



**IND-EXPO CERTIFICATION LIMITED**

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME**

**STAGE I AUDIT REPORT**

**ISO 9001:2015**

**Shannon Estate.**

1. NAME OF ORGANIZATION : Shannon Estate.

2. REGISTERED ADDRESS : Shannon, Hatton.

3. FACTORY/OUTLET/ LOCATIONS/SITES: Same as to

4. CONTACT DETAILS:

4.1 Name: Mr. Torans Jayasanka 4.2 Designation: Assistant Manager - Quality

4.3 Telephone :051 4921364 Mobile : 076 9039944 Fax :

4.4 E-mail: torans@hattonplantations.lk

5. APPLICABLE STANDARD : ISO 9001:2015

6. FILE NO. : IMSC-QMS-100

7. APPLICABLE SECTOR: Tea

8. NACE CODE: C 10.83

9. SCOPE OF CERTIFICATION: Manufacturing of Black Tea

10. NO. OF EMPLOYEES: 30

11. DATE OF AUDIT: 2023-10-8

12. TYPE OF AUDIT: Stage I

13. AUDIT TEAM :

Mr. Isuru Ilangakoon (II)	Team Leader
Mr. Anurudda Yasas (AY)	Team Member

**14. AUDIT OBJECTIVES:**

The objectives of this audit were:

- to confirm that the management system has been planned to conform with all the requirements of the audit standard including availability of documented information required;
- to understand the scope of the management system of the client with regards to operational sites, processes, equipment and the complexity of the operation(levels of controls established particularly in case of multiple site), applicable statutory, regulatory and contractual requirements;
- To confirm the readiness and planned arrangements for the Stage 2 audit.

**15. AUDIT FINDINGS:**

Serial No.	Relevant Clause of ISO 9001 :2015	Finding	Remarks
1	5.2.2 ©	Quality Policy is not available for all interested parties	Quality policy is available on web-site
2	4.1/6.1.2	Organization has been determined the external and internal issues however for certain issues mitigation actions are not addressed.	Mitigation action for internal & external issues were addressed
3	4.2	Certain interested parties have not been identified. Ex. Union	All interested parties have been identified.
4	5.3	JD's are not updated.	JD's are updated
5	7.2 c	evaluation of effectiveness of training is not effective. Ex: training evaluation has not been carried out for ISO 9001:2015 awareness.	Self study effective evaluation of training implemented.
6	7.1.4	Pressure gauge valve is leaked	Pressure gauge valve has been corrected.
7	7.5	Disposition method has not been identified in Master list of documents.	It has been identified in Master list
8	8.1	Permented (semi process) tea is stored on the the floor	It is corrected.
9	10.2.2	The Organization has not been documented the action of process non conformities	→ raised a NCR

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

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

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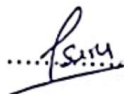
18. OVERALL CONCLUSIONS:

- The Stage 1 audit was successful in meeting the stated objectives: YES  NO   
If NO please mention the reasons:

Audit has been carried out on sample basis and the available information. consideration to the findings identified on the report the overall conclusions of the audit are as follow:

- The management system has been planned to conform with all the requirements of the audit standard: YES  NO
- The management system is designed to achieve the organization's policy and quality objectives: YES  NO
- Based on the information provided, the system is designed to identify and manage compliance with statutory, regulatory and contractual requirements: YES  NO
- Verification, validation of appropriate controls have been done: YES  NO
- The internal audit and management review planning assure appropriate coverage prior to the Stage 2 Audit: YES  NO
- Appropriateness of the certification scope. YES  NO

Signature of Team Leader :

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Date: 2023-10-8

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1. RECOMMENDATION BY AUDIT TEAM :

  
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Signature of Team Leader

.....2023/10/8

Date

  
.....

Signature of Team Member - 1

.....2023-10-08

Date

.....

Signature of Team Member - 2

.....

Date

2. RECOMMENDATION BY CERTIFICATION MANAGER :

Recommended for stage II audit

  
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Signature of Certification Manager

.....2023/10/25

Date