

ISO 9001:2015: Audit Report
 Order no.: 4153243709 Client no.: 371666-01
 Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE



Management Service

Audit type (standard / Revision):	Certification Audit (ISO 9001:2015)		
Audit date (on site):	2019-04-19 - 2019-04-20		
Company / customer:	MES'S ARTS, COMMERCE AND SCIENCE COLLEGE		
Street / P.O. box:	SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA, DIST:AHMEDNAGAR		
Zip-Code / state / city:	IN - 414105 Sonai		
Audit representative:	Mr. DNYANDEV		
Leadauditor/ auditor:	Shivaram Sohani / Balkishan Panchal		
Technical expert/ trainee:	Vinay Lomte / ---		
Observer:	---		
Scope of certification:	TO PROVIDE EDUCATION TO UG & PG STUDENTS UNDER FACULTY OF ARTS, SCIENCE AND COMMERCE		
Branch scope (EA/NACE Code):	EA 37		
Enclosed documents:	<input checked="" type="checkbox"/> Audit report Annex 1: Action list including opportunities for improvement and positive aspects <input checked="" type="checkbox"/> Audit report Annex 2: Site specific information <input checked="" type="checkbox"/> Audit report Annex 3: Audit program / audited elements <input checked="" type="checkbox"/> Print order		
Audit results ISO 9001:	<input checked="" type="checkbox"/> Audit objectives for the management system (MS) have been fulfilled; scope of certification is appropriate; a (centrally) managed MS is in place; release of certificate recommended (subject to effective closure of nonconformities) <input type="checkbox"/> Audit objectives for the MS have NOT been fulfilled; suspension / withdrawal of certificate recommended; certification cannot be granted or maintained		
Next audit date scheduled:	March 2020		
Re-Audit:	<input type="checkbox"/> on site / date: <input type="checkbox"/> submit documentation	Duration in hours:	

22.04.2019

Shivram Sohani

Date

Lead Auditor(s) ISO 9001



1 General information

1.1 Certification scheme

The audit in question has been conducted within:

- Single-site certification
- Multi-site certification (see Multi-site plan)
- Multi-site certification based on sampling (see Multi-site plan)
- Certificate transfer
- Combined / integrated certification
- Special audit
- Transition Audit (from ISO 9001:2008 to 9001:2015)
- Others (please add): _____

1.2 Specific information about the client

See "Annex 2: Site specific information".

1.3 Audit objectives

- Determination of the conformity of the management system with audit criteria.
- Evaluation of the ability of the management system to ensure that it meets the applicable statutory, regulatory and contractual requirements.
- Evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives.



1.4 Significant changes which took place since the last audit

Topic	Changes
Management System / documented information	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Scope of certification	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Number of employees	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Others	NIL

1.5 Particularities of this audit

Deviations from the audit plan:	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Significant issues impacting the audit program <i>(planned activities for the certification cycle)</i>	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Changes in audit objectives or audit criteria:	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Other particularities:	NIL



2 Effectiveness of corrections and corrective actions from previous audit

<p>The audit team evaluated the corrective action taken for the nonconformities/ areas of concern from the previous audit.</p> <p>In the case of RA / Re-Certification audits, the audit team considered the audit reports for the last two audits in the audit planning / performance of the audits and in particular checked the nonconformities / areas of concerns.</p> <p>The corrective actions were found to be:</p>	<p><input type="checkbox"/> Effective</p> <p><input type="checkbox"/> Not effective (MiN or NC)</p> <p><input checked="" type="checkbox"/> Not applicable (no existing MiN or NC)</p>
---	---

3 General evaluation of effectiveness of the management system

Refer to level of maturity of the MS, commitment of top management, guaranteeing the continuous compliance with the legal and other requirements , application of performance indicators, continuous improvement, meeting of objectives and targets, competence of personnel, effectiveness of internal audits and management reviews, etc.

<p>AICTE Approval – A grade -Letter for @-(f) and 12-B of UGC Act Valid up to 2022 is evident. UGC approval and approved Fund. DBT Grant Approval . Unnat Bharat -5 villages adopted for CRS. Student result for all faculty is more than 95% as an average . Good student strength. All well-equipped facility- Open ground, Indore stadium , Gymnasium .Library . Internal Audit , M.R.M. Planning for NBA</p>
--

Total number of findings for the certification area:

Certification area	Major non-conformities	Minor non-conformities	Opportunities for improvement	Positive aspects
ISO 9001	---	---	01	01

Standard elements with findings are listed in the action list (Annex 1).
 The audit findings are based on the audit evidence collected during the audit and available to the certification body.



For multi-site audits (with and without sampling): NOT APPLICABLE

Additional aspects for multi-site audits:	ISO 9001
All requirements by the certification body for conducting a multi-site audit were	<input type="checkbox"/> fulfilled <input type="checkbox"/> not fulfilled ^{1) 2)}
Under consideration of all audit reports from all sites, the management system of the organization is:	<input type="checkbox"/> effective <input type="checkbox"/> not effective ^{1) 2)}
When planning corrective actions for non-conformances, all sites of the organization were considered in order to detect systematic errors:	<input type="checkbox"/> effective <input type="checkbox"/> not effective ¹⁾
The organization effectively uses information from corrective actions from each individual site in order to increase the overall effectiveness of the management system :	<input type="checkbox"/> effective <input type="checkbox"/> not effective ¹⁾

1) listed in the action list (Annex 1) as a nonconformity

2) Certification cannot yet be recommended

4 Controlling the use of certification documents and marks

The evidence collected during the audit demonstrates that the use of certification documents and marks applied by the organization is:

- Conformance
- Major non-conformance (NC)
- Not applicable (ex. initial certification)

5 Additional remarks

5.1 Disclaimer statement

Auditing is based on a sampling process of the available information. Any audit recommendations are subject to an independent review prior to a decision concerning the awarding or renewal of certification.

A management system certification audit (initial, surveillance or recertification audit) is not a legal compliance audit (ISO 17021:2015, 9.2.1.2).

5.2 Duty of information¹

The Certification Body shall be notified by the client without delay of all changes that may impact on the management system's capability to continue to fulfill the requirements of the relevant standard now and in the future.

These matters include major changes regarding:

- legal, commercial, organizational status or ownership
- organization and management (e.g. key managerial, decision-making or technical staff)

ISO 9001:2015: Audit Report
Order no.: 4153243709 Client no.: 371666-01
Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE



Management Service

- change of address and sites
- scope of operations under the certified management system

5.3 Due dates

The due date (last day of the certification audit) must be considered for the planning of any additional audit. The respective due dates should be coordinated with the lead auditor.

5.4 Confidentiality

The Certification Body will treat all received documented information related to the certification process as strictly confidential.

Copies to:

- Members of the audit team
- Certification body
- Client



Audit Report

Annex 1: Action List including opportunities for improvement and positive aspects

Order no.: 4153243709 Client no.: 371666-01
 Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE

Comments

An audit cannot cover each and every detail of the management system. Therefore, there may still be nonconformities not addressed by the auditors in the closing meeting or the audit report. Audit results are always evaluated on the basis of the following classification:

Nonconformities (NC):	<p>Failure to fulfil one or more requirements of the management system standard or a situation that raises significant doubt about the ability of the client's management system to achieve its intended outputs. (Classification: Major nonconformities)</p> <ul style="list-style-type: none"> •“ Corrections (immediate solution) of the audit finding are to be implemented • The causes of the identified nonconformities shall be analyzed • Corrective actions for the causes of the nonconformities shall be effectively implemented prior to the decision on certificate issue/renewal • The auditor generally verifies the effectiveness of corrective action in an on-site re-audit unless verification is possible on the basis of submitted new documentation.
Minor nonconformities (MiN):	<p>In individual cases some of the requirements of the management-system standard are not fulfilled completely. However, this does not jeopardize the effectiveness of the requirements of the management-system element (chapter of the standard). (Classification: Minor nonconformities)</p> <ul style="list-style-type: none"> • Corrections (immediate solution) of the audit finding are to be implemented • The causes of the identified nonconformities shall be analyzed • The lead auditor is to be informed of the intended corrective actions for the causes of the nonconformities within 14 days prior to the decision on certificate issue/renewal • The lead auditor evaluates the submitted corrective actions and confirms acceptance thereof. The implementation of the corrective actions will be verified in the next audit.
Opportunities for improvement (I):	<p>Aspects that would lead to management system optimization with respect to a requirement of the standard. (Basic requirement for the identification and recording of opportunities for improvement is that the requirements of the standard regarding the process element have been fulfilled but that there are still areas for potential improvement of system effectiveness and efficiency. Implementation by the organization is recommended.)</p>
Positive aspects (P):	<p>Positive aspects of the management system meriting special mention All elements of the standard in each clause of the standard were found to be "in conformity/effective" except for those elements of the standard for which this action list includes nonconformities or minor nonconformities.</p>



Management Service

Audit Report

Annex 1: Action List including opportunities for improvement and positive aspects

Order no.: 4153243709 Client no.: 371666-01

Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE

Action List

The following table shall be used for all findings recorded by the audit team during an audit (certification, change, repeat, sample, special or surveillance)

Nonconformities:

Clause no.	Process	Findings		Results of root cause analysis* <i>(to be completed by client in case of NC and MIN)</i>	Intended correction and corrective action (CA)* <i>(incl. due dates and responsible)</i> <i>(to be completed by client)</i>	Evaluation of CA		
		Description <i>(to be completed by auditor)</i>	Type NC/MIN			Date	Effective (E) / Accepted (A)**	Evidence provided <i>(only for NC findings)***</i>
		Requirement (if not covered by clause number): Finding: Supporting audit evidence: NIL			Immediate solution for the correction of the finding: Corrective Action to eliminate the cause:			

Note 1: Root cause analysis and corrective action are only mandatory for NC or MIN findings.

* see "Guideline for Corrective Actions Acceptance" at end of document for further assistance

** The intended corrections and implemented corrective actions have to be verified. The Auditor shall evaluate "Effective" (E) in the case of NC and "Accepted" in the case of corrections for MIN findings, if appropriate.

*** A NC requires a re-audit, during which the corrective actions are evaluated for effectiveness.



Management Service

Audit Report Annex 1: Action List including opportunities for improvement and positive aspects

Order no.: 4153243709 Client no.: 371666-01
Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE

Clause no.	Process	Findings		Action for optimization <i>(optional for client to fill out)</i>		
		Description <i>(to be completed by auditor)</i>	Type <i>I/P</i>	Action	Responsible	Date
5.0	Leadership	Finding: Teachers Dairy . Student Coonselling Record Vridhi sftware -Admissin, Library , I card Mentor -Mently Conucelling . NAACC Accreditation with A Grade . Safety awareness test of students (Science) System is established for Students login in Computer Lab is evident. However may be review to Make it individual instead of class wise .	P			
8.5.1	Education					



Management Service

Audit Report Annex 1: Action List including opportunities for improvement and positive aspects

Order no.: 4153243709 Client no.: 371666-01
Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE

General

If Minor nonconformities identified in the last audit are not closed in an acceptable manner, they must be rated as Nonconformities (re-audit required).

Information on findings management in sampling and multi-site certification

The management representative of the central office must check whether systematic corrective actions to close a root cause can be applied in a preventive manner to other affected sites. This is required for findings from internal and external audits.

In sampling certification, the TMS auditor will select and audit other sites in the next audit cycle and consequently cannot verify on site the effectiveness of the corrective actions from the last audit cycle.

Given this, during the next internal audits carried out at the sites concerned, the management representative of the central office must verify on site the effectiveness/acceptance of the corrective actions taken to address **Nonconformities**, **Minor nonconformities** and **Opportunities for improvement**, if any.

The results must be recorded and submitted to the TMS auditor at the next audit to ensure the auditor can verify the effectiveness of the corrective actions initiated.



Audit Report Annex 1: Action List including opportunities for improvement and positive aspects

Order no.: 4153243709 Client no.: 371666-01
Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE

Guideline for Corrective Actions Acceptance

Objective: The purpose of this section is to provide a consistent set of criteria for the development, acceptance and implementation of corrective action responses. These guidelines apply to all standards on the basis of the ISO 17021 (i.e. QMS, EMS, AMS, ENMS). They are intended for TUV-SUD auditors and audited organizations to help them understand how nonconformities should be addressed.

1. Was correction to eliminate existing finding completed?

Describe corrections for NC and MiN taken under "Intended correction and corrective action".

e.g.: Completed missing internal audits; Conducted supplier evaluations; Segregated nonconforming material, etc.
Provide evidence that actions were planned, taken and are effective.

2. Have the appropriate root causes been identified? Consider the following:

- what caused the actual nonconformity (for NC and MiN) (occurrence of systematic failure)?
 - what allowed the problem to occur without being detected internally?
 - which part of the organization's processes failed to address this issue or is the organization lacking a specific process, method, etc.?
 - is the nonconformity also applicable/found in other sites (in case of multi-site and sampling certification)?
- The cause shall not be a repeat or a rewording of the nonconformity statement nor of the objective evidence.
e.g.: apply the 5-Why method for root cause analysis

3. Has a corrective action been determined for each identified root cause? Each root cause must have at least one identified corrective action that eliminates / addresses the specific cause(s) and prevents recurrence of the nonconformity.

In the case of multi-sites and sampling certification, verify if the corrective action can be applied in other sites as well.

4. Has appropriate evidence been provided to verify that actions taken have been implemented and are effective?

It is the responsibility of the organization to provide evidence of internal verification of the corrective action(s), or a plan to do so. The Lead Auditor will provide due dates for submitting evidence of implementation. This could vary depending on the circumstances and standards involved.

Audit Report (combined) Annex 2: Site specific information

Order no.: 4153243709 Client no.: 371666-01
Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE



Management Service

Characteristics of sites within the designated scope of certification

*For multi-site organizations to be filled in for each site audited and to be updated for each audit!
(Exceptions for ISO 50001: For the stage 1 audit, the site specific information must be provided for all sites of a multi-site organization, not only those sites audited.)*

Site:	MES'S ARTS, COMMERCE AND SCIENCE COLLEGE, SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA, SONAI. DIST:AHMEDNAGAR INDIA
Date of data collection:	25,02,19
Integration of the management system (MS) / documented information:	<input checked="" type="checkbox"/> Independent MS without interaction with other management systems <input type="checkbox"/> Independent MS with interaction with other management systems <input type="checkbox"/> Integrated management system
Site specific scope:	TO PROVIDE EDUCATION TO UG & PG STUDENTS UNDER FACULTY OF ARTS, SCIENCE AND COMMERCE
Products /Services:	Education
No. of employees (total / effective per standard):	70 Nos / 70 Nos
Similarity of shift working scheme:	<input checked="" type="checkbox"/> Not applicable <input type="checkbox"/> The character of each shift is mainly the same with regard to processes and/or environmental impacts and/or OH&S risks <input type="checkbox"/> The shifts differ significantly with regard to processes and/or environmental impacts and/or OH&S risks; at least the change-over of shifts must be audited in order to track the character of each shift
Temporary sites/projects:	<input checked="" type="checkbox"/> Not applicable <input type="checkbox"/> Applicable

Audit Report (combined) Annex 2: Site specific information

Order no.: 4153243709 Client no.: 371666-01
Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE



Management Service

ISO 9001																					
Requirements of this International Standard which cannot be applied:	8.3 Design and Development (Syllabus Course is design by the University)																				
Quality relevant manufacturing/realization processes:	Teaching, Learning, Admission, Examination, Student Section																				
Risk category (low/medium/high):	Low																				
Significant KPI's and trends:	<p>Comments: (16-17) (17-18) 75%</p> <p>Students Satisfaction 95.5% 77.16%</p> <p>University Result Trends</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>Target</th> <th>16-17 Yr.</th> <th>(17-18) Yr</th> </tr> </thead> <tbody> <tr> <td>BSc</td> <td>60%</td> <td>57.89%</td> <td>60.13%</td> </tr> <tr> <td>BCom</td> <td>70%</td> <td>49.27%</td> <td>53.22%</td> </tr> <tr> <td>MA</td> <td>80%</td> <td>86.84%</td> <td>100%</td> </tr> <tr> <td>MCom</td> <td>90%</td> <td>96.96%</td> <td>82.5%</td> </tr> </tbody> </table>		Target	16-17 Yr.	(17-18) Yr	BSc	60%	57.89%	60.13%	BCom	70%	49.27%	53.22%	MA	80%	86.84%	100%	MCom	90%	96.96%	82.5%
	Target	16-17 Yr.	(17-18) Yr																		
BSc	60%	57.89%	60.13%																		
BCom	70%	49.27%	53.22%																		
MA	80%	86.84%	100%																		
MCom	90%	96.96%	82.5%																		
Quality objectives:	<p>Min. of 2 ex.:</p> <p>Admission T- 90% , A- 97%</p> <p>Nacc Accreditation T- A grade , A- A Grade</p>																				
Relevant compliance obligations / Significant legal requirements with regard to processes/ products/ services:	<p>Extract from the list of relevant laws and regulatory requirements (if applicable):</p> <p>Affiliated to Savitribai Phule Pune University, (I.D.PU/AN/ASC/031/1989); NAAC REACCREDITED 'A' GRADE</p>																				

Audit Report (combined)

Annex 3: Audit program / audited elements



Company: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE
 Client-no.: 371666-01
 Order-no.: 4153243709

The audit program for the certification cycle shall cover the complete management system requirements:

This table is to be updated by the (Lead) Auditor after every audit
 P = Planned to be completed for all audits during Certification/Re-certification Audit; C = Completed

Processes The processes to the right <i>Shall</i> reflect the customer's		i.e.: Management Process		i.e.: Core Process			
		Strategic Management	QM-System/EMS	Teaching	Admission	Maintenance & Utility	Purchase / Stores / Library
Clauses of the int. Standard							
Audit cycle	Certification (C)	P	P	P	P	P	P
		C	C	C	C	C	C
	1st Surveillance (S)	P	P	P	P		P
		C					
	2nd Surveillance (S)	P	P	P	P	P	
		C					
	Re-certification (R)	P	P	P	P	P	P
		C					
4.1	Context of the organization	P	C	C			
4.2	Interested parties	P	C	C			
4.3	Scope	P	C	C			
4.4	Processes of the QMS	P	C	C			
5.1	<i>Leadership and commitment</i>	P	C	C			
5.1.2	Customer focus	P	C	C			
5.2	Quality/ Env. policy	P	C	C			
5.3	Roles and responsibilities	P	C	C		C	
6.1	<i>Actions to risks and opportunities</i>	P	C	C		C	
6.2	<i>Quality objectives</i>	P	C	C	C	C	C
6.3	Planning of changes	P	C	C			

Audit Report (combined)

Annex 3: Audit program / audited elements

Company: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE
 Client-no.: 371666-01
 Order-no.: 4153243709



The audit program for the certification cycle shall cover the complete management system requirements:

This table is to be updated by the (Lead) Auditor after every audit

P = Planned to be completed for all audits during Certification/Re-certification Audit; C = Completed

Clauses of the int. Standard		Processes The processes to the right <i>Shall</i> reflect the customer's	i.e.: Management Process		i.e.: Core Process			
			Strategic Management	QM-System/EMS	Teaching	Admission	Maintenance & Utility	Purchase / Stores / Library
7.1	Resources	P	C	C				
7.1.2	People	P	C	C				
7.1.3	Infrastructure	P	C	C			C	
7.1.4	Environment	P	C	C			C	
7.1.5	Monitoring and measuring ressources	P	C	C			C	C
7.1.6	Organisatzional knowledge	P	C	C				
7.2	Competence	P	C	C				
7.3	Awareness	P	C	C				
7.4	Communication	P	C	C				
7.5	<u>Documented information</u>	P	C	C				
8.1	<u>Planning and control</u>	P	C	C				
8.2.1	Customer communication	P	C	C				C
8.2.2	Requirements related to products	P	C	C				C
8.2.3	Review of requirements	P	C	C				C
8.2.4	<u>Changes to requirements for products and services</u> (only	P	C	C				C

Audit Report (combined)

Annex 3: Audit program / audited elements



Company: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE
 Client-no.: 371666-01
 Order-no.: 4153243709

The audit program for the certification cycle shall cover the complete management system requirements:

This table is to be updated by the (Lead) Auditor after every audit

P = Planned to be completed for all audits during Certification/Re-certification Audit; C = Completed

Processes The processes to the right <i>Shall</i> reflect the customer's			i.e.: Management Process		i.e.: Core Process			
			Strategic Management	QM-System/EMS	Teaching	Admission	Maintenance & Utility	Purchase / Stores / Library
Clauses of the int. Standard								
8.3	Design and development	P						
8.4	Control of external products	P	C	C				C
8.5	Production and service provision	P	C	C				C
8.5.5	Post-delivery activities	P	C	C				
8.6	Release	P	C	C				C
8.7	Control of nonconforming products	P	C	C				C
9.1	<u>Monitoring, measurement, analysis and evaluation</u>	P	C	C				C
9.1.2	<u>Customer satisfaction</u>	P	C	C				C
9.1.3	Analysis and evaluation	P	C	C				C
9.2	<u>Internal audit</u>	P	C	C				
9.3	<u>Management review</u>	P	C	C				
10	<u>Improvement</u>	P	C	C	C	C	C	C
X1	<u>Use of marks</u>	P						
X2	<u>Actions taken on NCs during last audit</u>	P	C	C				
X3	<u>Treatment of complaints</u>	P	C	C				

Audit Report (combined)

Annex 3: Audit program / audited elements

Company: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE
 Client-no.: 371666-01
 Order-no.: 4153243709



The audit program for the certification cycle shall cover the complete management system requirements:

This table is to be updated by the (Lead) Auditor after every audit
 P = Planned to be completed for all audits during Certification/Re-certification Audit; C = Completed

Processes The processes to the right <i>Shall</i> reflect the customer's	i.e.: Management Process		i.e.: Core Process			
	Strategic Management	QM-System/EMS	Teaching	Admission	Maintenance & Utility	Purchase / Stores / Library
Clauses of the int. Standard						
X4 <u>Effectiveness of the management system in achieving the objectives and intended results</u>	P	G	C			

Note: the marked clauses (grey shades) are to be audited during every audit!