



**IND-EXPO CERTIFICATION LIMITED**

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME**

**SURVEILLANCE AUDIT REPORT**

**ISO 22000:2018**

**Shannon Tea Factory**



## INDEXPO CERTIFICATION LIMITED

### INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME SURVEILLANCE AUDIT REPORT – ISO 22000:2018

<b>1. NAME OF ORGANIZATION :</b> Shannon Tea Factory
<b>2. ADDRESS OF HEAD OFFICE :</b> Shannon Oya Estate, Hatton
<b>3. ASSESSMENT SITE/S :</b> same as 2
<b>4. CONTACT DETAILS :</b>
<b>4.1 Name :</b> Mr. Torans Jaysanka <b>Designation :</b> Assistant Manager
<b>4.2 Tel :</b> <b>Mobile :</b> 071 688 0862 <b>Fax :</b>
<b>4.3 E-mail :</b> torans@hattonplantations.lk
<b>5. NO. OF EMPLOYESS :</b> 35
<b>6. APPLICABLE STANDARD :</b> ISO 22000:2018
<b>7. FILE NO. :</b> IMSC-FSMS- IMSC-FSMS-
<b>8. NACE CODE / SUBCATEGORY :</b> C IV
<b>9. SCOPE OF CERTIFICATION :</b> Activities pertaining to manufacturing of black tea and packing in multiwall paper sacks
<b>10. CONFIRMATION FOR SCOPE OF CERTIFICATION :</b> Verbally confirmed
<b>11. DATE OF AUDIT &amp; Time :</b> 10/08/2023
<b>12. TYPE OF AUDIT :</b> Surveillance II
<b>13. AUDIT TEAM :</b> Aruna Amaradasa (AA) – Team Leader Tharindu Hettiarachchi (TH) – Member Anuruddha Yasas (AY) – Team Member

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 02 of 09



## INDEXPO CERTIFICATION LIMITED

### INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME SURVEILLANCE AUDIT REPORT – ISO 22000:2018

#### 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, SLS 1266:2011, SLS 143:1999, 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

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 03 of 09



**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
SURVEILLANCE AUDIT REPORT – ISO 22000:2018**

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.

**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 process of control of planning of changes is not effective. (NC-01)

Ex: new rotorvane machine has been established in the factory. However, there is no evident of



## INDEXPO CERTIFICATION LIMITED

### INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME SURVEILLANCE AUDIT REPORT – ISO 22000:2018

control of potential consequence of change to FSMS

**19.4 Support (7 of ISO 22000):**

**Resources (7.1 of ISO 22000):**

**General (7.1.1 of ISO 22000):**

The organization has committed to establishing, implementing, maintaining, updating, and improving the FSMS, and has been given the resources to do so.

**People (7.1.2 of ISO 22000):**

The organization has also provided the personnel needed to efficiently implement the FSMS and related operations.

**Infrastructure (7.1.3 of ISO 22000):**

The company has constructed structures and provided space for its intended operation, as well as all necessary services such as electricity, water, and information and communication technology.

**Work Environment (7.1.4 of ISO 22000):**

The company has created the essential operating environment for a combination of physical and human requirements. For the operation, the company has provided adequate ventilation and lighting. The company also adheres to the sanitary regulations. The environment's general cleanliness has also been assured.

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

PRPs, Hazards analysis, and the hazard control plan were all created, managed, and updated by the company on its own.

**Control of externally provided processes, products or services (7.1.6 of ISO 22000):**

The company has created criteria for evaluating outsourced process providers. A questionnaire for evaluating suppliers is available.

**Competence (7.2 of ISO 22000):**

The need for training has been identified, and the effectiveness of the training provided has been assessed.

Eg: A training on Fire control – 2022.08.08

**Awareness (7.3 of ISO 22000)**

All employees were made aware of the organization's quality policies and objectives.

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

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

The company has recognized and planned FSMS-related internal and external communication.

**External Communication (7.4.2 of ISO 22000):**

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 05 of 09



**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
SURVEILLANCE AUDIT REPORT – ISO 22000:2018**

The company has efficiently provided enough information to external parties who are interested.

**Internal Communication (7.4.3 of ISO 22000):**

With respect to food safety, the organization has built an excellent communication system. Changes were communicated to the food safety staff in a timely way.

**Documented Information (7.5 of ISO 22000):**

**General (7.5.1 of ISO 22000):**

**Creating and updating (7.5.2 of ISO 22000):**

Process of document control (review and approval for suitability and adequacy) is not effective. (NC-02)

Ex: personal hygiene inspection record

HACCP/OPRP Plan

Food safety policy

**Control of documented information (7.5.3 of ISO 22000):**

The company has identified the documentation required by the standard, as well as the documents that must be used in order for the FSMS to be effective. For both documents and records, the company has built a formalized information control system. Distribution, retrieval, storage, and preservation, as well as change control, retention, and disposition are all covered. All required external documents have been identified and are under control.

**19.5 Operation (8 of ISO 22000):**

**Operation planning and control (8.1 of ISO 22000):**

The processes required to control service and product provision have been planned, executed, and controlled by the company. The company has created applicable standards for processes and service and product acceptability. As well as controlling planned modifications, the organization has recognized that the repercussions of unexpected changes have been assessed, and efforts have been taken to reduce the same.

**Pre-requisite programmes (PRPs) ( 8.2 of ISO 22000):**

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

**Traceability system (8.3 of ISO 22000):**

Traceability procedure has been implemented.

**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 designed and is being executed to deal with potential emergency situations and incidents that could affect food safety and are relevant to the organization's function in the food chain.

**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.

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

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 06 of 09



**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
SURVEILLANCE AUDIT REPORT – ISO 22000:2018**

The process of control of product contact material is not effective (NC-03)  
Ex: certain m-process tea have been collected to the black polythene sheets. However, there is no evidence of suitability of the same.

**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.



INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
SURVEILLANCE AUDIT REPORT – ISO 22000:2018

**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):**

The purpose, methods, frequencies and responsibilities for verification activities were implemented and maintained.

**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.



## INDEXPO CERTIFICATION LIMITED

### INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME SURVEILLANCE AUDIT REPORT – ISO 22000:2018

**Corrective Actions (8.9.3 of ISO 22000):**

Appropriate actions have been specified to identify and eliminate the cause of detected 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. Last internal audit has been done 13<sup>th</sup> of May in 2023.

**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 on 31<sup>st</sup> of March in 2023.

**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.

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 09 of 09



## INDEXPO CERTIFICATION LIMITED

### INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME SURVEILLANCE AUDIT REPORT – ISO 22000:2018

**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 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. Don Vihanga	manager	factory management
Mr. H.P. Maleesha	assistant manager	factory operations
Mr.D.M.C. Dissanayake	J/ factory officer	Assist to factory operations
Mr. A. Alexander	factory officer	factory operations
Mr.A. Kokilraj	Senior assistant 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 YES  NO

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 010 of



## INDEXPO CERTIFICATION LIMITED

### INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME SURVEILLANCE AUDIT REPORT – ISO 22000:2018

progress towards their achievement.

- 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

**25. MAJOR NON-CONFORMITIES:** None

**26. MINOR NON-CONFORMITIES:**

- 1) The process of control of planning of changes is not effective. (NC-00)  
Ex: new rotorvane machine has been established in the factory. However, there is no evident of control of potential consequence of change to FSMS
- 2) Process of document control (review and approval for suitability and adequacy) is not effective. (NC-02)  
Ex: personal hygiene inspection record  
HACCP/OPRP Plan  
Food safety policy
- 3) The process of control of product contact material is not effective (NC-03)  
Ex: certain m-process tea have been collected to the black polythene sheets. However, there is no evidence of suitability of the same.

**27. OBSERVATIONS:** none

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative



# INDEXPO CERTIFICATION LIMITED

## INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME SURVEILLANCE AUDIT REPORT – ISO 22000:2018

### 28. 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: *None*

Signature of Team Leader : *[Signature]* .....

Date: *2023/08/0* .....

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

Issue No. : 09

Issue Date : 2016-05-01

Rev No : 05

Rev Date : 2022-06-01

Reviewed and approved by : Director

Issued by : Management Representative

Page 012 of



**INDEXPO CERTIFICATION LIMITED**

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME  
SURVEILLANCE AUDIT REPORT – ISO 22000:2018**

• This page is for internal purposes only.

**29. RECOMMENDATION BY AUDIT TEAM :**

*Recommended for ~~renewal~~ <sup>PL</sup> ~~renewal~~ continued  
of the certification subject to the corrective action  
taken for raised NCR.*

.....  
Signature of Team Leader

.....  
2023/08/10  
Date

.....  
Signature of Team Member -1

.....  
2023/08/10  
Date

.....  
Signature of Team Member - 2

.....  
10/08/2023  
Date

**30. RECOMMENDATION BY CERTIFICATION MANAGER:**

.....  
Signature of Certification Manager

.....  
Date

**31. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:**

.....  
Signature of Director

.....  
Date

177

1. The first part of the document is a list of names and addresses of the members of the committee.

2. The second part of the document is a list of the names and addresses of the members of the committee who have been elected to the office of Secretary.

3. The third part of the document is a list of the names and addresses of the members of the committee who have been elected to the office of Treasurer.

4. The fourth part of the document is a list of the names and addresses of the members of the committee who have been elected to the office of Chairman.

5. The fifth part of the document is a list of the names and addresses of the members of the committee who have been elected to the office of Vice-Chairman.

6. The sixth part of the document is a list of the names and addresses of the members of the committee who have been elected to the office of Secretary.

7. The seventh part of the document is a list of the names and addresses of the members of the committee who have been elected to the office of Treasurer.