The degree of customer satisfaction.

25. OPPORTUNITIES FOR IMPROVEMENT: None


26. 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 LEAD AUDITOR

2024/11/20

 DATE

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Doc. No. : QP-11-F-04


Issue no. : 04
 Rev No : 05

Reviewed and approved by : Director

Issue date : 2017-08-10
 Rev Date : 2024-05-01
 Issued by : Management Representative
 Page 9 of 10

INDEXPO CERTIFICATION LIMITED
INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
SURVEILLANCE AUDIT REPORT – ISO 9001:2015

27. RECOMMENDATION BY AUDIT TEAM : Recommended for continue
Subject to verification of corrective action
taken for raised nc's.


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Signature of Team Leader

2024/11/20
.....
Date


.....
Signature of Team Member -1

2024/11/20
.....
Date

.....
Signature of Team Member - 2

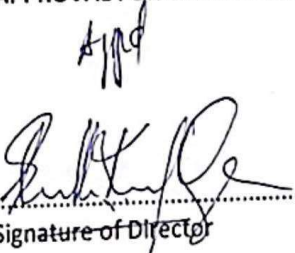
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Date

28. RECOMMENDATION BY CERTIFICATION MANAGER: All NCs have been closed
Hence recommended for continuation


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Signature of Certification Manager

2025/1/13
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Date

29. APPROVAL FOR CONTINUATION :


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Signature of Director

2025/1/13
.....
Date

Doc. No. : QP-11-F-04

Issue no. : 04
Rev No : 05

Issue date : 2017-08-10
Rev Date : 2024-05-01

Reviewed and approved by : Director

Issued by : Management Representative
Page 10 of 10