



Mula Education Society's

**ARTS, COMMERCE AND SCIENCE COLLEGE, SONAI**

Tal. Newasa, Dist- Ahmednagar – 414105



Ph.: 02427-231384 Email: sonaicollege@yahoo.co.in, mesacsccollege@gmail.com Website: www.acssonaicollege.com  
Affiliated to Savitribai Phule Pune University, Pune (I.D.PU/AN/ASC/031/1989)

NAAC Re-accredited with 'A' Grade, DBT Star College Scheme, ISO 9001: 2015 Certified, AISHE Code – C-42096

ADM / R-25

Rev.: 00 Date: 15-06-2018

List of Records

Clause: 7.2

Page: 02 / 04

Date: 23/09/2020

## सूचना

(ISO 9001 : 2015 Internal Audit)

महाविद्यालयातील सर्व शिक्षक, शिक्षकेतर कर्मचारी व आयएसओ ऑडिटर यांना सूचित करण्यात येते की, दिनांक २५.०९.२०२० रोजी ISO 9001 : 2015 या प्रणालीचे अंतर्गत ऑडिट सोबत जोडलेल्या वेळापत्रकाप्रमाणे आयोजित केले आहे. या अनुषंगाने संबंधित सर्व कर्मचाऱ्यांनी आपल्या विभागातील अंतर्गत ऑडिट वेळापत्रकानुसार करून घ्यावे. ऑडिटसाठी लागणारे फॉर्मेट आयएसओ समन्वयक डॉ. ज्ञानदेव झिने यांचेकडून घ्यावेत व ऑडिट झाल्यानंतर सदर ऑडिट रिपोर्ट त्वरित आयएसओ विभागामध्ये जमा करावेत.

डॉ. ज्ञानदेव झिने  
आयएसओ समन्वयक

डॉ. शंकर लावरे

प्रचार्य  
PRINCIPAL

Mula Education Society's  
Arts, Commerce & Science College,  
Sonai, Tal. Newasa, Dist. A' Nagar-414105



Mula Education Society's  
**Arts, Commerce & Science College, Sonai.**

**ISO 9001:2015 INTERNAL AUDIT SCHEDULE**

QMS/DI/07  
Rev.00 Dt. 15-06-18

Date of Schedule: 25.09.2020

Date of Audit	Timing	Department	Auditee	Auditor	Applicable clauses
25.09.2020	10.00 am to 1.00 pm	Arts Faculty	Dr. M.G. Varpe	Dr Varpe M.G.,	4.4/6.1, 6.2, 5.3, 7.1.4,
			Dr. S.S. Darade	Dr. B.G. Khedkar	7.1.6, 7.2, 7.3, 7.5, 8.1,
	Arts Faculty	Dr. A.V. Salve	Dr. A.V. Salve	8.4, 8.5.1, 8.5.2, 8.5.3,	
		Dr. S.B. Choudhare	Dr. B.G. Khedkar	8.5.4, 8.6, 8.7, 9.1.1,	
	Arts Faculty	Dr. N.V. Misal	Dr. N.V. Misal	9.1.3, 10.3, 8.5.6, 9.1.2,	
		10.2			
	10.00 am to 1.00 pm	Commerce Faculty	Dr. S.R. Darandale	Mr. V.R. Phatake	4.4/6.1, 6.2, 5.3, 7.1.4,
			Dr. S.R. Roundal	Dr. A.V. Salve	7.1.6, 7.2, 7.3, 7.5, 8.1,
	Commerce Faculty	Mr. L.R. Sayyed	Mr. L.R. Sayyed	8.4, 8.5.1, 8.5.2, 8.5.3,	
		8.5.4, 8.6, 8.7, 9.1.1,		9.1.3, 10.3, 8.5.6, 9.1.2,	
10.2					
<b>Science</b>					
10.00 am to 1.00 pm	Science Faculty	Dr. M.J. Shaikh	Dr. S.R. Darandale	4.4/6.1, 6.2, 5.3, 7.1.4,	
		Mr. V.R. Phatake	Mr. S.L. Adamane	7.1.6, 7.2, 7.3, 7.5, 8.1,	
Science Faculty	Dr. A.R. Tuwar	Dr. A.R. Tuwar	8.4, 8.5.1, 8.5.2, 8.5.3,		
	Dr. H.K. Sadekar	Dr. H.K. Sadekar	8.5.4, 8.6, 8.7, 9.1.1,		
Science Faculty	Dr. R.V. Wagh	Dr. R.V. Wagh	9.1.3, 10.3, 8.5.6, 9.1.2,		
	10.2				
<b>Senior College Science</b>					
10.00 am to 1.00 pm	Administration	Mr. B.B. Mali	Mr. T. B. Jadhav	4.4/6.1, 5.3, 6.2, 7.1.1,	
1.00 am to 2.00 pm	<b>Lunch Break</b>				7.1.2, 7.1.3, 7.1.4, 7.3,
				7.5, 8.1, 8.2, 8.4, 8.5.1,	
				8.5.2, 8.5.4, 8.7, 9.1.1,	
				9.1.3, 10.2, 10.3	

Note: Please Co-operate if the time extend beyond 5 P.M





Mula Education Society's  
Arts, Commerce & Science College, Sonai.

QMS/DI/07  
Rev.00 Dt. 15-06-18

INTERNAL AUDIT SCHEDULE

Page 02 / 02

Date of Schedule: 25.09.2020

Date of Audit	Timing	Department	Auditee	Auditor	Applicable Clauses
25.09.2020	09.00 am to 10.00 am	Library	Dr. Darandale S A	Dr. H.K. Sadekar Mr. Y.B. Salve	4.4/6.1, 6.2, 5.3, 7.1.3, 7.1.4, 7.1.5, 7.1.6, 7.2, 7.3, 7.5, 8.1, 8.4, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.6, 8.7, 9.1.1, 9.1.3, 10.3, 8.5.6, 9.1.2, 10.2
		Sports	Dr. Khandare R.B.	Dr. A.V. Salve Dr. S.A. Darandale	4.4/6.1, 6.2, 5.3, 7.1.3, 7.1.4, 7.1.5, 7.1.6, 7.2, 7.3, 7.5, 8.1, 8.4, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.6, 8.7, 9.1.1, 9.1.3, 10.3, 8.5.6, 9.1.2, 10.2
	12.00 pm to 1.00 pm	Top Management & QMS Coordinator	Dr. D.E. Zine	Dr. S.R. Darandale	4.1/6.1, 4.2/6.1, 4.3, 4.4, 5.1, 5.2, 5.3, 6.2, 6.3, 7.1.1, 7.5, 9.2, 9.3, 10.1, 10.3

Management Review Meeting: 25.09.2020 @ 3.00 pm to 4.00 pm

  
Prepared by QMS Co-ordinator



  
Approved by Principal  
PRINCIPAL  
Mula Education Society's  
Arts, Commerce & Science College,  
Sonai, Tal. Newasa, Dist. A'Nagar-414105



Mula Education Society's  
Arts, Commerce & Science College, Sonai.

INTERNAL AUDIT SCHEDULE

Page 02 / 02

QMS/DV07

Rev.00 Dt. 15-06-18

Date of Schedule: 25.09.2020

Date of Audit	Timing	Department	Auditee	Auditor	Applicable Clauses
25.09.2020	09.00 am to 10.00 am	Library	Dr. Darandale S A	Dr. H.K. Sadekar Mr. Y.B. Salve	4.4/6.1, 6.2, 5.3, 7.1.3, 7.1.4, 7.1.5, 7.1.6, 7.2, 7.3, 7.5, 8.1, 8.4, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.6, 8.7, 9.1.1, 9.1.3, 10.3, 8.5.6, 9.1.2, 10.2
		Sports	Dr. Khandare R.B.	Dr. A.V. Salve Dr. S.A. Darandale	4.4/6.1, 6.2, 5.3, 7.1.3, 7.1.4, 7.1.5, 7.1.6, 7.2, 7.3, 7.5, 8.1, 8.4, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.6, 8.7, 9.1.1, 9.1.3, 10.3, 8.5.6, 9.1.2, 10.2
	12.00 pm to 1.00 pm	Top Management & QMS Coordinator	Dr. D.E. Zine	Dr. S.R. Darandale	4.1/6.1, 4.2/6.1, 4.3, 4.4, 5.1, 5.2, 5.3, 6.2, 6.3, 7.1.1, 7.5, 9.2, 9.3, 10.1, 10.3

Management Review Meeting: 25.09.2020 @ 3.00 pm to 4.00 pm

Prepared by QMS Co-ordinator



Approved By PRINCIPAL

Mula Education Society's  
Arts, Commerce & Science College,  
Sonai, Tal. Newasa, Dist. A. Nagar-414105



ADM / R-25

List of Records

Rev.: 00 Date: 15-06-2018

Clause: 7.2

Page: 02 / 04

Date: 24/03/2021

## सूचना

( ISO Surveillance Audit )

महाविद्यालयातील सर्व विभाग प्रमुखांना सूचित करण्यात येते की, शुक्रवार दि. २६ मार्च २०२१ रोजी आपल्या महाविद्यालयाचे आयएसओ ISO Surveillance ऑडिट होणार आहे. ऑडिटर श्री शिरीष सोहनी हे रिमोट ऑडिट (ऑनलाइन) करणार आहेत. तरी आपल्या विभागाचे आयएसओ रेकॉर्ड अद्यावत ठेवावे.

**PRINCIPAL**

**Mula Education Society's**  
**Arts, Commerce & Science College,**  
Sonai, Tal. Newasa, Dist. A' Nagar-414105

# Audit Plan

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



Management Service

Audit type (standard / Revision):	I. Surveillance Audit (Extraord. Event (IAF)) (ISO 9001:2015)
Audit date (on site):	2020-09-22 - 2020-09-22 [2020-04-14] (Remote audit through MS Teams)
Company / customer:	MES'S ARTS, COMMERCE AND SCIENCE COLLEGE
Street / P.O. box:	SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA
Zip code / state / city:	IN-414105 DIST:AHMEDNAGAR
Audit representative:	MR. DNYANDEV ZINE
Lead auditor/ auditor:	Prasad Kulkarni (PK) / Shivaram Sonah (SS)
Auditor Reg. No.: (Mainland China only)	--
Technical expert/ trainee:	--/ --
Interpreter:	--
Observer:	--
Audit language:	English, Hindi, Marathi
Scope of certification:	TO PROVIDE EDUCATION TO UG & PG STUDENTS UNDER FACULTY OF ARTS, COMMERCE, AND SCIENCE
Branch scope (EA/NACE Code):	EA 37
Number of shifts audited:	1/1
Audit time on site (per standard):	
In the case of <b>multi-site certification</b> , please see <b>attached</b> "Multiple-Site / Sampling (Matrix) Certification Plan"	
MES'S ARTS, COMMERCE AND SCIENCE COLLEGE SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA  IN - 414105 DIST:AHMEDNAGAR	ISO 9001 (10 h)

Audit plan agreed: 2020-09-15  
 Date: Prasad Kulkarni  
 Lead Auditor(s)

Audit plan revised:    
 Date:    
 Lead Auditor(s)



# Audit Plan

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



Management Service



# Audit Plan

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



Management Service

## 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)

Matrix or multi-site certification based on sampling (see Multi-site plan)

Certificate transfer

Combined / integrated certification

Special audit

Migration/ Transition/ Conversion Audit

Others (please add) Remote Audit under extra ordinary event of Covid-19 Situation

### 1.2 Audit objectives

Based on audit criteria, the requirements of the Standard under certification/ audit, the company's internal documented information and the regulations of the certification body, the following audit objectives shall be considered:

- Determination of the extent of conformity of the management system, or those parts applicable of it, with audit criteria.
- Evaluation of the capability of the management system to ensure compliance with 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.
- Identification of areas for potential improvement of the management system.
- Evaluation of the management's responsibility for the company's policies.
- Evaluation of the links between the standard requirements and the management system requirements.
- Evaluation of the operational control of processes, including internal audits and management review.

### 1.3 Data processing information:

As course of the audit personal data will be processed. Further details can be found in our "Datenschutzerklärung" (Data Protection Declaration) (effective date 05 Apr 2019). Please make this data protection information available to all persons involved in the audit before the start of the audit.





## Audit Plan

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

### 2 Audit Plan

Date (dd/mm/yy)	Time (hour)	Process / Location / Organizational unit	Process owner / company's resp./ individual(s) involved	Audit criteria / clause(s)	Auditor(s)
Location : Remote audit through "Microsoft Teams" Link provided by TUV SUD No. of meeting link: 2					
22/09/20	10.00-10.30	Opening Meeting	All concern auditee		PK,SS-Link1
22/09/20	10.30-11.00	Top Management		4.1,4.2,4.3,4.4,5.1,5.2,5.3,6.1,6.2,6.3,7.1.4,7.1.9.2	PK,SS Link 1
22/09/20	11.00-13.00	Administration - Communications, Affiliations Customer related process -Admissions, Parent, student satisfaction		7.1.2, 7.4, 7.1.3,7.1.4,7.1.6,8.1, 8.5.1,6.1,8.2.1,8.2.2,8.2.3,8.2.4,9.1.2,	PK-LINK 1
22/09/20	11.00-13.00	Academics - Planning, Teaching, Internal monitoring, Examination.		8.1, 8.5.1,8.5.2,8.5.3,8.5.4, 8.5.5,8.5.6,8.7,4.1,4.2, 6.1,8.5.1,8.5.2,7.1.5,7.1.4,8.6,	SS-LINK 2
22/09/20	13.00-13.30	Lunch			
22/09/20	13.30-15.00	Purchase & Stores		4.1,4.2,6.1,8.4.1,8.4.2, 8.4.3,9.1.3	SS-LINK 2
22/09/20	13.30-15.00	QMS – Co-ordinator – MRM, Internal audits, Control of documents, Context of the organization, Risk Assessment		4.1,4.2,4.3,4.4,5.1,5.2, 6.1, 6.2,6.3,7.5,9.1,9.2,9.3, 10.2,10.3	PK-LINK 1
22/09/20	15.00-15.15	Auditor Time / Reporting			
22/09/20	15.15-15.30	Closing meeting	All concern auditee		PK,SS Link 1

\*) Processes shall reflect the client's current management system;  
ISO 50001: A process related to the activities of an organization may be: physical (e. g. energy-using process, such as production process; significant energy uses) or business or service related (e. g. order fulfillment).

**Note 1:** If Information and Communication Technology (ICT)/remote-Audit techniques are scheduled in the audit plan, the use of ICT/remote-Audit techniques are agreed upon with acceptance of the audit plan.

**Note 2:** This plan is to be used for every audit after stage 1

# Audit Plan

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



Management Service

## 3 Hints

The client shall notify the (Lead) Auditor of any significant organizational / headcount changes since the last audit.

### 3.1 Hints for the auditor(s)

If manufacturing is carried out continuously by means of shift work (e.g. in the chemical industry, metal working, energy production), the change-over of shifts should be covered within the audit. For OH&SMS, at least one of the shifts inside and one outside of regular office hours shall be audited during the first cycle of certification.

Time should be allocated in the plan to discuss the previous audit findings (if applicable).

If performing an integrated audit that includes more than one audit criteria (ISO 9001, ISO 14001, OH&SMS, ISO 50001), the audit plan must clearly show those areas / processes where multiple criteria are being covered at the same time. The time spent auditing each specific criterion also needs to be recorded on the audit plan.

### 3.2 Hints for the auditor(s) and for the customer

The audit results of the previous two audits must be considered when determining the recent audit topics (e.g. during interview with the responsible personnel for the management system).

[REDACTED]  
management representative shall invite "legally responsible for occupational health and safety" (e.g. Safety officer, Occupier as per factory act, etc.), personnel responsible for monitoring employees' health (e.g. Doctor, Nurse, EHS rep, etc.) for Closing meeting mandatory. Reason in case of absence shall be documented (in list of participants or audit plan) by Lead auditor.

Name of personnel interviewed shall be mentioned in audit question list or audit plan, which shall include at least one member from managers, temporary & permanent employees, contractor's employee, personnel responsible for health & safety (doctor, nurse) (reason in case of remote auditing shall be documented), employee's representative, management with legal responsibility for OH&S (e.g. Safety officer, Occupier, etc.)

### 3.3 Hints for the customer

Inform the certification body if any additional processes or activities should be included in this audit plan.

The audit team should be provided with the following resources and facilities needed to conduct an effective audit:

- A room where it can hold meetings and lead discussions
- Special personal protection equipment which goes beyond the auditors' basic equipment (e.g. helmet, safety shoes, safety goggles) must be provided by the client organization.
- Well in advance of the audit, the client organization and the (lead) auditor must agree on any personal protection equipment, emergency response and safety procedures that may be necessary for the audit.



## Audit Plan

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



Management Service

- An audit representative or attendant, if agreed, to accompany the auditors throughout the entire audit
- The company is required to show evidence to demonstrate compliance to objectives mentioned above.
- The company shall notify the Lead Auditor of any significant organizational / headcount changes since the last audit.
- The company shall notify if the audit team should modify the audit plan.
- TÜV SÜD Code of Ethics is available on:
- <http://www.tuev-sued.de/company/tuev-sued-group/code-of-ethics>

### Observers:

Observers may be members of the client organization, consultants, witness auditors of the accreditation body, senior auditors of the certification body in charge of monitoring, staff of regulatory authorities or other authorized persons.

The presence of and the reasons for observers during the audit must be approved by the certification body and the client before the start of the audit.

The audit team must ensure that the observers will not disrupt the audit process or influence the audit result.

### Attendant(s):

Unless agreed otherwise between the (lead) auditor and the client, every auditor must be accompanied by an attendant to support the audit. The audit team must ensure that the attendants will not disrupt the audit process or influence the audit result.

The responsibilities of an attendant include but are not limited to:

- Establishing the contacts and scheduling interviews
- Organizing visits to specific parts of the site or the organization
- Witnessing audits on behalf of the client
- Providing information to clarify questions on the auditors' request

\_\_\_\_\_

Audit team members  
Certification body  
Client



## Audit Report (combined) Annex 3: Audit program ISO 9001



Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE  
Client no.: 3371666-01  
Order no.: 4153243709

The audit program for the certification cycle shall cover the complete management system requirements:  
(ISO 17021-1: 2015; 9.1.3.1)

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

Clauses of the int. Standard	Audit cycle			Special activities / aspects to audit (optional) free text	4.1	4.2	4.3	4.4	5.1	5.2	5.3	6.1	6.2	6.3	7.1	7.2	7.3	7.4	7.5	8.1	8.2	8.3	8.4	8.5	8.6	8.7	9.1	9.2	9.3	10	11	12	13	14	16	17			
	Certification (CA)	1st Surveillance (S)	2nd Surveillance (S)		Context of the organization	Interested parties	Scope QMS	Processes of the QMS	Leadership and commitment	Quality policy	Roles and responsibilities	Actions to risks and opportunities	Quality objectives	Planning of changes	Resources	Competence	Awareness	Communication	Documented information	Planning and control	Requirements for products and services	Design and development	Control of external products	Production and service provision	Release	Control of nonconforming products	Monitoring, measurement, analysis and evaluation	Internal audit	Management review	Improvement	The use of certificates and marks by the client	Customer complaints	Legal/statutory compliance and other requirements: examples	Corrective actions resulting from last audit (or during RA from the last two SA) have	Verification of KPIs	Corrective actions consider non-conformities of all sites (only for multi-			
Top Management/Leadership	X	X	X	2nd SA conducted through remotely and verification of below processes done through remote by documented information ,next audit shall be reviewed in detail with physical activities and implementation	X				X	X	X	X	X		X																								
QM-System (control of MS)	X	X	X		X	X	X	X				X	X	X					X								X	X	X	X	X	X			X	X			
Administration Process	X	X	X									X							X	X	X	X					X			X									
Academic Teaching Process	X	X	X									X								X	X					X	X	X	X			X							
Purchase / Stores Process	X	X	X									X								X	X				X				X										
H.R. process	X	X	X																				NA																X

Note: the **marked** requirements (grey shades) are mandatory clauses and to be audited during every audit!  
Note: the above listed processes/areas must be adjusted to the organization. Processes/Areas can be added/deleted.



## 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 management system 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.

#####

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.

### Note to customer

When a nonconformity occurs:

- determine if similar nonconformities exist or could potentially occur throughout the management system, or if this is only a singular case
- review the effectiveness of the corrective actions internally (e.g. internal audits)
- update risks and opportunities determined during planning, and their corresponding actions

## 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 TÜV-SÜD 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.



## Opportunities for improvement and positive aspects

No.	Standard	Clause no.	Type	Area / Process	Statement
1	371666-01 MES'S ARTS, COMMERCE AND SCIENCE COLLEGE, India - 414105 DIST:AHMEDNAGAR, SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA,				
	ISO 9001	5.1.1 (9K)	P	Management	All precaution for Covid19 , E platform used for all activity - Admission , Teaching , Exam , Result



## Nonconformities

All audit results gathered by the audit team during the audit (certification audit, special audit, change audit, recertification audit, re-audit, surveillance audit) shall be listed in the table below.

No.	1	Standard:	ISO 9001		Type:	
Site:	371666-01 MES'S ARTS, COMMERCE AND SCIENCE COLLEGE, India - 414105 DIST:AHMEDNAGAR, SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA,					
Clause no.		Process / area:				
Audit results: <i>(filled out by auditor)</i>	Finding:					
	Evidence:	NIL				
Action: <i>(filled out by organization)</i>						
Correction: <i>(immediate)</i>						
	when ?		who ?			
Root cause: <i>(Why did the nonconformity occur; no repetition of the finding)</i>						
Corrective: <i>(action to avoid repetition of root cause)</i>						
	when ?		who ?			
Auditor's decision of correction and corrective action: <i>(filled out by auditor)</i>						
Correction:	Date:		Effective (E) / Accepted (A)		Evidence of implementation:	
Corrective:	Date:		Effective (E) / Accepted (A)		Evidence of implementation:	

Note 1: Corrections / immediate actions (C) are a rapid solution to close the finding of nonconformity (NC) or (MiN)

Note 2: Root cause analysis is mandatory for major nonconformities (NC) and minor nonconformities (MiN)





- Note 3: Corrective actions (CA) serve to eliminate the root cause (RC) and not the finding
- Note 4: In the case of major nonconformities (NC) the effectiveness (E) of the corrective action (CA) has to be confirmed.  
In the case of a minor nonconformity (MiN), corrective actions have to be accepted (A).
- Note 5: In the case of major nonconformities (NC), the effectiveness of the corrective action (CA) shall be verified during a re-audit.



Management Service

## Action List

Organization name	MES'S ARTS, COMMERCE AND SCIENCE COLLEGE
Standard(s)	ISO 9001:2015
Order No.	4153243709
Audit start date	2021-03-26
Audit end date	2021-03-26
Audit type	2. Surveillance Audit (Extraord. Event (IAF))
Certification type	Single
Identification No.	371666-01

**Note:** the action list with the documented audit findings (major and minor nonconformities, opportunities for improvement and positive aspects) shall be handed over to the client at the end of the audit and not several days afterwards.

### General information:

All editable fields are shaded with a light cyan background.

**Mandatory fields are shaded with a light yellow background, as long as they are empty.**

Shading will change once field is filled out.

Upon printing the shaded backgrounds will turn white (This also occurs in the full screen preview).

Many fields are prefilled with data from iCert. **Please check them for correctness!**

For all rows the height is automatically set depending on their content. But any row height can be manually adjusted.

For a better print, the button "Optimize page breaks" should be used. This will automatically set page breaks at optimal row positions. Alternatively, page breaks can be set manually by using the excel view "Page Breaks Preview" on each page.

The button "Print report" creates a preview of all printable sheets. The printing should be done directly from the preview mode in PDF.

Client number / **mandatory field**



Management Service

## Action List

Organization name	MES'S ARTS, COMMERCE AND SCIENCE COLLEGE
Standard(s)	ISO 9001:2015
Order No.	4153243709
Audit start date	2021-03-26
Audit end date	2021-03-26
Audit type	2. Surveillance Audit (Extraord. Event (IAF))
Certification type	Single
Identification No.	371666-01

## Classification of Audit Findings

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:

### Nonconformity (NC):

Failure to fulfill one or more requirements of the management system standard, or a situation that raises significant doubts about the capability of the customer's management system to achieve its intended results. The auditor verifies in a re-audit that the nonconformity has been effectively closed.

### Minor nonconformity (MiN):

In individual cases, some of the requirements of the management system standard are not fulfilled completely. However, this does not affect the capability of the management system to achieve the intended results.

### Opportunity for improvement (I):

The requirement of the Standard has been effectively implemented, but system performance regarding the relevant requirement offers room for improvement in terms of effectiveness and efficiency. Implementation is recommended.

### Positive aspects (P):

Positive aspects of the management system meriting special mention.

Evaluation	Submission of corrections and corrective actions	Implementation of corrective actions
Opportunities for improvement (I):	Implementation only recommended	
Minor nonconformities (MiN)	Within 14 calendar days	By the next audit at the latest Verification in the next audit
Nonconformities (NC)	Within 14 calendar days	Within 90 calendar days Verification by re-audit

Note: Deadlines must be met in order to ensure the status of certification.

All elements in each clause of the Standard(s) were found to be "in conformity/effective" except for those elements of the Standard for which this document includes nonconformities or minor nonconformities.



South Asia

**Add value.  
Inspire trust.**

TÜV SÜD South Asia | Flat No. 06, Shree Sadan Apartment | Opp. Vikhe Patil Memorial School | D.G.P. Nagar – II | Nashik – 422010.

**Date: 12.04.2021**

**To,**  
**MES'S ARTS, COMMERCE AND SCIENCE COLLEGE**  
SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA,  
DIST:AHMEDNAGAR - 414105  
**Phone: 9767872427**

**Kind Attn:** Mr. Dnyandev Zine,

Dear Sir,

**Hearty Congratulations on your Surveillance Audit – ISO 9001:2015.**

**Please find enclosed herewith the following:**

- (i) Audit report – 2<sup>nd</sup> Surveillance Audit
- (ii) Schedule for the audits

It is to be ensured that the logo is used strictly as per the prescribed terms.

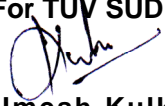
Kindly refer the document “Schedule of the audits” attached for better planning and execution of the upcoming audits.

Kindly acknowledge the receipt of the contents.

Thanking you,

Yours faithfully,

**For TÜV SÜD South Asia Pvt. Ltd.,**

  
**Umesh Kulkarni**  
**Senior Administrator**  
**(Mobile: 8451046583)**

## SCHEDULE FOR THE AUDITS

**Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE**  
**Customer No: 371666-01**  
**Certificate No: 9910019791**

As per the requirements Certification standards ISO 17021, the details of the next Audit are as given below:

Details	First Surveillance	Second Surveillance**	Recertification audit
Schedule For :	ISO 9001:2015	ISO 9001:2015	ISO 9001:2015
Target Date:			29.03.2022

**Target Date:** Is based on the last date of initial certification audit (stage 2).

- I) The first Annual Surveillance needs to be executed before completion of one year based on the target date.
  - In the case of the first surveillance audit, if the audit is not executed before Target Date the client falls under suspension. Thus a higher number of onsite auditor days shall be applicable proportional (depending on the delay) to the number of audit days for a surveillance audit.
  - Certificate shall stand withdrawn in case audit is not successfully cleared within 3 months from the date of Suspension.
- II) \*\*The Subsequent Surveillances are due by the Annual target dates.
  - Surveillance audits can be conducted up to +3 months after the target date.
  - If the audit is not successfully executed, within 3 months of the target date the client falls under suspension. Thus a higher number of onsite auditor days shall be applicable proportional (depending on the delay) to the number of audit days for a surveillance audit.
  - Certificate will be withdrawn incase audit is not successfully accepted within 3 months from the date of Suspension.

For any further queries, please feel free to contact our branch office.

**Contact person: Umesh Kulkarni**

**Telephone nos.: 8451046583**

**Email id: [Umesh.Kulkarni@tuv-sud.com](mailto:Umesh.Kulkarni@tuv-sud.com) / [Nasik@tuv-sud.com](mailto:Nasik@tuv-sud.com)**



South Asia

**Add value.  
Inspire trust.**

TÜV SÜD South Asia | Flat No. 06, Shree Sadan Apartment | Opp. Vikhe Patil Memorial School | D.G.P. Nagar – II | Nashik – 422010.

**Date: 12.04.2021**

**To,**  
**MES'S ARTS, COMMERCE AND SCIENCE COLLEGE**  
SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA,  
DIST:AHMEDNAGAR - 414105  
**Phone: 9767872427**

**Kind Attn:** Mr. Dnyandev Zine,

Dear Sir,

**Hearty Congratulations on your Surveillance Audit – ISO 9001:2015.**

**Please find enclosed herewith the following:**

- (i) Audit report – 2<sup>nd</sup> Surveillance Audit
- (ii) Schedule for the audits

It is to be ensured that the logo is used strictly as per the prescribed terms.

Kindly refer the document “Schedule of the audits” attached for better planning and execution of the upcoming audits.

Kindly acknowledge the receipt of the contents.

Thanking you,

Yours faithfully,

**For TÜV SÜD South Asia Pvt. Ltd.,**

**Umesh Kulkarni**  
**Senior Administrator**  
**(Mobile: 8451046583)**

## SCHEDULE FOR THE AUDITS

**Client: MES'S ARTS, COMMERCE AND SCIENCE COLLEGE**  
**Customer No: 371666-01**  
**Certificate No: 9910019791**

As per the requirements Certification standards ISO 17021, the details of the next Audit are as given below:

Details	First Surveillance	Second Surveillance**	Recertification audit
Schedule For :	ISO 9001:2015	ISO 9001:2015	ISO 9001:2015
Target Date:			29.03.2022

**Target Date:** Is based on the last date of initial certification audit (stage 2).

- I) The first Annual Surveillance needs to be executed before completion of one year based on the target date.
  - In the case of the first surveillance audit, if the audit is not executed before Target Date the client falls under suspension. Thus a higher number of onsite auditor days shall be applicable proportional (depending on the delay) to the number of audit days for a surveillance audit.
  - Certificate shall stand withdrawn in case audit is not successfully cleared within 3 months from the date of Suspension.
- II) \*\*The Subsequent Surveillances are due by the Annual target dates.
  - Surveillance audits can be conducted up to +3 months after the target date.
  - If the audit is not successfully executed, within 3 months of the target date the client falls under suspension. Thus a higher number of onsite auditor days shall be applicable proportional (depending on the delay) to the number of audit days for a surveillance audit.
  - Certificate will be withdrawn incase audit is not successfully accepted within 3 months from the date of Suspension.

For any further queries, please feel free to contact our branch office.

**Contact person: Umesh Kulkarni**

**Telephone nos.: 8451046583**

**Email id: [Umesh.Kulkarni@tuv-sud.com](mailto:Umesh.Kulkarni@tuv-sud.com) / [Nasik@tuv-sud.com](mailto:Nasik@tuv-sud.com)**





South Asia

Add value.  
Inspire trust.

TÜV SÜD South Asia | Flat No. 06, Shree Sadan Apartment | Opp. Vikhe Patil Memorial School |  
D.G.P. Nagar – II | Nashik - 422010

Date: 12.11.2021

To,  
**MES'S ARTS, COMMERCE AND SCIENCE COLLEGE**  
SONAI-RAHURI ROAD, A/P:SONAI,TAL:NEWASA,  
DIST:AHMEDNAGAR - 414105  
**Phone: 9767872427**

**Kind Attn:** Mr. Dnyandev Zine,

**Subject: Intimation Letter – ISO 9001:2015 Repeat Audit**

**Reference: Order no. 4153243709**

In our efforts to serve you better, we would like to ensure that your audit is conducted and successfully reported well in advance in order to avoid violations of the regulations applicable to the relevant certification of your organisation; based on below guidelines.

Type Of Audit	Audit process to complete within**	In case of deviation
1 <sup>st</sup> Surveillance audit	Before/by due date	Suspension of certificate*
Further Surveillance audits	By due date / + 3 months from due date	Suspension of certificate*
Recertification	Before the earlier certificate expiry date	Expiry of certificate / Lapse of validity period

\*Progressive suspension of certificate would lead to "Withdrawal of certificate" in absence of conduct of audit.

\*\* Important to Note – Completion of audit process includes on-site audit, submission of corrective action plan and /or closure of all Major NCs until decision from certification unit.

**The 1<sup>st</sup> Repeat Audit** shall be due on **20/04/2022**. We hereby request you to get in touch with the undersigned immediately for scheduling your audit.

In case above guidelines are not met, the status (Suspension/withdrawal of certificate) of your organization would be updated on TUV SUD web site - as per the requirements of the standard.

Attached herewith, please find the Questionnaire which you are requested to complete & submit the same well in advance. This is required to take care of any changes taken place in your organisation.

Thanking you.  
Sincerely,

For **TÜV SÜD South Asia Pvt. Ltd.**

**Umesh Kulkarni**  
Senior Administrator - Management System

**Encl: Questionnaire**

Issued By: Rahul Kale

Document No. TSSA\_CCU\_65

Revision No. 07

Issued on: 2019/08/12

PAN No.: AABCT0716G  
TAN No.: MUMT09385F  
Service Tax Code No.:  
AABCT0716GST001

**Headquarters:**  
TÜV SÜD South Asia Pvt. Ltd.  
TÜV SÜD House  
Off Saki Vihar Road  
Saki Naka, Andheri (East),  
Mumbai – 400072, India

E-mail: [info@tuv-sud.in](mailto:info@tuv-sud.in)  
[www.tuv-sud.in](http://www.tuv-sud.in)

**Branch information:**  
Telephone: +91-22-67545666  
Fax No.: +91-22-67545575

**TÜV®**