



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

STAGE I AUDIT REPORT

ISO 9001:2015

Carolina Estate.



INDEXPO CERTIFICATION LIMITED
MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE I AUDIT REPORT -ISO 9001 : 2015

1. NAME OF ORGANIZATION : Carolina Estate.
2. REGISTERED ADDRESS : Carolina, Watawala, 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-099
7. APPLICABLE SECTOR: Tea
8. NACE CODE: C 10.83
9. SCOPE OF CERTIFICATION: Manufacturing of Black Tea
10. NO. OF EMPLOYEES: 45
11. DATE OF AUDIT: 2023-10-10
12. TYPE OF AUDIT: Stage I
13. AUDIT TEAM :

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

Document No. : QP-05-F-04
Reviewed and approved by : Director
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Issue No. : 07
Issue Date : 2016-09-15
Issued by : Management Representative

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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 for all
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 actions for internal & external issues were addressed.
3	5.3	Organization chart is not updated. Ex: Estate medical assistant is not identified.	Org. chart updated
4	7.2 c	evaluation of effectiveness of training is not effective. Ex: training evaluation has not been carried out for ISO 9001:2015 awareness.	Effective training evaluation implemented.
5	7.5	Certain documents are not controlled prior to issue. Ex. Customer feedback form	It is corrected.
7	7.5	Disposition method has not been identified in Master list of documents.	Identified in Master List.
8	7.1.4	Safety hand drill is not available for the stair case used to tea store	Safety hand drill available
9	8.5.4	Reclaimable tea is stored in used manure bags	Properly stored.
10	10.2.2	The Organization has not been documented the actions of process non conformities	Organization has been documented the actions of process NC's

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 11 10

- Page 05 of 05 is for internal purposes only.

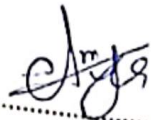
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1. RECOMMENDATION BY AUDIT TEAM :

Recommended for stage I audit


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Signature of Team Leader

2023/10/10
Date


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Signature of Team Member -1

2023-10-10
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