 © INDIAN REGISTER OF SHIPPING 1993	<b>Indian Register Quality Systems</b> (A Division of IRCLASS Systems and Solutions Pvt. Ltd.)	IV IRQS:FORM:102:10	
	<b>Audit Report For QMS / Medical Devices-QMS/EMS / OHS / IMS Scheme(s)</b>	Eff. Date	: 09-04-2020
		Developed by	: NR
		Approved by	: HEAD-IRQS

01)	Name of the Client	St. Joseph's College of Engineering & Technology, Palai			
02)	Address of HO & Site(s)	Choondacherry PO Kottayam Dist Kottayam 686579 Kerala India			
03)	File Number	S02459/01/QMS			
04)	Name of "Head of Organization" / Unit	Dr. J David, Principal			
05)	Name of Organization Representative coordinating with CB	Dr. Madhukumar S, Vice Principal			
	Names of the management legally responsible for occupational health and safety, personnel responsible for monitoring employees health and employees representative(s) with responsibility for occupational health and safety.(Applicable for OHSMS)	Nil			
06)	Audit Criteria (strike out the standard not under audit)	ISO 9001:2015	ISO 14001:2015	OHSAS 18001:2007	ISO 45001:2018
		<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)	Date of Audit	17-Jul-20 - 18-Jul-20			
08)	Type of Audit (strike out the standard not under audit)	Surveillance1			
		<del>Joint/ Combined / Integrated</del>			
09)	<b>Audit Objective</b>				
	a)	<b>Stage 2 Audit :</b> 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> 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> 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> </ul>			

	<ul style="list-style-type: none"> <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)	<p><b>Special Audit :</b></p> <p>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.</p> <p>b) To investigate complaints, or in response to changes, or as follow up on suspended clients</p> <p>c) For upgradation to revised standards.</p>																
<b>10)</b>	<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>																
➡	No Changes																
<b>11)</b>	<b>Comment on the confirmation of the information provided (by the organization, including "Pre-audit Information"/Auditor Allocation Form)</b>																
➡	<table border="1"> <tr> <td><b>Scope of Certification</b></td> <td>Providing Graduate Engineering Courses in Civil, Computer Science, Electronics &amp; Communication, Electronics &amp; Instrumentation, Electrical &amp; Electronics and Mechanical. Post Graduate Engineering Courses in Civil, Computer Science, Electronics &amp; Communication, Electrical &amp; Electronics and Mechanical. Post Graduate Courses in Computer Application and Management.</td> </tr> <tr> <td><b>Number of sites</b></td> <td>One</td> </tr> <tr> <td><b>Number of employees associated with scope of certification (For Effective Number of Employees)</b></td> <td>250</td> </tr> <tr> <td><b>Current certification &amp; its validity</b></td> <td>IRQS/190100566 &amp; 22-Jul-22</td> </tr> <tr> <td><b>Design &amp; development</b></td> <td>Not applicable</td> </tr> <tr> <td><b>Working in shifts</b></td> <td>No</td> </tr> <tr> <td><b>Externally provided processes, products and services (Outsourced)</b></td> <td>Guest lecturers and visiting professors based on specific requirement as and when required are identified as outsourced process.</td> </tr> <tr> <td><b>Pre-audit information</b></td> <td>Verified</td> </tr> </table>	<b>Scope of Certification</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>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/190100566 & 22-Jul-22	<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.	<b>Pre-audit information</b>	Verified
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<b>14)</b>	<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:	NA	
<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 verified [for Stage 2 from Stage 1 Audit Report and for Subsequent audit against the issued Certificate] & reported)	
➡	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. Post Graduate Engineering Courses in Civil, Computer Science, Electronics & Communication, Electrical & Electronics and Mechanical. 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	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.  7.1.5.2 Measurement traceability, Calibration against measurement standards traceable to international or national measurement standards. : Instruments used for handing 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.
	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 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</p>	

	<p>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>
	<p><b>Summary of Site Visit:</b>                  Remote audit is conducted due to covid-19 restrictions, audit conducted using whatsapp, phone and email.                  College was closed during March to June 20 due to lockdown announced by Government to control Covid-19 pandemic. Onlice classes started from June onwards.                  Since remote audit is conducted, site visit shall be done upon return of normalcy.</p>
b)	<p>Process of understanding &amp; review of the needs and expectation of interested parties</p>
➡	<p>The need and expectation of interested parties are identified through regular interaction with students, parent teacher association meetings and feedback process. Since college is not open for class room trainings, PTA meetings are not conducted, review of portions completed are reviewed by faculties and HOD over phone.</p>
c)	<p>Methodology of identification, access of compliance obligations                  [i.e. applicable Legal (Statutory / Regulatory &amp; Other) requirements]</p>
➡	<p>Availability of following statutory and regulatory licenses verified during the audit:                  AICTE approval no F No. South-West/1- 4262030426/2020/EOA for academic year 2020-21.                  Kerala Technical University extension of affiliation KTU/A/456/2015 for academic year 2020-21</p>
d)	<p>Methodology of determination of risk &amp; opportunities 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>Top management has adequately considered context of organnisation and it is evidenced in the quality managemen sytem risk assessment process conducted by the organizaition, based on which organization has identified risks and oppertunites for the organization and quality objectives are set in addition to the business objectives of the organisation.</p> <p>Examples of some of the factors considered and identified risks and oppertunities based on context of the organizaition 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>Needs and expectation of the interested parties are documents as part of quality manual. Example of identified Interested parties are 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>Organizaition 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 management processes, change control (management of change) needs to achieve the expected outcome.</p>
➡	<p>Changes could happen at various instances prominent could be Syllabus change from university 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. Since online classes are conducted HOD reviews the coverage of portions over phone</p>
	<p>B) Control over identified externally provided processes, products and services (Outsourced activities)</p>
➡	<p>Adhoc faculties are selected when shortage of staffs occur, university, AICTE and government of Kerala specified norms are followed for selection, news paper advertisement are released for selection. Control exercised as per department</p>

	<p>manual is assessed during office activities. Since online classes are conducted, adhoc faculties are not recruited during current academic year.</p>																								
C)	<p>EMS Life Cycle Perspective (Input→ Processing →Output)</p> <ul style="list-style-type: none"> <li>▪ An example of Environmental aspect / impact arising out of “Life Cycle Perspective” and any Operational Control measures Directly or Influencing</li> <li>▪ Any objective set to minimize the impact of environment arising out of Aspect – Impact</li> </ul>																								
➡	<p>Nil</p>																								
f)	<p>Process of establishment and monitoring objectives of management system (with few examples <b>for respective management systems audited</b>)</p>																								
➡	<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                      1 st year 80%                      2<sup>nd</sup> Year 70%                      3<sup>rd</sup> Year 75%                      4<sup>th</sup> Year 85%                      PG 100%</p>																								
g)	<p>The availability of resources, environment necessary to support the operations &amp; monitoring of management process.</p>																								
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h)	<p>Methodology of determination &amp; 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.</p>																								
➡	<p>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, no training programs conducted current academic year.</p>																								
i)	<p>Demonstration of Leadership and commitment towards management system</p>																								
➡	<p>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</p>																								

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, classes completed during Jan 20, but college could not conduct the internal audit and management review meeting after completion of semester. Last IQA conducted 15-07-19 all departments are covered during that audit, organization has trained of internal auditors, nil non conformances observed during current internal audit, observation points were are closed  Management review meetings are designed to conduct once in four months, last MRM conducted on 14-12-19, records indicates discussion of all points as per agenda and found effective
l)	Examples of improvement/s as a result of correction, corrective actions, break through changes, innovation and reorganization including continual improvement.
➔	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.  CS S5 Regular Exam Total No of Students 54 No of students passed 36 No of students failed 18 Pass percentage 66.67 Failure Percentage 33.33  MBA Trimester IV Degree Examination November 2019 Result Analysis (XIII Batch 2018 – 2020 Admission) Total number of Students appeared : 42 Number of Absentees : 1 Percentage Pass : 80.48 Number of Students passed in all subjects : 33 Number of students failed : 8 Percentage Failure : 19.52
m)	Comments on the process of Organization’s Management of Change
➔	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.

**SEC C : Current Audit Non-conformity**

a)	<b>NC No.</b>	<b>Clause No.</b>	<b>Statement(s)</b>	<b>Grading of NC (Major/Minor)</b>
	Nil	NA	NA	NA
b)	No. of Major NCs:		Nil	
c)	No. of Minor NCs:		Nil	

**SEC D : Maturity Of The Management System**

(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.

**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)** NA

**SEC E : Comments on Usage of Marks / Logos (Accreditation / IRQS)**  
**NABCB :**

- The logo shall not be displayed on buildings and flags.
- The logo shall not be displayed on vehicles except in publicity material like part of a large advertisement
- The logo shall not be used on the visiting cards
- Use of logo not permitted on laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context.
- 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

**RvA**

- On reports and certificates of certified calibration-, testing and medical laboratories and inspection bodies;
- On business cards of the certified client's personnel.

No deviations observed

**SEC F (a) : Any Unresolved Issues** Nil

**SEC F (b) : Any Other comments / observations** Nil

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

**Any Significant issues impacting audit program to be recorded**

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										
No. of Mandays										

* 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 checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Computer Science Theory & Lab, UG PG	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Electrical & Electronics Theory & Lab, UG PG	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Mechanical Theory & Lab, UG PG	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
MBA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" 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"/>	<input checked="" 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"/>	<input checked="" 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 checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Physical Education	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Office and Training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Shifts audit (at least once in a cycle, if applicable, Processes to be audited in each shift)	No Shift Operation									
[*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>	
<b>[Please mark 'Tick - ✓' as applicable]</b>	
<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 type="checkbox"/>9(b); <input checked="" 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><i>NOTE: *In case, if absence of objective evidence for all activities of Scope of certification", on a case to case basis conditional grant of certification or reduction of scope will be undertaken in consensus with Operations-Head/Head-IRQS (Top management), to be communicated accordingly under recommendation.</i></p> <p><b>And recommend for :</b>  <b>(If a situation arise as noted under the note then the conditional recommendation to be made as given above &amp; not recommend for Issuance / continuation of the certificate)</b></p> <p>a) the issuance "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018</p> <p>b) the issuance "Certificate of Approval" with continuation for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018</p> <p>c) continuation for "Certificate of Approval" for ISO 9001:2015 / <del>ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018</del></p> <p>d) revocation of suspension and continuation of "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007/ ISO 45001:2018</p>
	YES
<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/ ISO 45001:2018 , 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/ ISO 45001:2018, subject to satisfactory closure of non-conformities on or before _____.</p>	
<p>03)</p>	<p>Based on the audit findings, it is <b>concluded that:</b>                  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), <b>hence recommends for the</b></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>	
<p>04)</p>	<p>Based on the audit findings, it is <b>concluded that:</b></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).</li> <li>- In case, if absence of objective evidence for all activities of Scope of certification", on a case to case basis conditional grant of certification or reduction of scope will be undertaken in consensus with Operations-Head/Head-IRQS (Top management), to be communicated accordingly under recommendation.</li> </ul> <p><b>Hence recommends fast track review (may lead to suspension or withdrawal of certification).</b></p>	

**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.


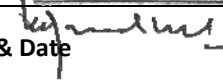
**Should you wish to Contact IRQS in relation to any queries**

Indian Register Quality Systems

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<b>Team Leader Name</b>	<b>Tomcee Thomas</b>	<b>Signature &amp; Date</b>  <b>18-Jul-20</b>
<b>Auditee Representative Name</b>	<b>Dr. Madhukumar S</b>	<b>Signature &amp; Date</b>  <b>18-Jul-20</b>