



**IND-EXPO CERTIFICATION LIMITED**

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME**

**SURVEILLANCE AUDIT REPORT**

**ISO 9001:2015**

**CAROLINA TEA FACTORY  
OF HATTON PLANTATION PLC**



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1. NAME OF ORGANIZATION : Carolina Tea Factory of Hatton Plantations PLC
2. ADDRESS OF HEAD OFFICE : 2 <sup>nd</sup> Floor, Number 168, Negambo Road, Peliyagoda
3. ASSESSMENT SITE/S : Carolina Tea Factory, Carolina Tea Estate, Watawala
4. CONTACT DETAILS :
4.1 Name : Mr. Virantha Gotabaya Designation : Estate Manager (Tel: 077-2919305)
Mr. KHBT Jayasanka Asst. Mgr. Quality Assurance (Tel: 071-6880862)
4.2 Tel : Mobile : - Fax : -
4.3 E-mail : <a href="mailto:carolina@hattonplantations.lk">carolina@hattonplantations.lk</a> / <a href="mailto:torans@hattonplantaions.lk">torans@hattonplantaions.lk</a>
5. NO. OF EMPLOYESS : 41
6. APPLICABLE STANDARD : ISO 9001:2015
7. FILE NO. : IMSC-QMS-0099
8. NACE CODE / SUBCATEGORY : C 10.83
9. SCOPE OF CERTIFICATION : Activities pertaining to manufacturing of CTC black tea and packing in multiwall paper sacks
10. DATE OF AUDIT: 2024/11/28
11. TYPE OF AUDIT : Surveillance I
12. AUDIT TEAM : Mr Aruna Amaradasa - Team Leader Mr. Isuru Ilangakoon Team Member

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

Issue no. : 04  
Rev No : 05

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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 9001:2015, relevant regulatory requirements and company procedures

**15. ANY DEVIATIONS FROM THE AUDIT PLAN AND REASONS:** No any deviations from the audit plan

**16. ANY SIGNIFICANT ISSUES IMPACTING ON THE AUDIT PROGRAMME:** No any significant issues

**17. SIGNIFICANT CHANGES, IF ANY, THAT AFFECT THE MANAGEMENT SYSTEM OF THE COMPANY SINCE THE LAST AUDIT TOOK PLACE :** No any significant changes

**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 has recognized emission of green house gases as environmental aspects. Ex. Electricity usage, boiler operation, use of generator, transport.

**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. However Interested parties which connect to the climate change is not recognized adequately. (OB)

**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 , the product and services offered as well as the requirements of the ISO 9001:2015 standard. Design and development and customer properties have been excluded with justifications.

**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 a quality policy that aligns with its strategic direction, ensuring commitment to meeting customer requirements, complying with applicable regulations, and continuously improving the quality management system.

**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 in 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 identifies and addresses risks and opportunities by implementing preventive measures, ensuring that potential issues are mitigated, and opportunities for improvement are seized to enhance the effectiveness of the quality management system. Certain initiatives have been taken to address impact on climate change. Ex. Gathering of data for the purpose of evaluation of emission of CO2 or equivalent. EPL has been granted.

**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 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):**

Company ensures that adequate resources, such as human resources, infrastructure, and technology, are available and effectively utilized to support the operation and continual improvement of its quality management system.

**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):**

Company has provided buildings, space for its intended operation with required utilities such as electricity, water, and information and communication technology. Company has also provided necessary equipment and vehicle required to transportation.

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

The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.

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

Calibration has been carried out at planned intervals. Ex. Thermometer, Hydrometer. However, process established for verification of results of weighing scale is not effective. Ex: No records available for scale of packing sections. (NCR)

**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):**

Company ensures that employees have the necessary skills, knowledge, and experience to perform their tasks effectively.

**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):**

Company has established effective internal and external communication processes to ensure the timely exchange of relevant information. Internally, communication channels facilitate coordination among departments, while externally, clear communication with customers, suppliers, and other stakeholders supports transparency and alignment with business objectives.

**Documented information(7.5 of ISO 9001:2008):**

Company has identified documented information required by the standard and documents required to be applied 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 and product provision. Company has established relevant criteria for the processes and the acceptance of service and products. 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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However establishing criteria for certain important process is not adequate. Ex. Tea tasting (NCR)

**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 products. customer complaints and inquiries 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 product and services.

**Review of the requirements for products and services (8.2.3 of ISO 9001:2015):**

The customer's requirement has confirmed by the company and conducts review prior to committed supply product to customers.

**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 products 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):**

Excluded in the QMS.

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

**General (8.4.1 of ISO 9001:2015):**

Company has ensured the control of externally provided services. 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 controls 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):**

Company ensures control of production and service provision by implementing documented procedures, monitoring key processes, and maintaining appropriate equipment and resources. These controls ensure that products meet specified requirements and maintain consistent quality throughout production.

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

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Company ensures proper identification and traceability of products throughout the production process. Each lot is marked to enable tracking from raw material to final delivery, ensuring accountability and conformity with customer requirements.

Property belonging to customers or external providers (8.5.3 of ISO 9001:2015):  
Excluded in QMS.

Preservation (8.5.4 of ISO 9001:2015):  
Company ensures the preservation of products during production, storage, and delivery by implementing proper handling, packaging, and storage practices to prevent damage, deterioration, or contamination, maintaining product quality until final delivery.

Post-delivery activities (8.5.5 of ISO 9001:2015):  
Company maintained customer relationship for sharing information of the product sold. However there is no specific post delivery activities such as after sale services. Market return is accepted by the company in any case customer reject the product due to quality issues.

Control of changes (8.5.6 of ISO 9001:2015):  
When changes required for production, 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):  
Process established for release of product is not effective. Ex. No records available for tea tasting of batches. (NCR)

Control of nonconforming outputs (8.7 of ISO 9001:2015):  
When the product or service does not ensure required output, company has controlled to prevent their unintended use or delivery to the customers. Company has taken appropriate actions to correct the nonconformity, segregation of nonconforming product and inform the customers to prevent them from using same. The necessary documented information with regard to nonconforming products, its immediate disposition, analysis of root cause and the corrective action taken is retained.

**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. However Customer perception available only for one broker and one time (NCR)

**Analysis and evaluation (9.1.3 of ISO 9001:2015):**

Organization has implemented a process to analyse and evaluate the data and evaluation obtains from monitoring and measurement activities. Such as customer complain, customer satisfaction, performance of external providers, risk analysis.

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**Internal audit (9.2 of ISO 9001:2015):**

Internal audit was conducted. The internal audit report, audit plan, schedule, log, and corrective action reports were available for review. Appropriate corrective actions have been implemented.

**Management review (9.3 of ISO 9001:2015):**

The management review was conducted, where key performance indicators, customer feedback, audit results, and process effectiveness were discussed. The review focused on evaluating the quality management system's performance, identifying areas for improvement, and aligning actions with the company's strategic objectives. Any necessary corrective or preventive actions were also identified to ensure continual improvement and compliance with ISO 9001:2015 standards.

**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):**

Company has a system in place to identify nonconformities, investigate their root causes, and take corrective actions to prevent recurrence. Nonconformities are documented, and corrective actions are tracked to ensure their effectiveness in resolving issues and improving the overall quality management system.

**Continual improvement (10.3 of ISO 9001:2015):**

Company fosters continual improvement by regularly reviewing processes, identifying areas for enhancement, and implementing corrective actions. Feedback from audits, customer satisfaction, and performance metrics are used to drive improvements in product quality, efficiency, and overall system effectiveness.

**19. KEY PERSONNEL INTERVIEWED :**

Name:	Designation	Responsibilities
Mr. R. Weerasinghe	Deputy Manager	Overall responsibilities
Mr. JMRT Bandara	Factory Officer	Production
Mr. R Ranjithkumar	Assit. Factory Officer	Production
Mr. Jaysanka	Assit. Manager QA	Quality

**20. APPLICABLE LEGAL REQUIREMENTS:** Shop and office act, factory ordinance and applicable labour laws and environmental regulations. Tea board regulations

**21. ANY UNRESOLVED ISSUES:** None

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REVIEW OF PREVIOUS AUDIT REPORT & VERIFICATION OF EFFECTIVENESS OF CORRECTIVE ACTIONS FOR PREVIOUSLY IDENTIFIED NON- CONFORMITIES: Actions taken are effective and verified

USE OF LOGO: Company has not used the logo in any primary packaging material or any other promotional material.

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
- Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard. YES  NO

26. MAJOR NON-CONFORMITIES: None

27. MINOR NON-CONFORMITIES:

1. Process established for verification of results of weighing scale is not effective. Ex: No records available for scale of packing sections. (NCR)
2. Establishing criteria for certain important process is not adequate. Ex. Tea tasting (NCR)
3. Process established for release of product is not effective. Ex. No records available for tea tasting of batches. (NCR)
4. Customer perception available only for one broker and one time (NCR)

25. OPPORTUNITIES FOR IMPROVEMENT:

However Interested parties which connect to the climate change is not recognized adequately. (OB)

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**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: *None*

  
.....  
SIGNATURE OF LEAD AUDITOR

*2024/11/28*  
.....  
DATE

• *This page is for internal purposes only.*

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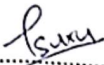
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**27. RECOMMENDATION BY AUDIT TEAM :**

Recommended for continuation of the certificate subject  
for the corrective action taken for radar NCRs.

  
Signature of Team Leader

2024/11/28  
Date

  
Signature of Team Member -1

2024/11/28  
Date

Signature of Team Member - 2

Date

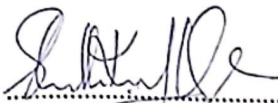
**28. RECOMMENDATION BY CERTIFICATION MANAGER:** All NCRs have been closed  
Hence recommended for continuation.

  
Signature of Certification Manager

2024/12/31  
Date

**29. APPROVAL FOR CONTINUATION :**

Appd

  
Signature of Director

2024/12/31  
Date

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