

IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

STAGE II AUDIT REPORT

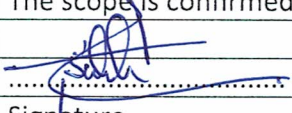
ISO 22000:2005

(Serandib Super Food Pvt Ltd)



INDEXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME STAGE II AUDIT REPORT – ISO 22000:2005

1. NAME OF ORGANIZATION : Serandib Super Food Pvt Ltd
2. ADDRESS OF HEAD OFFICE : NMK Holdings , No 627, Baseline road, Colombo 09
3. ASSESSMENT SITE/S : Serandib Super Food Pvt Ltd, Nugagoda, Wadduwa, Sri Lanka
4. CONTACT DETAILS :
4.1 Name : Mr.Lakshitha Bandara Jayarathne Designation : Factory Manager
4.2 Tel : +94372265533 Mobile : +94710259113 Fax : +94 112672323
4.3 E-mail : lakshitha@nmk.lk
5. NO. OF EMPLOYESS : 137
6. APPLICABLE STANDARD : ISO 22000:2005
7. FILE NO. : IMSC-FSMS-48
8. NACE CODE / SUBCATEGORY : C IV –Processing of ambient stable products
9. SCOPE OF CERTIFICATION : Manufacturing of desiccated coconut and coconut chip
10. CONFIRMATION FOR SCOPE OF CERTIFICATION : The scope is confirmed.
 Signature
Serandib Super Food (pvt) Ltd Pothupitiya Wadduwa 038 22 32 508
11. DATE OF AUDIT & Time : 2017-03-30
12. TYPE OF AUDIT : Stage II
13. AUDIT TEAM :
Mr.B.Amarasiriwardana Team Leader
Mr.Aruna Amaradasa Team Member
Ms.Chalani Jayasuriya Team Member

14. AUDIT OBJECTIVES:

Doc. No.: QP-06-F-03
Reviewed and approved by : Director

Issue No. : 09

Issue Date: 2016-05-01
Issued by : Management Representative
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038 02 32 505
Wednesday
Kampala
2000
Food (pvt) Ltd

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
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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 objectives.

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

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

17. AUDIT FINDINGS :**17.1 Food Safety Management System (4 of ISO 22000):****General requirements (4.1 of ISO 22000):**

Scope has been defined and documented in the FSMS manual. Food safety hazards have been identified. Hazard analysis conducted and communicated to relevant personnel. Company has not used outsource processes.

Documentation requirements (4.2 of ISO 22000):

General (4.2.1 of ISO 22000): Documented food safety policy and general objectives are included in the system. However,

- Food safety policy documented in the manual has not been authorized by the top management (FSMS manual –FSMS/MN/01). (OB)

- Two food safety objectives defined by the company to be SMART and evaluate for its effectiveness.
Ex: Reduce potential unsafe products by 5% annually
Reduce food safety related wastages by 3% annually (OB)

FSMS Manual, HACCP Manual, Procedures and PRPs are available. All mandatory procedures and records required by standard have been established.

Control of Documents (4.2.2 of ISO 22000): Documented procedure covering the relevant requirements of ISO 22000:2005 was available and implemented. Procedure has defined controls for approval of documents for adequacy prior to issue, ensured that externally originated documents are identified and their distribution controlled.

However certain documents have not been controlled as mentioned in the document control procedure. Ex: Master list of documents ,External document list, management review meeting (NCR).

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Controls of Records (4.2.3 of ISO 22000): Documented procedure covering the relevant requirements of ISO 22000:2005 was available and implemented. Procedure has defined the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records.

17.2 Management Responsibility (5 of ISO 22000):

Management commitment (5.1 of ISO 22000): Top management commitment is evident. Responsibilities and authorities defined and communicated to relevant personnel.

Food safety policy(5.2 of ISO 22000):

Policy is in par with 5.2 of ISO 22000. However food safety policy to be communicate to all staff and interested parties.(OB).

Food Safety management system planning (5.3 of ISO 22000):

Planning of the food safety management is in par with ISO 22000 standard.

Responsibility and authority (5.4 of ISO 22000):

Responsibility & Authority for the proper functioning of the system documented in the food safety manual. They are circulated among relevant personnel.

Food safety team leader (5.5 of ISO 22000):

Assistant Quality Assurance Manager has been appointed as the food safety team leader. she has one year experience in relevant field. However assistant QAM has not identified in the documented food safety team and responsibility (HACCP/MN/01 step 1 b.) (OB)

Communication (5.6 of ISO 22000):

External communication (5.6.1 of ISO 22000): Company has effectively implemented the external communication with various external parties like suppliers, service providers, and regulatory bodies. All the staff members and the workers are aware of the important issue related to their activities within the FSMS. However the company has not formally communicated with CDA on production of Whole Meat DC (WMDC) for relevant consent as per the circular No. CDA/PD/02/2015. (NCR)

Internal communication (5.6.2 of ISO 22000): Designated personnel (FSTL) have responsibility for communication. Internal communication is through discussions, meetings, telephone messages, e mail, letters, and memos.

Emergency preparedness and response (5.7 of ISO 22000): Potential emergencies identified (ex; fire, flood, potential food poisoning) and staffs are aware of the mitigation measures to be taken. Emergency preparedness procedure has been available.

Management review(5.8 of ISO 22000): Management review meeting have been done and latest MRM has done on 4th January 2017. However all inputs have not been covered as per 5.8 of ISO 22000 and as per the company procedure FSMS/PD/06 and management review agenda for the same MRM has not available.(OB)

17.3 Resource management (6 of ISO 22000):

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 22000:2005****Provision of resources (6.1 of ISO 22000):**

The organization is functioning with adequate resources for the establishment, implementation, and maintenance and updating of the FSMS. Company has enough human resource and good infrastructure and work environment to food processing.

Human resources (6.2 of ISO 22000): For year 2017 trainings were done and records were available. Food safety team have not been considered for training and as per the clause number 6.2.1 food safety team shall have appropriate education, training, skills and experience. (NCR)

Infrastructure (6.3 of ISO 22000):

Infrastructure and work environment to be maintained well to provide hygienic condition. All lights use in the production sections was found adequately guarded with suitable materials.

Separate rest room facilities are provided to workers with basic sanitary facilities. Set of protective clothing are provided to the workers on the expenses of company. There is hand washing facility close to the main entry of the factory.

Work environment (6.4 of ISO 22000):

Organization had provided adequate resources for establishment, management and maintenance of the work environment needed to implement the requirements of food safety management system.

17.4 Planning and realization of safe products (7 of ISO 22000):**General (7.1 of ISO 22000):**

The organization has identified the relevant statutory requirements and is in compliance with same.

Prerequisite programme (7.2 of ISO 22000):

PRPs have been established as per 7.2.2 of ISO 22000 and implemented. Characteristic of raw materials and end products have been described. Physical, chemical and biological food hazards documented. However cutter motor power transmission rubber belt worn off particulates deposited on cutter frame; microflora has been observed in certain walls. (Ex; blanching tank area and cutter area); paint of roofsheet at blanching area has been peel off and certain frames are found with rust at the same area. (NCR)

No covers for electric light bulbs at hatching line. Polypropylene sunshade fixed at hatching line was in bad condition. Unfolded for kraft paper sack and polyliner been painted and that paint was faded. Printed gunny bags are used for pairing supporters. (OB)

Preliminary steps to enable hazard analysis (7.3 of ISO 22000):**General (7.3.1 of ISO 22000):**

Relevant information needed to conduct the hazard analysis available and documented.

Food safety team (7.3.2 of ISO 22000): A food safety team has been appointed consisting of a

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combination of multidisciplinary knowledge and experience in food safety.

Product characteristics (7.3.3 of ISO 22000):

Characteristics of Raw materials are described in HACCP manual. Finished products characteristics are also described in the HACCP documentation. However the minimum oil content of DC 75 % was not achieved. (OB)

Intended use (7.3.4 of ISO 22000):

Intended use of products has been addressed in the food safety manual.

Flow diagram, process step and control measures (7.3.5 of ISO 22000): Floor diagrams available for all the processes.

HACCP analysis (7.4 of ISO 22000): HACCP plans have been established. CCP has been established, implemented and monitored. OPRP's have been documented and implemented. However off size cuts of coconut chips being used to manufacture of DC. In addition to that this process was not shown in the normal DC flow chart and no hazard analysis is performed. Conveyer systems of D/C process line was not sufficiently detailed and maintained in flow chart. No hazard analysis was done on them. (NCR)

Establishing the operational prerequisite program (OPRPs) (7.5 of ISO 22000):

OPRP have been documented and implemented. Control measures and monitoring procedure was available. Responsibilities and authorities have been defined. However monitoring procedure no SSF/DOC-1 for checking strength of magnet plates of sifter was not adhered. (OB)

Establishing the HACCP plan (7.6 of ISO 22000):

HACCP plan had documented. However HACCP plan no SSF/DOC -02 of whole meat desiccated indicated the critical limits of moisture as at 3 % but it was maintained at 5 %. (OB)

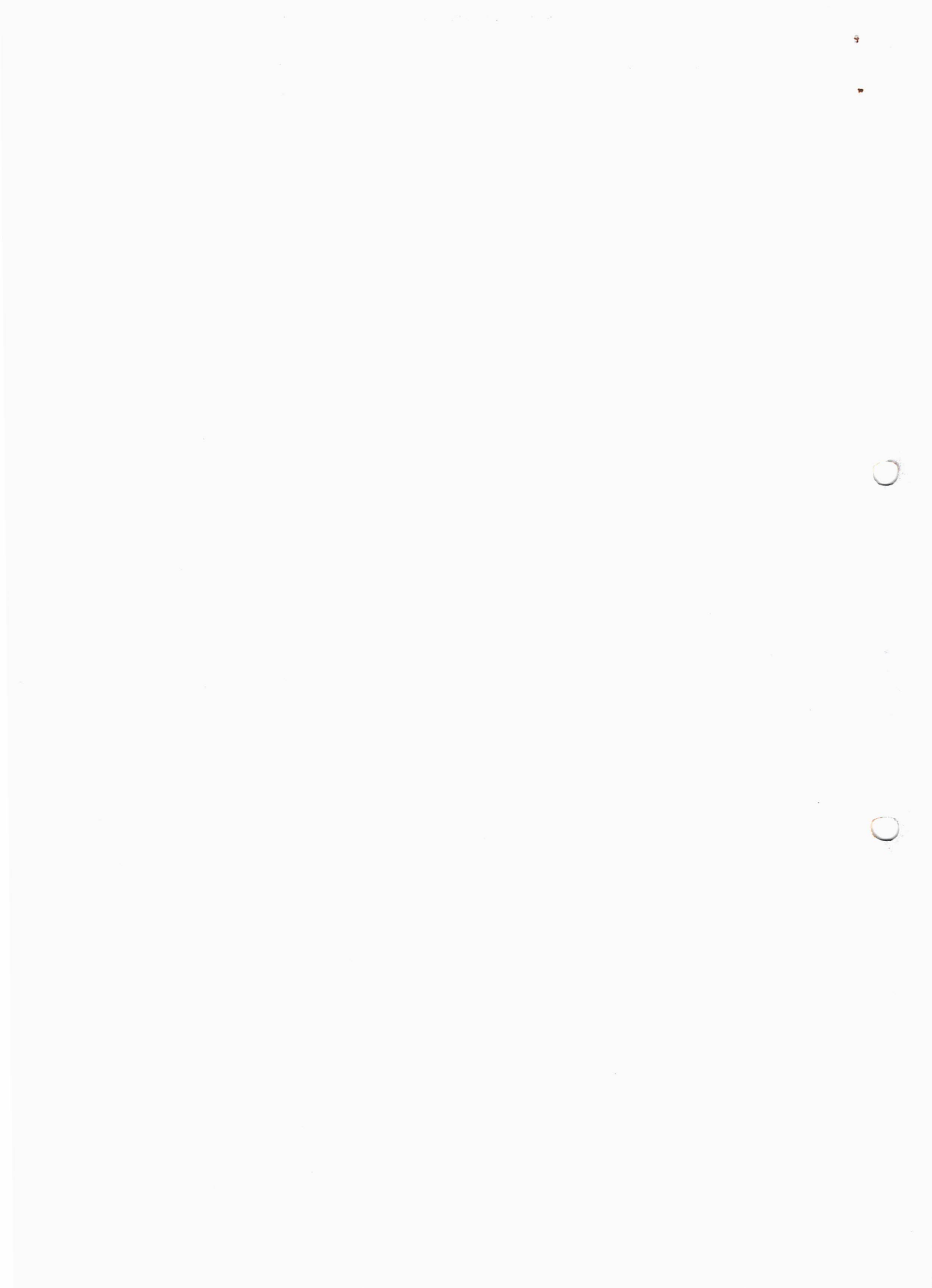
Updating of preliminary information and documents specifying the PRPs and the HACCP plan (7.7 of ISO 22000):

Organization has been updated HACCP system and HACCP plan and the procedures and instructions specifying the PRPs amended.

Verification planning (7.8 of ISO 22000): Verification plan documented and include method, frequency, responsibility and relevant records. PRPs, hazard analysis and OPRPs are verified. Internal audits have been conducted.

Traceability system (7.9 of ISO 22000): System is traceable to the supplier and buyers. Product is identified and trace by the selling name, shipment number, grade, date of manufacture and invoice number.

Control of non conformity (7.10 of ISO 22000): Documented procedures are available for corrections and corrective actions, handling of potentially unsafe products and withdrawals as per the requirements of ISO 22000:2005.



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17.5 Validation, verification and improvement (8 of ISO 22000):

General (8.1 of ISO 22000):The food safety team planned and implemented the processes needed to validate control measures, control measure combinations, and to verify and improve the food safety management system.

Validation of control measure combinations (8.2 of ISO 22000):Control measures validation done by FST members internally with respect to changes of CCPs, OPRPs. There are no any changes of the either CCPs or OPRPs in recent past.

Control of monitoring and measuring (8.3 of ISO 22000): Calibration of equipment carried out as per the calibration schedule. Both internal and external calibration was done. Reference thermometer and Dial thermometer have been calibrated.

Food safety management system verification (8.4 of ISO 22000):Documented procedure available for internal audit covering the requirements of 8.4.1of ISO 22000: 2005.last internal audit has done on 2017.03.16.

Improvement (8.5 of ISO 22000):Organization had ensure that the organization continually improves the effectiveness of the food safety management system through the use of communication , management review, internal audit, evaluation of individual verification results, analysis of results of verification activities, validation of control measure combination, corrective actions and food safety management system updating.

18. APPLICABLE LEGAL REQUIREMENTS: food act/ Business registration/Food (packaging material & articles) regulations:2007/ CDA regulations / EPL

19. ANY UNRESOLVED ISSUES: None

20. 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

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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

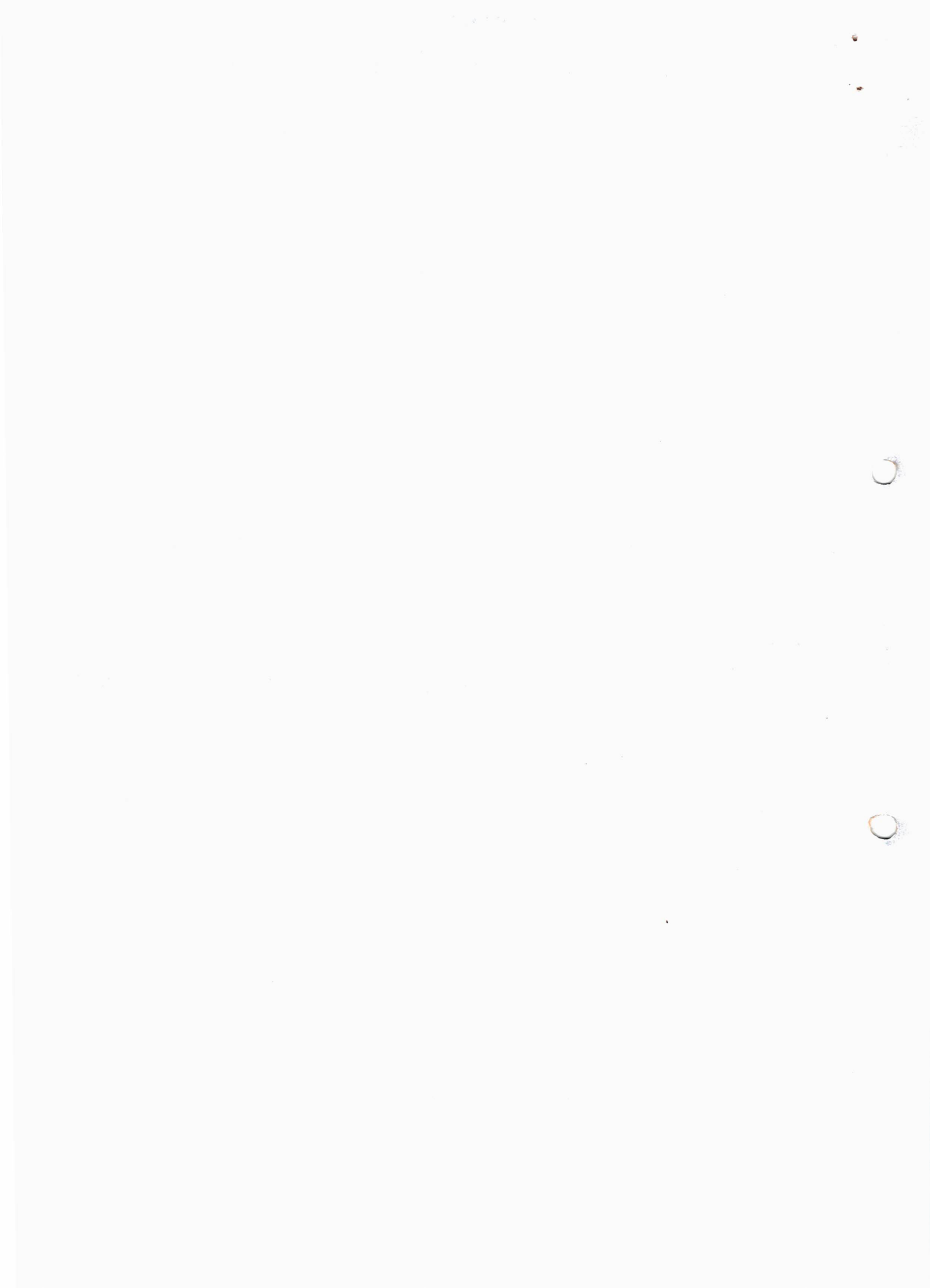
21. MAJOR NON-CONFORMITIES: None

22. MINOR NON-CONFORMITIES:

- 1) Food safety team have not been considered for training as per the clause number 6.2.1 food safety team shall have appropriate education, training , skills and experience. (NCR)
- 2) Certain documents have not been controlled as mentioned in the document control procedure. Ex: Master list of documents, External document list, and management review meeting (NCR).
- 3) The company has not formally communicated with CDA on production of Whole Meat DC (WMDC) for relevant consent as per the circular No. CDA/PD/02/2015.
- 4) Cutter motor power transmission rubber belt worn off particulates deposited on cutter frame; microflora has been observed in certain walls. (Ex; blanching tank area and cutter area); paint of roofsheet at blanching area has been peel off and certain frames are found with rust at the same area. (NCR)
- 5) Off size cuts of coconut chips being used to manufacture of DC. In addition to that this process was not shown in the normal DC flow chart and no hazard analysis is performed. Conveyer systems of D/C process line was not sufficiently detailed and maintained in flow chart. No hazard analysis was done on them. (NCR)

23. OPPORTUNITIES FOR IMPROVEMENT:

- 1) Food safety policy documented in the manual has not been authorized by the top management (FSMS manual –FSMS/MN/01). (OB)
- 2) Two food safety objectives defined by the company to be SMART and evaluate for its effectiveness.
Ex: Reduce potential unsafe products by 5% annually
Reduce food safety related wastages by 3% annually (OB)



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- 3) food safety policy to be communicate to all staff and interested parties. (OB).
- 4) Assistant Quality Assurance Manager has been appointed as the food safety team leader. However assistant QAM has not identified in the documented food safety team and responsibility (HACCP/MN/01 step 1 b.) (OB)
- 6) all inputs in management review meeting have not been covered as per 5.8 of ISO 22000 and as per the company procedure FSMS/PD/06 and management review agenda for the same MRM has not available. (OB)
- 7) The minimum oil content of DC 75 % was not achieved.
- 8) No covers for electric light bulbs at hatching line. Polypropylene sunshade fixed at hatching line was in bad condition. Unfolded for kraft paper sack and polyliner been painted and that paint was faded. Printed gunny bags are used for pairing supporters
- 9) Monitoring procedure no SSF/DOC-1 for checking strength of magnet plates of sifter was not adhered
- 10) HACCP plan no SSF/DOC -02 of whole meat desiccated indicated the critical limits of moisture as at 3 % but it was maintained at 5 %.

24. RECOMENDATION FROM AUDIT TEAM:

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 or 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 minor non conformities raised. Suspended until satisfactory corrective action is completed.

Signature of Team Leader : Mr. Amarasiriwardane

Date:..2017-03-30.....

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1. RECOMMENDATION BY AUDIT TEAM :

Recommended to grant the certification of ISO 22000
subject to corrective action taken for raised NCRs.



Signature of Team Leader

.....2017-03-30.....
Date



Signature of Team Member - 1

.....2017-03-30.....
Date

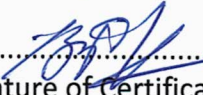


Signature of Team Member - 2

.....2017-03-30.....
Date

2. RECOMMENDATION BY CERTIFICATION MANAGER:

All NCRs except NCR No 02 (Communication to CPA)
has been closed. Recommended to grant the certification
for the scope of manufacturing of DC and account
chip.

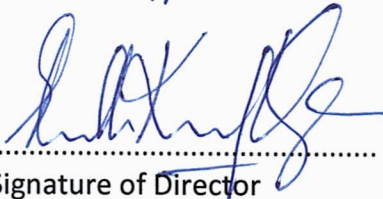


Signature of Certification Manager

.....2017/06/20.....
Date

3. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

Appd.



Signature of Director

.....2017-06-20.....
Date

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