



IND-EXPO CERTIFICATION LIMITED

INTEGRATED MANAGEMENT SYSTEMS CERTIFICATION SCHEME

SURVEILLANCE AUDIT REPORT

ISO 22000:2018

REKADAHENA PLANTATION (PVT) LTD



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1. NAME OF ORGANIZATION : Rekadahena Plantation (Pvt) ltd
2. ADDRESS OF HEAD OFFICE : Rekadahena, Kahaduwa
3. ASSESSMENT SITE/S : Rekadahena, Kahaduwa
4. CONTACT DETAILS :
4.1 Name : Mr. Madhushan Rajamanthri Designation : Factory Manager
4.2 Tel :- Mobile : 076-8234236 Fax :-
4.3 E-mail : rekadahenatea@gmail.com
5. NO. OF EMPLOYESS : 45
6. APPLICABLE STANDARD : ISO 22000:2018
7. FILE NO. : IMSC-FSMS-
8. NACE CODE / SUBCATEGORY : C IV
9. SCOPE OF CERTIFICATION : Activities pertaining to manufacturing of black tea
10. CONFIRMATION FOR SCOPE OF CERTIFICATION : Verbally confirmed
11. DATE OF AUDIT & Time : 24.03.2023
12. TYPE OF AUDIT : Surveillance I
13. AUDIT TEAM : Mr. M.N.M Nafas - Team Leader Mr. Tharindu Hettirarachchi - Team Member

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

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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

16. AUDIT CRITERIA : ISO 22000:2018, ISO 19011, and relevant regulatory requirements

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

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

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

20. AUDIT FINDINGS :

19.1 Context of the Organization (4 of ISO 22000):

Understanding the organization and its context (4.1 of ISO 22000): External and internal issues that are relevant to purpose and strategic direction to achieve the expected results from the food safety management system were identified. Mechanism to monitor and review the external and internal issues was developed.

Understanding the needs and expectations of interested parties (4.2 of ISO 22000): Interested parties that are relevant to the Food Safety Management System (FSMS) and their requirements were determined. System for identifying, reviewing, and updating the information relevant to the interested parties and their requirements was developed.

Determining the scope of the food safety management system (4.3 of ISO 22000): Scope of the FSMS was established and documented. Scope of the FSMS was developed considering the requirements of ISO 22000:2018 standard.

Food safety management system (4.4 of ISO 22000): FSMS was established, maintained in accordance with the ISO22000:2018 requirements including the process needed and their interactions.

19.2 Leadership (5 of ISO 22000):

Management commitment (5.1 of ISO 22000): Leadership and commitment with respect to the FSMS were demonstrated by top management. Food safety policy and the objectives were established and were compliance with the strategic direction of the organization. Top management

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was aware about their responsibilities to maintain an effective food safety system by providing the resources needed for the FSMS and directing and supporting persons to contribute to the effective FSMS. The owner of the organization was interviewed.

Policy (5.2 of ISO 22000):

Establishing the food safety policy (5.2.1 of ISO 22000): A Food safety policy that can prove satisfactory application of applicable requirements and achievement of continual improvement was established, implemented and maintained.

Communicating the food safety policy (5.2.2 of ISO 22000): Food safety policy was available and maintained as documented information and it was communicated among the staff and interested parties.

Organizational roles, responsibilities and authorities (5.3 of ISO 22000):

Responsibility and authority was delegated by the top management to the relevant personals via appointment letters.
Responsibilities of the FSMS team leader was determined.

19.3 Planning (6 of ISO 22000):

Actions to address risks and opportunities (6.1 of ISO 22000): Issues under clause number 4.1 and the requirements under 4.2 of this standard were determined. Risks and opportunities that are arising during the planning of foods safety management system were determined. 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 FSMS processes with evaluation of effectiveness.

Objectives of the food safety management system and planning to achieve them (6.2 of ISO 22000): Food safety objectives were established and were in line with the strategic direction.

Planning of changes (6.3 of ISO 22000): A mechanism to determine the changes required to food safety management system was determined and carried out the same by planning, while considering the need for change and its expected results while ensuring the integrity of FSMS.

19.4 Support (7 of ISO 22000):

General (7.1.1 of ISO 22000):

The resources needed for the establishment, implementation, maintenance, update, and continual improvement of the FSMS were determined and provided. Inadequacies were not identified.

People (7.1.2 of ISO 22000): Persons necessary to operate and maintained an effective FSMS were competent. Inadequacies were not identified.

Infrastructure (7.1.3 of ISO 22000): Resources for the determination and maintenance of the infrastructure necessary to achieve conformity with the requirements of the FSMS were provided.



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Work Environment (7.1.4 of ISO 22000):

The resourced for the establishment, management and maintenance of both human and physical work environment necessary to achieve conformity with the requirement of the FSMS was determined and provided.

Externally developed elements of the food safety management system (7.1.5 of ISO 22000): None of the elements of the FSMS were externally developed.

Control of externally provided processes, products or services (7.1.6 of ISO 22000): A detailed supplier evaluation process was developed. 1800 Suppliers were identified. Suppliers with the poor performance were prioritized during the evaluation. Relevant records were maintained.

Competence (7.2 of ISO 22000): Required trainings were identified and conducted. Effectiveness of conducted trainings were evaluated.

Awareness (7.3 of ISO 22000): Awareness related to food safety policy and relevant objectives were given to the staffs.

Communication (7.4 of ISO 22000):

General (7.4.1 of ISO 22000): Internal and external communication relevant to FSMS was determined.

External Communication (7.4.2 of ISO 22000): External parties were communicated effectively with sufficient information.

Internal Communication (7.4.3 of ISO 22000): An effective communication system for communicating issues having impact on food safety was developed.

Documented Information (7.5 of ISO 22000):**General (7.5.1 of ISO 22000):****Creating and updating (7.5.2 of ISO 22000):****Control of documented information (7.5.3 of ISO 22000):**

Documented information required by the standard, documents required to be applied for effectiveness of FSMS were identified. A documented information control system for both documents, records including distribution, retrieval, storage and preservation, control of changes, retention and disposition was established and implemented.

19.5 Operation (8 of ISO 22000):

Operation planning and control (8.1 of ISO 22000): Process needed to meet requirements for the realization of safe products was planned and implemented. Relevant criteria, and control were established and implemented.

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

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

However, certain cleaning equipment's have not been stored at designated place. **(OB) (8.2.4)**

Traceability system (8.3 of ISO 22000): Traceability system was established and maintained. Finished products traceability is maintained from receiving of green leaves to dispatching of finished products. Finished product is traced by the invoice number. GRN, Invoice number, RM/PM receiving checklist, production checklist, batch details, dispatched details were used for the traceability. Traceability can be used to trace both backward and forward of the product.

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 documented procedure was established to respond potential emergency or incident that can impact on food safety which are relevant to the role of the organization 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 was carried out and documented.

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

Characteristics of raw material have been described. Physical, chemical and biological food hazards documented.

Characteristics of end products (8.5.1.3 of ISO 22000): Characteristic of end products were described. Physical, chemical and biological food hazards were documented.

Intended use (8.5.1.4 of ISO 22000): Intended use of products was addressed and documented in the FSMS 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): Flow diagram was established for the production process from receiving of raw material to dispatching of finished products. Relevant production process steps were covered in the process flow diagram. Control measures were identified.

On-site confirmation of flow diagrams (8.5.1.5.2 of ISO 22000): On-site verified process flow diagram was maintained as document.

Description of processes and process environment (8.5.1.5.3 of ISO 22000): layout of premises with processing equipment and product flows was maintained.

Hazard analysis (8.5.2 of ISO 22000):

General (8.5.2.1 of ISO 22000): Relevant information needed to conduct the hazard analysis were collected, maintained, updated and documented. Records were maintained.

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Hazard Identification and determination of acceptable levels (8.5.2.2): Food safety hazards that are reasonably expected to occur in relation to the type of product, type of process and process environment were identified and documented.

Hazard assessment (8.5.2.3 of ISO 22000): Hazard assessment was carried out and identified significant hazards. Each food safety hazards were evaluated with regard to the likelihood and severity. The methodology used and the results of the hazard assessment was maintained as documented information.

Selection and categorization of control measure(s) (8.5.2.4 of ISO 22000): Control measure for preventing and reducing significant hazard was established and categorized as CCP and OPRPs using a decision tree.

Drier inlet and outlet temperature (Inlet 215 -235 °F, outlet 125-130°F, Moisture – less than 4%) was identified as CCP.

Winnowing (removal of iron particles using magnet), color separator (removal of iron particles using magnet), Packaging (100% sealing, sealing integrity) and moisture content at packaging (less than 6.5%) were identified as OPRPs.

Validation of control measure(s) and combinations of control measures (8.5.3 of ISO 22000): Selected control measures were validated for capable of achieving the intended control of the significant food safety hazards. Verification methods were defined for CCPs, PRPs and OPRP's. Reviewing documents, external lab testing, calibration and internal audits were conducted as verification. Monitoring records of controls were verified.

Hazard control plan (HACCP/OPRP plan) (8.5.4 of ISO 22000):

General (8.5.4.1 of ISO 22000): A hazard control plan including food safety hazards, critical limits, monitoring procedure, action criteria for correction, responsibility and authority and record of monitoring was implemented, maintained and documented.

Determination of critical limits and action criteria (8.5.4.2 of ISO 22000): Critical limits for CCPs and action criteria for OPRPs were determined and documented in the Hazard Control Plant described in the Food Safety Manual.

Monitoring systems at CCPs and for OPRPs (8.5.4.3 of ISO 22000): Monitoring system for CCPs and OPRPs were established and documented in the Hazard Control Plant described in the Food Safety Manual.

Monitoring method, frequency, results, responsibly and authority and verification were documented.

Actions when critical limits or action criteria are not met (8.5.4.4 of ISO 22000): Correction and corrective action to be taken when critical limits and action criterion are not met were specified in the Hazard control plan described in the food safety manual.

Implementation of the hazard control plan (8.5.4.5 of ISO 22000): Company has implemented and maintain document of hazard control plan.

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Updating the information specifying the PRPs and the hazard control plan (8.6 of ISO 22000):

Information specifying the PRPs, and hazard control plan was updated when necessary. Information relevant to the characteristics of materials and ingredients, characteristics of end products, intended use and flow diagram were found updated.

Control of monitoring and measuring (8.7 of ISO 22000): Evidences were provided for monitoring and measuring activities related to PRPs and hazards control plan. The moisture meter was calibrated on 20th November 2022 and the thermometer was calibrated on 29th October 2022.

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): An analysis of result of verification results was conducted and 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): A process was developed to identify and control the product deviated from the hazard control plan with regard to their use and release.

Corrective Actions (8.9.3 of ISO 22000): Appropriate actions was specified to identify and eliminate the cause of detected process nonconformities. However, the cause was not identified and correction and corrective action was not taken for the nonconformity observed in the water test report. referred clause 10.1 (10.1.2).

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): A process to evaluate and disposition of non-conforming products was established and maintained.

Disposition of nonconforming products (8.9.4.3 of ISO 22000): Appropriate actions were specified to identify and eliminate the cause of the detected nonconformity.

Withdrawal/Recall (8.9.5 of ISO 22000): A process developed for the timely withdrawal of lots of end products that were identified as potentially unsafe, A procedure for handling recalled products was also established.

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): What needs to be monitored and measured, the methods for monitoring, measurement, analysis were determined.

Analysis and evaluation (9.1.2): PRPs and hazards control plan, internal and external audit results were evaluated and analyzed.



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Internal Audit (9.2 of ISO 22000): Internal audit was conducted as per the defined in the procedures and planned intervals. Cause was identified, corrections and corrective actions were taken for nonconformities identified during the internal audit. Last internal audit was conducted on 25th January 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 was done according to the standard requirement. Last management meeting was conducted on 25th January 2023.

Management review output (9.3.3 of ISO 22000): The actions be taken for the management review inputs were reported and completed as required.

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.

Continual improvement (10.2 of ISO 22000): Top management was committed to continually improve the effectiveness of the management system through the use of food safety policy, food safety objectives, and audit results, analysis of data, management review, and corrective implementation.

Update of the food safety management system (10.3 of ISO 22000): FSMS was evaluated in planned intervals by top management. PRPs and hazard control plan were updated at planned intervals.

21. KEY PERSONNEL INTERVIEWED :

Name:	Designation	Responsibilities
Mr. Madhushan rajamanthri	Factory manager	Overall factory management
Mr. K.A. Upula	Quality officer	Quality assurance
Mr. P. Sampath	Factory officer	Factory opertaion
Mr.S.C. Wijesekara	Supervisor	production
Mr.K.J.T. Iresha	H/R officer	HR management

22. APPLICABLE LEGAL REQUIREMENTS: Food act, Food hygiene regulation and other relevant food regulations.

23. ANY UNRESOLVED ISSUES: None

24. USE OF LOGO: Use of logo in par with the “Conditions for Use of Logo” document issued by Ind-Expo Certification Ltd.

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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 follows:-

- 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:

28. OBSERVATIONS:

1. Certain cleaning equipment's have not been stored at designated place. (OB) (8.2.4)

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27. OBSERVATIONS: None

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:

Signature of Team Leader :  Date: 24/03/2023

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• This page is for internal purposes only.

29. RECOMMENDATION BY AUDIT TEAM :

Recommended for Continuation.

..... Signature of Team Leader Date
..... Signature of Team Member -1 Date
..... Signature of Team Member - 2 Date

30. RECOMMENDATION BY CERTIFICATION MANAGER:

Recommended
for [Signature]
Signature of Certification Manager

.....
Date

31. APPROVAL FOR SUBMISSION TO THE CERTIFICATION COMMITTEE:

Appd
[Signature]
Signature of Director

.....
Date