



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 9001:2015

Shanon Estate



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

1. NAME OF ORGANIZATION :	Shanon Estate	
2. ADDRESS OF HEAD OFFICE :	Shanon Estate, Hatton	
3. ASSESSMENT SITE/S :	same as above	
4. CONTACT DETAILS :		
4.1 Name :	Turans	Designation : AM QA
4.2 Tel	Mobile : 071 6880862	Fax : -
4.3 E-mail :		
5. NO. OF EMPLOYEES :	30	
6. APPLICABLE STANDARD :	ISO 9001:2015	
7. FILE NO. :	TMS C - QMS - 100	
8. NACE CODE / SUBCATEGORY :	C 10.83	
9. SCOPE OF CERTIFICATION :	Activities pertaining to manufacturing of Black tea	
10. DATE OF AUDIT & Time :	2024.11.22	
11. TYPE OF AUDIT :	Surveillance I	
12. AUDIT TEAM :		
	1. Isuru Illangakoon (II) - Team Leader	
	2. Tharindu Hettiarcchchi (TL) - Team Member	

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

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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 19011:2018, applicable regulatory requirements and Other requirements

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

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

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

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, 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.

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18.2 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, implanted and maintained a quality policy that can prove satisfactory application of applicable requirements and achievement of continual improvement, it is documented and communicated thorough out the organization and is available to relevant interested parties.

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 the organization. Company has also assigned responsibility and authority with regard to requirements of the standard ensuring that the processes are delivering their expected outputs, reporting on performance of the 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 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. These include enhance desirable effects and prevention and reduction of undesired effect while achieving the improvements. The planning also ensures integration and implementation of action in to its QMS processes with evaluation of effectiveness.

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 carry out 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):

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.

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Infrastructure (7.1.3 of ISO 9001:2015):

The process established for maintenance of infrastructure necessary for the operation is adequate.

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

The process established for maintenance of environment necessary for the operation is not adequate

Eg: It was observed that fired tea has been contaminated from grease at the fired tea weight measurement unit. (NCR-01)

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

Company has provided equipment necessary to obtain valid and reliable results such as balances and pressure gauges. This equipment has been controlled by regular inspection and by calibration and calibration reports are available.

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):

Training has been performing to acquire the certain competency. All training records are available. However, the process of evaluation of the effectiveness of training is not adequate. Eg: Fire training (NCR-02)

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 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):

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.

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 provision. Company has established relevant criteria for the processes and the acceptance of services. 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.

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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 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 requirements are assessed by the company frequently.

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 services 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):

Not applicable.

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

General (8.4.1 of ISO 9001:2015):

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.

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):

Service provision is carried out under controlled conditions.

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

Traceability is maintained. From final products to tea provider, invoice numbers, invoice books, graded tea books, bin cards, moved tea books, fired tea records, green leaf weighing books, and field diaries are used.

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

Not applicable

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Preservation (8.5.4 of ISO 9001:2015):

Not applicable

Post-delivery activities (8.5.5 of ISO 9001:2015): All post delivery activities are well controlled.

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

When changes required for 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):

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

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

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

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.

Eg: the degree of customer satisfaction (NCR-03)

Internal audit (9.2 of ISO 9001:2015):

Planning and implementation of Internal audit program is effective.

Management review (9.3 of ISO 9001:2015):

The company has reviewed the organization's quality management system during the management review meeting at planned intervals, to ensure its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.

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):

The process of reviewing the effectiveness of any corrective actions taken is adequate.

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.

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19. KEY PERSONNEL INTERVIEWED :

Name:	Designation	Responsibilities
Mr. D. Vihanga	Senior Manager	Overall responsibility in the activities of the factory
Mr. DMS Dissanayake	Factory Executive	Assisting Senior manager in overall responsibility in the activities of the factory
Mr. S. Ganeshwaran	Senior Assistant Factory Officer	Responsible on operational activities of the factory

20. **APPLICABLE LEGAL REQUIREMENTS:** Factory Ordinance and other applicable regulations

21. **ANY UNRESOLVED ISSUES:** none

22. **REVIEW OF PREVIOUS AUDIT REPORT & VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES:** Done

23. **USE OF LOGO:** As per the terms and conditions stipulated in the agreement

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

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YES NO

- Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard.

26. MAJOR NON-CONFORMITIES: None

27. MINOR NON-CONFORMITIES: Three (03)

1. The process established for maintenance of environment necessary for the operation is not adequate
 Eg: It was observed that fired tea has been contaminated from grease at the fired tea weight measurement unit. (7.1.4)
2. The process of evaluation of the effectiveness of training is not adequate. Eg: Fire training (7.2 C)
3. The process of analyse and evaluate appropriate data and information is not effective.
 Eg: the degree of customer satisfaction (9.1.3)

25. OPPORTUNITIES FOR IMPROVEMENT: None

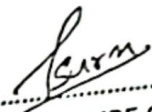
26. RECOMENDATION FROM AUDIT TEAM:
 (Strike off which is not relevant)

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

2024/11/22
 DATE

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• This page is for internal purposes only.

27. RECOMMENDATION BY AUDIT TEAM :

Recommended for continue Subject to verification
of corrective action taken for raised N.C.S.


.....
Signature of Team Leader

.....
2024.11.22
Date


.....
Signature of Team Member -1

.....
2024.11.22
Date

.....
Signature of Team Member - 2

.....
Date


28. RECOMMENDATION BY CERTIFICATION MANAGER:

All NCs have been closed -
Hence recommended for continuation.


.....
Signature of Certification Manager

.....
2024.12.10
Date

29. APPROVAL FOR CONTINUATION :


.....
Signature of Director

.....
2024 / 12 / 10
Date

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