

|   |   |                     |             |
|---|---|---------------------|-------------|
| <br>© INDIAN REGISTER OF SHIPPING 1993 | <b>Indian Register Quality Systems</b><br>(A Division of IRCLASS Systems and Solutions Pvt. Ltd.) | IV IRQS:FORM:102:08 |             |
|   | <b>Audit Report For QMS / EMS / OHS / IMS Scheme(s)</b>   | Eff. Date           | : 28-03-19  |
|   |   | Developed by        | : NR        |
|   |   | Approved by         | : HEAD-IRQS |

|     |   |   |                           |                             |                           |
|-----|---|---|---------------------------|-----------------------------|---------------------------|
| 01) | <b>Name of the Client</b>   | St. Joseph's College of Engineering & Technology, Palai   |                           |                             |                           |
| 02) | <b>Address of HO &amp; Site(s)</b>                                  | Choondacherry PO<br>Kottayam Dist<br>Kottayam 686579<br>Kerala, India   |                           |                             |                           |
| 03) | <b>File Number</b>  | S02459/01/QMS   |                           |                             |                           |
| 04) | <b>Name of "Head of Organization" / Unit</b>                        | Dr. J David, Principal  |                           |                             |                           |
| 05) | <b>Name of Organization Representative coordinating with CB</b>     | Dr. Madhukumar S, Vice Principal  |                           |                             |                           |
| 06) | <b>Audit Criteria<br/>(strike out the standard not under audit)</b> | ISO 9001:2015   | <del>ISO 14001:2015</del> | <del>OHSAS 18001:2007</del> | <del>ISO 45001:2018</del> |
|     |   | <ul style="list-style-type: none"> <li>▪ Applicable legal &amp; other requirement.</li> <li>▪ Organization's procedures &amp; documented information in line with the respective standards.</li> </ul>  |                           |                             |                           |
| 07) | <b>Date of Audit</b>  | 23-Jul-19 - 24-Jul-19   |                           |                             |                           |
| 08) | <b>Type of Audit<br/>(strike out the standard not under audit)</b>  | Renewal<br><del>Joint/ Combined / Integrated</del>  |                           |                             |                           |
| 09) | <b>Audit Objective</b>  |   |                           |                             |                           |
|     | a)  | <b>Stage 2 Audit :</b><br>Is to evaluate the implementation including the effectiveness of the organization's implemented management system for the above criteria covering the following : <ul style="list-style-type: none"> <li>▪ Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents</li> <li>▪ Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document)</li> <li>▪ Organization's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements</li> <li>▪ operational control of the organization's processes</li> <li>▪ Internal auditing and management review</li> <li>▪ Management responsibility for the client's policies.</li> </ul> |                           |                             |                           |
|     | b)  | <b>Renewal Audit :</b><br>Is to evaluate the effectiveness of the organization's implemented management system for the above criteria covering the following : <ul style="list-style-type: none"> <li>▪ The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification</li> <li>▪ Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;</li> <li>▪ The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s)</li> </ul>  |                           |                             |                           |
|     | c)  | <b>Surveillance Audit :</b><br>Is to evaluate the effectiveness for maintenance of the organization's implemented management system for the above criteria covering the following : <ul style="list-style-type: none"> <li>▪ Internal audits and management review;</li> <li>▪ A review of actions taken on nonconformities identified during the previous audit;</li> <li>▪ complaints handling;</li> <li>▪ Effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);</li> <li>▪ Progress of planned activities aimed at continual improvement;</li> <li>▪ Continuing operational control;</li> <li>▪ Review of any changes</li> <li>▪ Use of marks and/or any other reference to certification</li> </ul>   |                           |                             |                           |

|     |   |   |                         |   |
|-----|---|---|-------------------------|---|
|     | d)  | <b>Special Audit :</b><br>a) For expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted.<br>b) To investigate complaints, or in response to changes, or as follow up on suspended clients<br>c) For upgradation to revised standards. |                         |   |
| 10) | <b>Changes to the audit objectives, audit scope or audit criteria (e.g. physical location, organizational units, activities and processes), if any: Please attach "Notice of Change"</b>                        |   |                         |   |
| ➡   | Nil   |   |                         |   |
| 11) | <b>Comment on the confirmation of the information provided (by the organization/Auditor Allocation Form)</b>  |   |                         |   |
| ➡   | <b>Scope of Certification</b>   | Providing Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electronics & Instrumentation, Electrical & Electronics and Mechanical.<br>Post Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electrical & Electronics and Mechanical.<br>Post Graduate Courses in Computer Application and Management. |                         |   |
|     | <b>Number of sites</b>  | One   |                         |   |
|     | <b>Number of employees associated with scope of certification (For Effective Number of Employees)</b>   | 250   |                         |   |
|     | <b>Current certification &amp; its validity</b>   | IRQS/18101340 & 28-Jul-19   |                         |   |
|     | <b>Design &amp; development</b>   | Not applicable  |                         |   |
|     | <b>Working in shifts</b>  | No  |                         |   |
|     | <b>Externally provided processes, products and services (Outsourced)</b>  | Guest lecturers and visiting professors based on specific requirement as and when required are identified as outsourced process.  |                         |   |
| 12) | <b>Audit Team Details</b><br>(Team Leader, Team Member, Provisional Auditor, Provisional Team Leader, Evaluator, Industry Expert Any accompanying persons; e.g. Guides, Observers, Translator, Facilitator etc) |   | <b>Name</b>             | <b>Role</b>   |
|     |   |   | Tomcee Thomas           | Team Leader   |
|     |   |   | Dr. Kuruvilla Jacob     | Auditor   |
|     |   |   | Biju Chandran           | Provisional Auditor   |
|     |   |   | Kakkanamveetil Krishnan | Industry Expert   |
|     |   |   |                         |   |
| 13) | <b>Audit conducted at [Physical location(s),as applicable]</b>  | <b>Address</b>  | <b>Date of Audit</b>    | <b>Functions/ Process(es) /Activities audited at the Location/Site</b>  |
|     | <b>Head office</b>  | Choondacherry PO Kottayam Dist Kottayam 686579 Kerala India   | 23-07-19 - 24-07-19     | MR & Top Management, Civil Theory & Lab, UG PG, Computer Science Theory & Lab, UG PG, Electronics & Communication Theory & Lab, UG PG, Electronics & Instrumentation Theory & Lab, UG, Electrical & Electronics Theory & Lab, UG PG, Mechanical Theory & Lab, UG PG, MBA, MCA, Science and Humanities, Library, Placement Cell, Physical Education, Office and Training |
|     | <b>Permanent site(s)</b>  |   |                         |   |
|     | <b>Temporary site(s)</b>  |   |                         |   |
| 14) | <b>To comment :</b>   |   |                         |   |

|    |  |
|----|--|
| a) | <b>Any deviation from audit plan and their reasons (if yes, please justify)</b>  |
| ➡  | All departments in the audit plan are assessed.  |
| b) | <b>Upon any adverse conditions faced during the audit (e.g.; power outage, Fire, Flood, specifically related to the condition of the sites affecting the auditing activities).</b> |
| ➡  | Nil  |

| <b>Audit Findings</b>  |   |  |   |                      |           |               |           |   |           |
|--|---|--|---|----------------------|-----------|---------------|-----------|---|-----------|
| <b>SEC A : Comments on the Effectiveness for the Closure of Previous Audit Findings:</b>   |   |  |   |                      |           |               |           |   |           |
| <b>Findings</b>  | <b>Comments on the effectiveness for the closure</b>  |  |   |                      |           |               |           |   |           |
| No. of Previous audit NCs:   | Nil   |  |   |                      |           |               |           |   |           |
| No. of Areas of Concerns raised during Stage 1:  | Nil   |  |   |                      |           |               |           |   |           |
| <b>SEC B : Management System(s)</b>  |   |  |   |                      |           |               |           |   |           |
| a)   | <b>Scope of Certification:</b> (If Multi-site audit, then scope as applicable at each site should be <u>verified [for Stage 2 from Stage 1 Audit Report and for Subsequent audit against the issued Certificate] &amp; reported</u> )   |  |   |                      |           |               |           |   |           |
| ➡  | <table border="1"> <tr> <td>General Scope as required on the final "Certificate of Approval"</td> <td>                     Providing Graduate Engineering Courses in Civil, Computer Science, Electronics &amp; Communication, Electronics &amp; Instrumentation, Electrical &amp; Electronics and Mechanical.<br/>                     Post Graduate Engineering Courses in Civil, Computer Science, Electronics &amp; Communication, Electrical &amp; Electronics and Mechanical.<br/>                     Post Graduate Courses in Computer Application and Management.                 </td> </tr> <tr> <td>Scope of Head Office</td> <td><u>NA</u></td> </tr> <tr> <td>Scope of Site</td> <td><u>NA</u></td> </tr> <tr> <td>Scope Support Office(s) / Location(s), if any</td> <td><u>NA</u></td> </tr> </table> | General Scope as required on the final "Certificate of Approval" | Providing Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electronics & Instrumentation, Electrical & Electronics and Mechanical.<br>Post Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electrical & Electronics and Mechanical.<br>Post Graduate Courses in Computer Application and Management. | Scope of Head Office | <u>NA</u> | Scope of Site | <u>NA</u> | Scope Support Office(s) / Location(s), if any | <u>NA</u> |
| General Scope as required on the final "Certificate of Approval"   | Providing Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electronics & Instrumentation, Electrical & Electronics and Mechanical.<br>Post Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electrical & Electronics and Mechanical.<br>Post Graduate Courses in Computer Application and Management.   |  |   |                      |           |               |           |   |           |
| Scope of Head Office   | <u>NA</u>   |  |   |                      |           |               |           |   |           |
| Scope of Site  | <u>NA</u>   |  |   |                      |           |               |           |   |           |
| Scope Support Office(s) / Location(s), if any  | <u>NA</u>   |  |   |                      |           |               |           |   |           |
| Non-Applicability of Clauses & Justification for the same  | <p>7.1.5.2 Measurement traceability, Calibration against measurement standards traceable to international or national measurement standards. : Instruments used for handling the practical sessions are demonstrative in nature hence only verification and controlling the monitoring and measuring devices prior to usage of the same for practical sessions are done., hence this clause is considered as not applicable.</p> <p>8.3 – Design and Development of products and services :- Institution is not involved in Design and development of courses and the syllabi which are decided by Kerala Technical University to which College is affiliated, hence this clause is considered as not applicable.</p>   |  |   |                      |           |               |           |   |           |
| Justification for the scope of certification [Brief description for scope verification highlighting on the process flow / activities involved for the scope. Provide at least one example for scope of certification.  |   |  |   |                      |           |               |           |   |           |
| <p>St.Joseph’s College of Engineering and Technology, Pala was established in 2002 by Diocese of Pala, is approved by AICTE and affiliated to KTU and MG university. College is offering Undergraduate and Post graduate Courses in Engineering and Post Graduate Course in Management Studies.</p> <p>Syllabus is received from university/KTU-syllabus plan for conduction of theory and practical are prepared by subject allotted lecturers-Conduction classes as per plan are reviewed by HOD-Series tests as per syllabus are conducted-semester examination is conducted based on question papers received from university-answer sheets are forwarded to university for valuation.</p> <p>Key processes involved are planning of lesson-teaching-conduction of lab experiments-supported by admin functions. Adequate number of teaching and supporting staff are provided for the smooth functioning of the organization. Labs are well</p> |   |  |   |                      |           |               |           |   |           |

|    |  |
|----|--|
|    | <p>equiped and adequate planning is done for the smooth conduction of experiments described in the syllabus. The organisation has documented procedures for the core functions like planning of teaching and practicals, monitoring of achieving the planned arrangements, conduction of internal assessments, monitoring of weak students and remedial or corrective measures taken for the weak students. Students feed backs are collected and reviewed by the top management and adequate training are provided for the staff.</p> <p>Scope of certification is verified for the conformity with the activities of organization, the given scope is appropriate</p>  |
| b) | <p>Process of understanding &amp; review of the needs and expectation of interested parties</p>  |
| ➡  | <p>The need and expectation of customers are identified through regular interaction with students, parent teacher association meetings and feedback process. Since instution is imparting educaiton, customer suggestions or requests received arre addressed then and there and discussed during their meetings for improvement. Feedbacks are collected from students and analysed.</p> <p>The Institution has taken measures to ensure that the student assessment is consistent in the evaluations, ensures equipments are available and used for teaching and assessing the courses and examinations with proper reference to correct and latest syllabus. Institution has weak students identification programme and remedial classes for improving them.</p>  |
| c) | <p>Methodology of identification, access of compliance obligations<br/>[i.e. applicable Legal (Statutory / Regulatory &amp; Other) requirements]</p>   |
| ➡  | <p>Documentary evidence of availability of following statutory and regulatory licenses verified during the audit:<br/>AICTE approval no F No. South-West/1- 4262040532/2019/EOA for academic year 2019-20.<br/>Kerala Technical University extension of affiliation KTU/A/456/2015 for academic year 2019-20</p>   |
| d) | <p>Methodology of determination of risk &amp; dportunities related to</p> <ul style="list-style-type: none"> <li>▪ the context of organization,</li> <li>▪ Interested Parties</li> <li>▪ management system and its processes/activities</li> </ul> <p>Give examples of determined risk &amp; opportunities</p>   |
| ➡  | <p>Organizaiton has determined external issues arising from legal, technological, competitive, market, cultural, social and economic environments, whether international, national, regional or local and internal issues related to values, culture, knowledge and performance of the organization that are relevant to its purpose and its strategic direction and that affect its ability to achieve the intended results of its quality management system.</p> <p>The organizaiton has determined the knowledge necessary for the operation of its processes and to achieve conformity of services. This knowledge is maintained and made available to the extent necessary. When addressing changing needs and trends, the organization has considered its current knowledge and determined how to acquire or access any necessary additional knowledge and required updates. Statement of designation, roles and responsibilities of functional heads as given in the organization chart and have defined in Responsibilities and Authorities.</p> <p>Needs and expectation of the interested parties are documents as part of quality manual. Example of identified Interested parties are, students, Parents, Society, industry, staffs and Society and expectations are good results, availability of required number of staffs for the smooth operation, knowledge enhancement, communication skills etc</p> <p>Example of external issue considered are students opting for other colleges, parents expectations not meeting, industry demand not as expected, changes in statutory and regulatory requirements etc.. , internal issues considered are coverage of subjects, conduction of examinations, condition of lab equipments etc.</p> <p>Context of the organization is part of quality manual, examples of some of the factors considered and identified risks and oppertunities based on context of the organizaiton are Not completing the syllabus requirements (theory courses), students, not performing well in the series tests and assignments (not getting the minimum internal marks), Not completing the specific laboratory experiments etc.</p> <p>Organizaiton has established, implemented, maintained, and continually improves a quality management system, including the processes needed and their interactions</p> |
| e) | <p>A) Brief description of organization processes determined taking into account planning, Monitoring and control of the</p>   |

|    |  |
|----|--|
|    | management processes, change control (management of change) needs to achieve the expected outcome.   |
| ➡  | Changes could happen at various instances prominent could be Syllabus change from university and transfer of manpower. Any changes to the syllabus requirements will be taken care by the syllabus planning and execution made possible by teachers dairy, staff relocation, absence of staff are can be monitored from teachers dairy, as well as subject committee review meetings are also conducted HOD reviews the coverage of portions at desired interval.  |
| B) | Control over identified externally provided processes, products and services (Outsourced activities)   |
| ➡  | Guest lecturers and visiting professors based on specific requirement as and when required are identified as outsourced process, monitoring and control is with respective department HODs.  |
| C) | <p><u>EMS Life Cycle Perspective (Input → Processing → Output)</u></p> <ul style="list-style-type: none"> <li>▪ <u>An example of Environmental aspect / impact arising out of “Life Cycle Perspective” and any Operational Control measures Directly or Influencing</u></li> <li>▪ <u>Any objective set to minimize the impact of environment arising out of Aspect – Impact</u></li> </ul>  |
| ➡  | NA   |
| f) | Process of establishment and monitoring objectives of management system (with few examples)  |
| ➡  | <p>Organization has established, implemented, maintained, and continually improves a quality management system, including the processes needed and their interactions. Management system is implemented with the aim of continual improvement in processes and business, quality objective are formed and monitored for continual improvement, monitoring and measurements done during management review meetings, some of the quality objectives monitored by the organization are:</p> <p>Improving Pass Percentage<br/>                     1 st year 80%<br/>                     2<sup>nd</sup> Year 70%<br/>                     3<sup>rd</sup> Year 75%<br/>                     4<sup>th</sup> Year 85%<br/>                     PG 100%</p> |
| g) | The availability of resources, environment necessary to support the operations & monitoring of management process.   |
| ➡  | Organization has planned and implemented adequate resources required for the smooth functioning of activities and continual improvement. Resources include building infrastructure, class rooms, library, computer systems, well equipped laboratories, facilities like transportation facilities, canteen facilities, hostel facilities etc.. are not included in the scope of quality management system certification.   |
| h) | Methodology of determination & maintenance of organization knowledge necessary for the operations of its processes to achieve conformity of product /service, environmental impact / prevention of injury for the respective management system.  |
| ➡  | Organization has made available all necessary information for the operation of its processes in form of quality manual, procedure manual and various records. Competency matrix of manpower is identified and maintained and trainings are identified and trainings are conducted accordingly.   |
| l) | <u>Demonstration of Leadership and commitment towards management system</u>  |
| ➡  | Top management for the organization is Principal and Vice Principal is Management Representative assigned to the responsibility of instituting quality management system. Top management have provided visible ongoing commitment and leadership towards the quality management system at by way of establishing, reviewing and supporting the management system.  |
| j) | Method / procedure for Corrections and Corrective actions, as applicable for respective scheme, with example   |
| ➡  | Organisation has documented procedures for Corrections, Corrective actions and preventive actions. Non conformances observed during previous internal and external audits are closed with proper corrective and preventive actions. Procedure No. QSP 05   |
| k) | Effectiveness of Internal Audit & Management Review  |
| ➡  | Internal quality audits are conducted after each semester, last IQA conducted 15-07-19 all departments are covered during that audit, organization has trained of internal auditors, conformances observed during current internal audit, observation  |

|  |   |  |                        |
|--|---|--|------------------------|
|  | <p>points were there which are closed and found discussed during management review meeting.</p> <p>Management review meetings are designed to conduct once in four months, last MRM conducted on 18-07-19, records indicates discussion of all points as per agenda and found effective</p>   |  |                        |
| i)   | <p>Examples of improvement/s as a result of correction, corrective actions, break through changes, innovation and reorganization including continual improvement.</p>   |  |                        |
| ➔  | <p>QMS is implemented with the aim of continual improvement in processes and business, quality objective are formed and monitored for continual improvement, monitoring and measurements done during Management Review Meetings.</p> <p>Result Analysis batc wise<br/>                 2015-19 : 34.80%<br/>                 2014-18 : 42.69%<br/>                 2013-17 : 57.00%</p>   |  |                        |
| m)   | <p>Comments on the process of Organization's Management of Change</p>   |  |                        |
| ➔  | <p>As informed by the organization there has not been any change in business processes, organizational structure goals, processes or technologies, change of personnel has happened and that has not affected organizations ability to provide services. The organization has determined the knowledge necessary for the operation of its processes and to achieve conformity of services. This knowledge is maintained and made available to the extent necessary. When addressing changing needs and trends, organization has considered its current knowledge and determined how to acquire or access any necessary additional knowledge and required updates. Statement of designation, roles and responsibilities of employees are documented in Annexure.</p> |  |                        |
| <b>SEC C : Current Audit Non-conformity</b>  |   |  |                        |
| a)   | <b>NC No.</b>   | <b>Clause No.</b>  | <b>Statement(s)</b>    |
|  | Nil   | NA   | NA                     |
|  |   |  |                        |
|  |   |  |                        |
| b)   | No. of Major NCs:   | Nil  |                        |
| c)   | No. of Minor NCs:   | Nil  |                        |
| <b>SEC D : Maturity Of The Management System</b>   |   |  |                        |
| (i)  | <b>Level of Integration in case of Integrated Management System:</b>  |  |                        |
| a)   | Integrated Documentation (Manual, policy and objectives, procedures, work instruction etc.)   | <input type="checkbox"/> Yes <input type="checkbox"/> No                                 |                        |
| b)   | An Integrated approach to Roles & Responsibilities  | <input type="checkbox"/> Yes <input type="checkbox"/> No                                 |                        |
| c)   | Conduct of Integrated / approach to Internal Audit  | <input type="checkbox"/> Yes <input type="checkbox"/> No                                 |                        |
| d)   | Conduct of Integrated Management Reviews considering the overall business strategy and plan   | <input type="checkbox"/> Yes <input type="checkbox"/> No                                 |                        |
| e)   | An Integrated approach to systems processes   | <input type="checkbox"/> Yes <input type="checkbox"/> No                                 |                        |
| f)   | An Integrated approach to continual Improvement mechanisms  | <input type="checkbox"/> Yes <input type="checkbox"/> No                                 |                        |
| g)   | Organization's personnel to respond to questions more than one management system standards.   | <input type="checkbox"/> Yes <input type="checkbox"/> No                                 |                        |
| ii)  | Comment on the maturity of the management system i.e. about the management system is fully established in the organization and the level of support that it has from senior and top management.   | Management system is maintained in the organization with the support from top management |                        |
| <b>SEC D (b) : Brief comments on Annexure to Questionnaire for Result of the review of the system (over period of certification), (applicable during renewal audits)</b>   |   |  | Evidenced and verified |
| <b>SEC E : Comments on Usage of Marks / Logos (Accreditation / IRQS)</b>   |   |  | No Deviation Noticed   |
| <b>NABCB :</b>   |   |  |                        |
| <ul style="list-style-type: none"> <li>▪ The logo shall not be displayed on buildings and flags.</li> <li>▪ The logo shall not be displayed on vehicles except in publicity material like part of a large advertisement</li> </ul> |   |  |                        |

|   |  |
|---|--|
| <ul style="list-style-type: none"> <li>▪ The logo shall not be used on the visiting cards</li> <li>▪ Use of logo not permitted on laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context.</li> <li>▪ Neither the IRQS’s Logo nor the NABCB’s Logo shall be used on the packaging of a product, labels, publicity material, written announcements etc. that in any way suggests that the IRQS or NABCB have certified or approved any product, process or services of the registered client</li> </ul> <p><b>RvA</b></p> <ul style="list-style-type: none"> <li>▪ On reports and certificates of certified calibration-, testing and medical laboratories and inspection bodies;</li> <li>▪ On business cards of the certified client’s personnel.</li> </ul> |  |
| <b>SEC F (a) : Any Unresolved Issues</b>  | No un resolved issues or complaints pending in court of law against organization evidenced during the assessment |
| <b>SEC F (b) : Any Other comments / observations</b>  | Nil  |

**SEC G : Audit Program [To be filled for one cycle, upto Renewal]**

| <b>Any Significant issues impacting audit program to be recorded</b> |         |        |                   |            |                  |        |                  |        |         |        |
|--|---------|--------|-------------------|------------|------------------|--------|------------------|--------|---------|--------|
| Type of Audit  | Stage 1 |        | Stage 2 / Renewal |            | Surveillance # 1 |        | Surveillance # 2 |        | Renewal |        |
|  | Planned | Actual | Planned           | Actual     | Planned          | Actual | Planned          | Actual | Planned | Actual |
| Date Of Audit  |         |        | 23, 24 Jul        | 23, 24 Jul | June 20          |        | Jun 21           |        | Apr 22  |        |
| No. of Mandays   |         |        | 4                 | 4          | 2                |        | 2                |        |         |        |

| * Site(s) [covering Temporary /Permanent]/ Department/ Functions / Processes                  | Stage 1 |        | Stage 2 / Renewal        |                          | Surveillance # 1         |                          | Surveillance # 2         |                          | Renewal                  |                          |
|---|---------|--------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
|   | Planned | Actual | Planned                  | Actual                   | Planned                  | Actual                   | Planned                  | Actual                   | Planned                  | Actual                   |
| MR & Top Management   |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Civil Theory & Lab, UG PG   |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Computer Science Theory & Lab, UG PG  |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Electronics & Communication Theory & Lab, UG PG   |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Electronics & Instrumentation Theory & Lab, UG  |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Electrical & Electronics Theory & Lab, UG PG  |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Mechanical Theory & Lab, UG PG  |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| MBA   |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| MCA   |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Science and Humanities  |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Library   |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Placement Cell  |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Physical Education  |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Office and Training   |         |        | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Shifts audit (at least once in a cycle, if applicable, Processes to be audited in each shift) | NA      | NA     | NA                       | NA                       | NA                       | NA                       | NA                       | NA                       | NA                       | NA                       |

[\*Sub-Division in the Department, Processes, Sub-Processes, Activities involved & audited under One Heading to be specified in the "Site(S) / Department/ Functions"]

**NOTE:**

01) Processes required for verification of applicability of the Scope of Certification shall be audited in each visit.

- 02) Dominant applicable clauses for respective Department/ Functions / Processes to be verified [Refer SEC B: Summary of Conformity.
- 03) Information required in this Audit Programme is to be updated during First Assessment of the auditee organization in a given cycle i.e. Stage-1 / Transfer / Renewal Audits / Subsequent Audit if there is any modification of Scope (reduction / extension) / Site(S) / Department/ Functions if not audited as planned. (to be discussed)
- 04) Information provided shall remain for guidance purpose only for the Audit Team of subsequent audits in the cycle & hence, shall not be binding w.r.t. additional functions to be audited and / or clauses to be audited in each function to confirm compliance to the respective audit criteria

| <b>SEC H : Recommendation:</b><br>[Please mark 'Tick - ✓' as applicable] |  |
|--|--|
| <b>01)</b>   | <p>Based on the audit findings, it is concluded that:</p> <ul style="list-style-type: none"> <li>- the audit objectives as identified under <input type="checkbox"/>9(a); <input checked="" type="checkbox"/>9(b); <input type="checkbox"/>9(c); <input type="checkbox"/>9(d), have been fulfilled</li> <li>- the effectiveness of the management system has the capability to meet applicable requirements and expected outcomes.</li> <li>- Certification Scope is appropriate</li> <li>- Satisfactory conduct of internal audit and management review process</li> </ul> <p><b>And recommend for :</b></p> <p>a) the issuance "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / <u>ISO 45001:2018</u></p> <p>b) the issuance "Certificate of Approval" with continuation for ISO 9001:2015 / ISO 14001:2015 / <del>OHSAS 18001:2007 / ISO 45001:2018</del></p> <p>c) continuation for "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / <u>ISO 45001:2018</u></p> <p>d) revocation of suspension and continuation of "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007/ <u>ISO 45001:2018</u></p> |
|  | <b>YES</b>   |
| <b>02)</b>   | <p>Based on the audit findings, it is concluded that:</p> <ul style="list-style-type: none"> <li>- the audit objectives as identified under <input type="checkbox"/>9(a); <input type="checkbox"/>9(b); <input type="checkbox"/>9(c); <input type="checkbox"/>9(d), the effectiveness of the management system could not be evidenced for the noted non conformities, hence, recommend for :-</li> </ul> <p>a) the issuance "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007/ <u>ISO 45001:2018</u> , subject to satisfactory closure of non-conformities on or before _____.</p> <p>b) the continuation for "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007/ <u>ISO 45001:2018</u>, subject to satisfactory closure of non-conformities on or before _____.</p>  |
| <b>03)</b>   | <p>Based on the audit findings, it is concluded that:</p> <p>the audit objectives as identified under <input type="checkbox"/>9(a); <input type="checkbox"/>9(b); <input type="checkbox"/>9(c); <input type="checkbox"/>9(d), effectiveness of the management system <b>could not be evidenced</b> for the noted Major / Minor non conformity(ies), hence recommends for the</p> <p>a) follow-up visit for closure of major NC(s)/ minor NC(s) requiring closure based on the site visit, before _____.</p> <p>b) follow-up of audit before _____.</p>   |
| <b>04)</b>   | <p>Based on the audit findings, it is concluded that:</p> <ul style="list-style-type: none"> <li>- the audit objectives as identified under <input type="checkbox"/>9(a); <input type="checkbox"/>9(b); <input type="checkbox"/>9(c); <input type="checkbox"/>9(d), effectiveness of the management system <b>could not be evidenced</b> for the noted Major non conformity(ies) (indicating breakdown of management system or major impact on environment or high potential of an incident which may result in injury/illness), hence recommends <b>fast track review (may lead to suspension or withdrawal of certification)</b></li> </ul>  |

**Instructions for Corrective Action Plans Submission:**

Responsibility: It is IRQS’s client’s responsibility to provide complete and timely responses to finding reports.

**Non Conformance submission:**

- For the date of NC the following to be completed by the client:
  - Correction, Root Cause & Extent Analysis, Evidences of Implemented Correction & Corrective Action, for Verification of effectiveness of implemented Correction / Corrective Action.



- Time Frame of the same:
    - For Major NC – within 30 Days, for Minor NC – within 60 Days
- NOTE 1 : If not submitted within the above time frame then the certificate will be intended for Suspension Process.
- NOTE 2 : The Close-out of the following :
- Major NC to be completed within 60 Days from the date of audit
  - Minor NC to be completed within 90 Days from the date of audit
- NOTE 3 :
- Major nonconformities typically require on-site verification of corrective action unless specified by the Auditor. Follow up audit shall take place within 60 days from the last day of the audit activity to IRQS.
  - All findings shall be closed before a recommendation for certification can be made.
- NOTE 4: In case of issuance of any Major NC or any other situation during surveillance audit(s) and or re certification audit(s), team leader requires to recommend a fast track review by IRQS which may lead to suspension or withdrawal of certification.

**Disagreement with an audit finding/s:**

IRQS Appeals and Control procedure is to be used by the clients for resolving the issue.

**Disclaimer:**


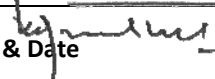
Audit methodology was sample based. Random Samples were chosen from the areas covered in the scope. This is to assess suitability and effectiveness of Management System. Any sampling carries certain amount of uncertainty in auditing. Audit recommendations are subject to an independent review prior to a decision concerning the awarding, renewal of certification or follow-up / re-audit.


**Confidentiality:**

We assure that the information obtained during the audit will be maintained with utmost confidentiality.  
 Appeal: Our system has a provision of appeal with regards to audit process, difference of opinion and audit report. The client has every opportunity to appeal, dispute or complain against the decision of the auditors.


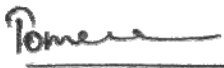
**Should you wish to Contact IRQS in relation to any queries**

Indian Register Quality Systems  
**Head Office:** 2<sup>nd</sup> Floor, New Building, 52 A, Adi Shankaracharya Marg,  
 Opp. Powai Lake, Powai, Mumbai - 400 072.  
 Website : www.irqs.org  
**Tel. No.:+91 22 30519800/ 71199800 Fax No.: + 91 22 2570 3611**

|                                    |                         |  |
|------------------------------------|-------------------------|--|
| <b>Team Leader Name</b>            | <b>Tomcee Thomas</b>    | <b>Signature &amp; Date</b>  <b>24-Jul-19</b> |
| <b>Auditee Representative Name</b> | <b>Dr. Madhukumar S</b> | <b>Signature &amp; Date</b>  <b>24-Jul-19</b> |

|   |  |                    |   |           |
|---|--|--------------------|---|-----------|
| <br>© INDIAN REGISTER OF SHIPPING 1993 | <b>Indian Register Quality Systems</b> | Page 1 of 1        |   |           |
|   |  | IV IRQS:FORM:70:00 |   |           |
|   | <b>Scope of Certification</b>          | Eff. Date          | : | 01-04-14  |
|   |  | Developed by       | : | NR        |
|   |  | Approved by        | : | HEAD-IRQS |

|  |  |  |
|--|--|--|
| <b>Name of the Organization</b>  | St. Joseph's College of Engineering & Technology, Palai  | <b>File Ref :</b><br><b>IRQS/S02459/01/QMS</b> |
| <b>Closing Meeting date of Stage I Audit / Renewal Audit / Transfer Audit as Applicable</b>                                | <input type="checkbox"/> Stage I : <input checked="" type="checkbox"/> Renewal : <input type="checkbox"/> Transfer :   |  |
| <b>Address(s)</b>  | Choondacherry POKottayam Dist Kottayam 686579 Kerala India   |  |
| <b>Standard</b>  | ISO 9001:2015  |  |
| <b>Recommended Scope statement</b>   | Providing Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electronics & Instrumentation, Electrical & Electronics and Mechanical. Post Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electrical & Electronics and Mechanical. Post Graduate Courses in Computer Application and Management.  |  |
| <b>Exclusion(s) { for example, applicable clauses of MS standard, site(s), boundaries, process (es), product (s) etc }</b> | 7.1.5.2 Measurement traceability, Calibration against measurement standards traceable to international or national measurement standards. : Instruments used for handling the practical sessions are demonstrative in nature hence only verification and controlling the monitoring and measuring devices prior to usage of the same for practical sessions are done., hence this clause is considered as not applicable.<br>8.3 – Design and Development of products and services :- Institution is not involved in Design and development of courses and the syllabi which are decided by Kerala Technical University to which College is affiliated, hence this clause is considered as not applicable. |  |
| <b>If the scope is different from questionnaire/ agreement</b>   | <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>If yes, the justification from team leader :<br><br><i><b>Note: If there is an amendment of the scope, the amendment of the scope will be routed through contract review by HO, IRQS. Based on the outcome of contract review and decision making, additional scope amendment audit shall be under taken, if required.</b></i>   |  |

| <b>Confirmation</b>   |   |             |   |
|---|---|-------------|---|
| <b>Name, signature of the authorized representative of the organization</b> | (Signature)   | Team Leader | (Signature)   |
|   |  |             |  |
|   | (Dr. Madhukumar S)  |             | (Tomcee Thomas)   |