



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

STAGE II AUDIT REPORT

ISO 9001:2015

SHANNON ESTATE

**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
STAGE II AUDIT REPORT – ISO 9001:2015**

1. NAME OF ORGANIZATION :	Shannon Tea Factory, Hatton Plantation PLC		
2. ADDRESS OF HEAD OFFICE :	Shannon Estate, Hatton		
3. ASSESSMENT SITE/S :	Same as 2		
4. CONTACT DETAILS :			
4.1 Name :	Mr. Torans Jayasanka/Mr Vihaga Pathum		
Designation :	Ass. Manager QA/Estate Manager		
4.2 Tel :	0514921407	Mobile :	0716880862/0771257335
		Fax :	--
4.3 E-mail :	torans@hattonplantations.lk/shannon@hattonplantations.lk		
5. NO. OF EMPLOYESS :	31		
6. APPLICABLE STANDARD :	ISO 9001:2015		
7. FILE NO. :	PMS - QMS - 100		
8. NACE CODE / SUBCATEGORY :			
9. SCOPE OF CERTIFICATION :	Activities pertaining to manufacturing of black, silver tip and golden tip teas		
10. CONFIRMATION FOR SCOPE OF CERTIFICATION :	The scope is confirmed.		
	Signature		
11. DATE OF AUDIT & Time :	2023-10-30		
12. TYPE OF AUDIT :	Stage II		
13. AUDIT TEAM :			
	Mr. DNS Kuruppumulluge (DNSK)		Team Leader
	Ms. Tharisha Nandasena (TN)		Team Member

Doc. No. : QP-06-F-04

 Issue no. : 07
Rev No : 05

 Issue date : 2016-09-15
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Reviewed and approved by : Director

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**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 and objectives on quality management

15. AUDIT CRITERIA : ISO 9001:2015, ISO 19011:2018, applicable regulatory requirements and other requirements

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

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

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

19. AUDIT FINDINGS :**19.1 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, the product and services offered as well as the requirements of the ISO 9001:2015 standard. Scope of quality management system is defined as manufacturing, packing and supply of shoes.

Quality management system and its processes (4.4 of ISO 9001:2015):

Interaction of processes identified by the company is adequate and effective.

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19.2 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 objectives established compatible with organizational context and the strategic direction of the organization.

They also committed to promote risk-based thinking throughout the organization and have taken steps to adequately provide resources required and interested in achieving business objectives with continual improvement of established quality objectives. General Manager whom we interviewed during the audit express the necessity of meeting the applicable statutory and regulatory requirements and customer satisfaction.

Policy (5.2 of ISO 9001:2015):

The organization has established, implemented and maintained a quality policy that can prove satisfactory application of applicable requirements and achievement of continual improvement and documented. Quality policy has been displayed on notice boards in the production floor.

However, process of establishing, maintaining and implementation of quality policy is not adequate and the communication of quality policy to all interested parties is not effective. (NCR 01)

Ex: i) Commitment to satisfy all applicable requirement

ii) Policy is available only in English and Sinhala

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.

19.3 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 inline 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 carryout the same by planning, while considering the need for change and its expected results while ensuring the integrity of QMS.

However, process of planning for any changes to quality management system is not adequate. (NCR 02)

Ex: There is no evidence of planned changes to QMS

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Organization has provided required resources for establish, implement, maintain and continually improve the quality management system by considering capabilities and constrains of existing recourses and needs obtained from external providers.

People (7.1.2 of ISO 9001:2015):

Organization has provided personnel required to implement the QMS effectively and for the operation and control of its processes.

Infrastructure (7.1.3 of ISO 9001:2015):

Company has provided buildings, space for its intended operation with required utilitles 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):

Organization has provided necessary operation environment in terms of both physical and human requirement. Adequate ventilation and light for the operation are provided. Operation also complies with the sanitary requirements for staff and the visitors. General cleanliness of the environment also has been ensured.

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

Organization has provided necessary equipment to obtain valid and reliable results. The equipment has been controlled by regular inspection by calibration and calibration reports are available. Weighing scales are used as monitoring equipment.

The table that kept the moisture meter is subjected to slight vibrations. (OB 01)

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):

Organization has determined the necessary competent level of staff members based on their duties and responsibilities to avoid undesired effect on performance and effectiveness of QMS. Their education, training and experience is considered for this purpose. Where there is a gap between required competence and available competence exist, trainings are provided for both worker level employees and other staff in the organization. Training plan is available.

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.

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**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
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The organization has determined 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 applied for effectiveness of QMS. Company has established a documented information control system for both documents and records.

However, controlling of documented information is not effective. (NCR 03)

Ex: There is no evidence that the electronic information is kept under protection.

19.5 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.

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 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 product and services. Other than that, customer/buyer requirements are also given priority.

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

The customer's requirement has confirmed by the company before acceptance of the customer or and conducts review prior to committed supply product to customers. Merchandising department is maintaining the document related to reviews of customer requirements

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. Then merchandising department prepare the plan and communicate to production flow after approval.

Design and development of products and services (8.3 of ISO 9001:2015):

Organization makes all the products based on customer requirement which is conveyed to the company through marketing department. Product design is carried out by the design department and is reviewed by the Designer, production supervisor and marketing officer and submitted to the customer for validation. When the customer validation completed it is submitted to the Managing director/Chairman for approval and any changes required to the product during the design review process will be carried out and necessary validation and approvals are obtained.

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Any changes required by the customer conveyed to the company which will be redesigned, reviewed and necessary validation and approvals are obtained. The documented information is maintained by merchandising department under customer file.

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 including outsourced processes, purchasing, etc. 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 remained within the organization under controlled condition and verification of same has been carried out as it is necessary to ensure that the externally provided processes meet requirements of the organization.

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):**

Production and service provision is carried out under controlled conditions.

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

Company has a mechanism for trace the product. using plan number.

RA certified finished products has stored in the area, which is identified as non-RA certified finished good storing area. (OB 02)

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

No Any property belongs to customer or external provider.

Preservation (8.5.4 of ISO 9001:2015):

Preservation is not required.

Post-delivery activities (8.5.5 of ISO 9001:2015):

There are no post-delivery activities involved for the products.

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

When changes required for production and 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):

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The organization has implemented incoming inspection of raw materials, process inspections and final inspection to verify that the product requirements have been met. The release of products to the customer has proceeded once the above arrangements have been satisfactorily completed.

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

When the product does not ensure required output, organization has controlled to prevent their unintended use or delivery to the customers. The organization has taken appropriate actions to correct the nonconformity and segregation of nonconforming products. The organization has retained documented information regarding nonconforming situation and action taken and identifies the authority declining the action in respect of the nonconformity.

19.6 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):

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.

Internal audit (9.2 of ISO 9001:2015):

Internal audit has been conducted and Internal audit report, internal audit plan and schedule, internal audit log and corrective action reports were available at the audit.

Management review (9.3 of ISO 9001:2015):

Management review meeting has carried out annually as planned. Minutes were available for conducted MRMs. All agenda items as per 9.3 of ISO 9001 have been discussed. Discussions taken at MRM has been implemented.

19.7 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 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.

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However, the process of retain documented information as evidence of the nature of the non-conformities and subsequent actions taken is not effective. (NCR 04)

Ex: Non-conformities arising from customer complaints has not recorded

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, and audit results, analysis of data, management review, and corrective implementation.

20. KEY PERSONNEL INTERVIEWED :

Name:	Designation	Responsibilities
H.P. Maleesha Hettithanthri	Assistant Manager	Overall Management
Torans Jayasanka	Assistant Manager-QA	Quality Assurance
D.M.C. Dissanayake	Head Factory Officer	Management of Production
A. Kokilaray	Senior Factory Officer	Management of Production

21. APPLICABLE LEGAL REQUIREMENTS: EPL, ETF, EPF, Factory ordinance

22. ANY UNRESOLVED ISSUES: None

23. USE OF LOGO: Terms and conditions are as per the certification body regulations

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

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YES NO
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- The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system.
- 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:

- a) process of establishing, maintaining and implementation of quality policy is not adequate and the communication of quality policy to all interested parties is not effective. (5.2.1/5.2.2)
Ex: i) Commitment to satisfy all applicable requirement
ii) Policy is available only in English and Sinhala
- b) Process of planning for any changes to quality management system is not adequate. (6.3)
Ex: There is no evidence of planned changes to QMS
- c) Controlling of documented information is not effective. (7.5.3.1 b)
Ex: There is no evidence that the electronic information is kept under protection.
- d) the process of retain documented information as evidence of the nature of the non-conformities and subsequent actions taken is not effective. (10.2.2)
Ex: Non-conformities arising from customer complaints has not recorded

28. OBSERVATIONS:

- a) The table that kept the moisture meter is subjected to slight vibrations. (7.1.5.2)
- b) RA certified finished products has stored in the area, which is identified as non-RA certified finished good storing area. (8.5.2)

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**INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME
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(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:

DNS Kuruppumullage
SIGNATURE OF LEAD AUDITOR

2023-10-30
DATE

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- This page is for internal purposes only.

30. RECOMMENDATION BY AUDIT TEAM :

Appd. Recommended for Certification Subject to
Verification of corrective action taken
for raised NCRs

Signature of Team Leader

2023/10/30
Date

Signature of Team Member -1

2023-10-30
Date

Signature of Team Member - 2

Date

31. RECOMMENDATION BY CERTIFICATION MANAGER:

Recommended for certification

All NCRs have been closed.

Signature of Certification Manager

23.11.2023
Date

32. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

Appd


Signature of Director

2023/11/23
Date



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2. ADDRESS OF HEAD OFFICE :	Shannon Estate, Hatton		
3. ASSESSMENT SITE/S :	Same as 2		
4. CONTACT DETAILS :			
4.1 Name :	Mr. Torans Jayasanka/Mr Vihaga Pathum		
Designation :	Ass. Manager QA/Estate Manager		
4.2 Tel :	0514921407	Mobile :	0716880862/0771257335
		Fax :	-
4.3 E-mail :	torans@hattonplantations.lk/shannon@hattonplantations.lk		
5. NO. OF EMPLOYEES :	30		
6. APPLICABLE STANDARD :	ISO 9001:2015		
7. FILE NO. :	SMSC - QMS - 100		
8. NACE CODE / SUBCATEGORY :	C 10 .53		
9. SCOPE OF CERTIFICATION :	Activities pertaining to manufacturing of black, silver tip and golden tip teas		
10. CONFIRMATION FOR SCOPE OF CERTIFICATION :	The scope is confirmed.		
			
	Signature		
11. DATE OF AUDIT & Time :	2023-10-30	HATTON PLANTATIONS PLC (Company Reg No : PB 5414) SHANNON ESTATE, HATTON.	
12. TYPE OF AUDIT :	Stage II		
13. AUDIT TEAM :			
	Mr. Divs Kuruppanmaliuge (DIVSK)	Team Leader	
	Ms. Tharisha Nandasena (TN)	Team Member	

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AUDITOR'S OBSERVATIONS REPORT
(To be filled by each assessor during the audit)

Company Name: Shannon Estate			
Date of Audit: 2023-10-30			
Type of Audit: (Stage II, Surveillance, Recertification, Special Audit, Follow-up audit, etc)			
Type of Management System : (ISO 9001, ISO 22000, ISO 14001, OHSAS, GMP, etc)			
Seri. No:	Clause No:	FINDINGS	NCR(minor or major) / Observation (Remaining / Cleared)
1.	8.5.2.	RA certified finished products has stored in the area, the which is identified as non-RA certified finished good storing area.	
2.	7.1.5.2	moisture meter is kept in a cupboard The table that kept the moisture meter is subjected to slight vibrations.	
3.			
4.			

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