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		Eff. Date	: 28-05-2021
	Audit Report For QMS / EMS / OHS / IMS Scheme(s)	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)	Not Applicable				
06)	Audit Criteria (strike out the standard not under audit)	QMS (ISO 9001)	QMS-EOMS (ISO 21001)	EMS (ISO 14001)	OHSAS	OHS (ISO 45001)
		<ul style="list-style-type: none"> Applicable legal & other requirement. Organization's procedures & documented information in line with the respective standards. 				
07)	Date of Audit	27-Jan-22 - 28-Jan-22				
08)	Type of Audit (strike out the standard not under audit)	Surveillance2				
		Joint / Combined / Integrated / Remote				
09)	Audit Objective					
	a) Stage 2 Audit : 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"> Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents 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) Organization's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements operational control of the organization's processes Internal auditing and management review Management responsibility for the client's policies. 					
	b) Renewal Audit : 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"> 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 Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance; 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) 					
	c) Surveillance Audit : 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"> Internal audits and management review; A review of actions taken on nonconformities identified during the previous audit; complaints handling; Effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s); 					

		<ul style="list-style-type: none"> Progress of planned activities aimed at continual improvement; Continuing operational control; Review of any changes Use of marks and/or any other reference to certification 		
	d)	Special Audit : 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. b) To investigate complaints, or in response to changes, or as follow up on suspended clients c) For upgradation to revised standards.		
	d)	NOTE: To verify the above audit objectives, in case of Remote audit carried out using ICT facility for gathering the audit evidences by utilizing the computer-assisted techniques such as MS Team, Skype, Video conferencing, webinar, information available in soft etc. as applicable.		
10)	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"			
➡	Nil			
11)	Comment on the confirmation of the information provided (by the organization, including "Pre-audit Information" / Auditor Allocation Form)			
➡	Scope of Certification	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.		
	Number of sites	One		
	Travel Time between the sites	NA		
	Number of employees associated with scope of certification (For Effective Number of Employees)	250		
	Current certification & its validity	IRQS/190100566 & 22-Jul-22		
	Design & development	Not applicable		
	Working in shifts	No		
	Regular working hours.			
	Externally provided processes, products and services (Outsourced)	Guest lecturers and visiting professors based on specific requirement as and when required are identified as outsourced process.		
	Pre-audit information	Verified		
12)	Audit Team Details (Team Leader, Team Member, Provisional Auditor, Provisional Team Leader, Evaluator, Industry Expert Any accompanying persons; e.g. Guides, Observers, Translator, Facilitator etc.)		Name	Role
			Tomcee Thomas	Team Leader
13)	Audit conducted at [Physical location(s) as applicable]	Address	Date of Audit	Functions/ Process(es) /Activities audited at the Location/Site
	Head office	Choondacherry PO Kottayam Dist Kottayam 686579 Kerala India	27-01-22 - 28-01-22	MR & Top Management, Electronics & Communication Theory & Lab, UG PG, Electronics & Instrumentation Theory & Lab, UG, MCA, Science and Humanities, Placement Cell, Physical Education, Office and Training
	Permanent site(s)			

	Temporary site(s)			
14)	To comment :			
	a)	Any deviation from audit plan and their reasons (if yes, please justify)		
	➡	All departments in the audit plan are assessed.		
	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).		
	➡	Nil		

Audit Findings		
SEC A : Comments on the Effectiveness for the Closure of Previous Audit Findings:		
Findings		Comments on the effectiveness for the closure
No. of Previous audit NCs:	Nil	
No. of Areas of Concerns raised during Stage 1:	NA	
SEC B : Management System(s)		
a)	Scope of Certification: (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	NA
	Scope of Site	NA
	Scope Support Office(s) / Location(s), if any	NA
	Non-Applicability of Clauses & Justification for the same	
	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 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> <p>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.</p> <p>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>	

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 equipped 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.

Scope of certification is verified for the conformity with the activities of organization, the given scope is appropriate
UG

1. Embedded Systems, S8

Course Handlers: Prof. Suma R, Prof. Ashly Thomas

2. Software Engineering and Project Management, S6

Course Handlers: Prof. Mereen Thomas, Prof Divya Sunny

3. Operating Systems Laboratory, S4

Course Handler: Prof. Anna N Kurian

PG

1. Advanced Database Management, S2

Course Handler: Dr. Sruthy S

2. Network Simulation Lab, S2

Course Handler: Prof. Kishore Sebastian

This Covers Internal exam, conduction date, result, Weak student programs details, CO- PO Mapping, Justification, Internal Test QP, Assignment Questions and Attainments

Course Dairy

Branch CSE

Semester S8

Year 2020-2021

Course Embeded system

Code CS404

Faculty Suma R, Asst Professor

PSO : Analyse designa and develop computing solutions by applying fundamental concepts of CSE

PSO2 Applying software engineering principles and practices for developing quality software for scientific and business applications

PSO3: Adapt to emerging information and communication technologies by providing innovative ideas and solutins to novel problems

Attendance monitoring

Abey Jose Sebastian

Assignment 1 9.5

Assignment 2 5

Assignment 3 10

Total Assignment 8.17

Internal marks 42

Syllabus CS404, Embedeed systems

L -3, T-0, P-0, Credits-3

Year of introduction 2016

Module 1, Hours 6, End Sem Exam marks 15%

Course Plan

16-3-21 Hr 2

17-3-21 Hr 1

18-3-21 Hr 2

Total 11 Hrs till 22-3-21

Result Analysis B.Tech S8 (R) Exam June 21, Admission 2017-21

Total no of Students 108

No of Students Passed 107

Percentage Pass 99.07

Overall analysis

No of students passed in first chance 50

No of students graduated with backlogs with in 4 years 42

	No of students graduated 92 Pass percentage 85.18	
	Summary of Site Visit: Remote audit is conducted due to covid-19 restrictions, audit conducted using, phone and email. Since remote audit is conducted, site visit shall be done upon return of normalcy.	
b)	Process of understanding & review of the needs and expectation of interested parties	
➡	<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> <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.</p> <p>Institution has weak students identification programme and remedial classes for improving them, since online classes are conducted formal remedial classes are not conducted.</p>	
c)	Methodology of identification, access of compliance obligations [i.e. applicable Legal (Statutory / Regulatory & Other) requirements]	
➡	Availability of following statutory and regulatory licenses verified during the audit: AICTE approval no F No. South-West/1-9318921477/2021/EOA dated 02-Jul-2021 for extension of approval for the academic year 2021-22 Kerala Technical University KTU/A/456/2015 dated 30/08/2021 for extension of affiliation of courses for the Academic Year 2021 - 2022	
d)	Methodology of determination of risk & opportunities related to <ul style="list-style-type: none"> the context of organization, Interested Parties management system and its processes/activities Give examples of determined risk & opportunities	
➡	<p>Context of the organization is part of quality manual, examples of some of the factors considered and identified risks and opportunities based on context of the organization 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>Organization has established, implemented, maintained, and continually improves a quality management system, including the processes needed and their interactions</p>	
e)	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.
	➡	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
	B)	Control over identified externally provided processes, products and services (Outsourced activities)

➡	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 manual is assessed during office activities. Since online classes are conducted, adhoc faculties are not recruited during current academic year.																				
C)	EMS Life Cycle Perspective (Input → Processing → Output) <ul style="list-style-type: none">An example of Environmental aspect / impact arising out of “Life Cycle Perspective” and any Operational Control measures Directly or InfluencingAny objective set to minimize the impact of environment arising out of Aspect – Impact																				
➡	Not Applicable																				
f)	Process of establishment and monitoring objectives of management system (with few examples for respective management systems audited)																				
➡	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: Improving Pass Percentage 1 st year 80% 2 nd Year 70% 3 rd Year 75% 4 th Year 85% PG 100%																				
g)	The availability of resources, environment necessary to support the operations & monitoring of management process.																				
➡	<div>Personnel Interviewed, including workers / contract workers <i>[The Personnel who will be Interviewed during Audit. (Based on the Scope of certification and scheme).</i><ul style="list-style-type: none">Shop floor personnel / Operational Personnel involved in critical process / functions / Company workers / Contract workers / Personnel involved in or with Outsourced activity Interested party representatives /Personnel responsible for monitoring employees' health, for example, doctors, nurses and or any nominated / authorized representative of the organization<i>As felt appropriate, include any other personnel based on the organization being audited}</i></div> <table><tr><th>Name</th><th>Designation</th><th>Interviewed For</th><th>Conclusion Based on Interview</th></tr><tr><td>Dr. J David Dr. Madhukumar S</td><td>Principal Vice Principal</td><td>Context of organization, Top management, MR, Legal Policy, objectives Participation and awareness</td><td>Considered</td></tr><tr><td>Dr. V.P. Devassia</td><td>HOD ECE</td><td>Participation and awareness</td><td>Aware of processes</td></tr><tr><td>Mr. Sarju S</td><td>Asst Professor</td><td>Participation and awareness</td><td>Aware of processes</td></tr><tr><td>Dr Saji Abraham</td><td>Head- Corporate Relations, Training & Placements</td><td>Participation and awareness</td><td>Aware of processes</td></tr></table> <div>Summary of Health Performance including health objectives: (For all ISO 45001 – OHSMS AUDITS). 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 etc...</div>	Name	Designation	Interviewed For	Conclusion Based on Interview	Dr. J David Dr. Madhukumar S	Principal Vice Principal	Context of organization, Top management, MR, Legal Policy, objectives Participation and awareness	Considered	Dr. V.P. Devassia	HOD ECE	Participation and awareness	Aware of processes	Mr. Sarju S	Asst Professor	Participation and awareness	Aware of processes	Dr Saji Abraham	Head- Corporate Relations, Training & Placements	Participation and awareness	Aware of processes
Name	Designation	Interviewed For	Conclusion Based on Interview																		
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Mr. Sarju S	Asst Professor	Participation and awareness	Aware of processes																		
Dr Saji Abraham	Head- Corporate Relations, Training & Placements	Participation and awareness	Aware of processes																		
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, no training programs conducted current academic year.																				
I)	Demonstration of Leadership and commitment towards management system																				

➡	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		
➡	<p>INTERNAL AUDIT: <i>Briefly describe the process of conduct of IA:</i> <i>Comment on the competency of IA auditors:</i> <i>Number of internal auditors:</i> <i>Trained for Internal auditors:</i> <i>Verification of audit Programme:</i> <i>Audit Plan:</i> Findings of IA: <i>Briefly Corrective actions and effectiveness of corrective taken for the NC's Observations etc on the outcome of IA.</i> <i>Briefly on the Conduct of IA in an Impartial manner:</i> <i>Conclusion on the effectiveness of IA conducted:</i></p> <p>MANAGEMENT REVIEW: <i>Briefly describe the process of conduct of Management Review:</i> <i>Summary of the conducted and conclusion on the effectiveness of conducted Management review:</i> <i>Improvement: -</i> <i>Output:-</i></p> <p>Internal quality audits are conducted after each semester, Last IQA conducted 17, 18 Jan 22 all departments are covered during that audit, organization has trained of internal auditors, nil non conformances observed during current internal audit, observation points observed</p> <p>Management review meetings are designed to conduct once in four months, last MRM conducted on 21-01-22, records indicates discussion of all points as per agenda and found effective</p>		
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.		
m)	Comments on the process of Organization's Management of Change		
➡	As informed by the organization there has not been any change from previous audit, in business processes, organizational structure goals, processes or technologies. Due to covid 19 related issues classes are conducted online and offline, and organization has taken appropriate steps to address changes.		
n)	<u>Attached Annexure A for Summary of OHSMS : ISO 45001:2018 – Additional (New) Requirements & IAF MD 22 Requirements (IV IRQS:FORM:102-A:OHS)</u>		<u>Yes / No / NA</u>
SEC C : Current Audit Non-conformity			
a)	NC No.	Clause No.	Grading of NC (Major/Minor)
	Nil	NA	NA
b)	No. of Major NCs:	Nil	
c)	No. of Minor NCs:	Nil	
SEC D : Maturity Of The Management System			
(i)	Level of Integration in case of Integrated Management System:		

	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)			Not Applicable							
SEC E : Comments on Usage of Marks / Logos (Accreditation / IRQS) NABCB : <ul style="list-style-type: none"> 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 <ul style="list-style-type: none"> 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							27, 28 Jan 22	27, 28 Jan 22		
No. of Mandays							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"/>	<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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 checked="" 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 type="checkbox"/>	<input 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 type="checkbox"/>	<input 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 type="checkbox"/>	<input 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 checked="" 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 checked="" type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" 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 Operations									

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

Note:

a) Stage 1 Audit Programme to be addressed the Number of Shifts & audit is planned for at least one of the shifts inside and one outside of regular office hours

a) Stage 2 / Renewal / Surveillance Audit : as per the Stage 1 Audit Programme, audit is conducted for at least one of the shifts inside and one outside of regular office hours

b) In case of Migration to ISO 45001:2018 : Audit outside of regular office hours, all shifts audits to be conducted during all audits during the cycle. In case of migration during surveillance, then during all subsequent for cycle to be covered. If migration done during:-

1) Surveillance #1 – Then Surveillance #2, Renewal and Surveillance #1 after renewal.

1) Surveillance #2 – Then during Renewal , Surveillance #1 and Surveillance #2.

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

SEC H : Effectiveness of audit objectives achievement: : [Please mark 'Tick - ✓' as applicable for Onsite audit and Remote Audit]			
On-site and Remote Audit	Effectiveness		
	Achieved	Not achieved	Remarks on what is not achieved or raised it as NC
Demonstration of Leadership commitment	✓		
Determination of External & Internal issues	✓		
Needs and expectation of Interested parties	✓		
Access to Legal & other requirements and their compliance	✓		
Process of Setting of objectives and achievements.	✓		
For Operational control	✓		
Process of Performance monitoring and continual improvement.	✓		
Effective conduct of Internal audit and Management review.	✓		
Process of addressing any changes, Management of change.	✓		
REMOTE AUDIT (USING ICT)			
The Below Ticked ICT has been used in carrying out audit/assessment and the effectiveness of ICT in achieving the audit/assessment objectives are as noted below:			

Based on the Input received in IV IRQS:REC:52 A the following ICT were used: (Tick ✓ which were used), any other means if used please include the same for comments on its effectiveness for achieving the objectives).	Used to gather objective evidences.	Effectiveness	
		Achieved for	Not achieved or Not fully achieved: for
Micro Soft Team Meeting ZOOM Go-To Meetings Video conferencing WhatsApp Video call Skype. Use of Drone	Virtual site visit – Based on respective scheme requirements.	✓	
	Operational activities (EG; Process parameters, Operational control etc.).	✓	
	Sharing of Documents, Documented information, Records on Screen	✓	
	Interview with personnel	✓	
	Uninterrupted connectivity throughout audit duration.	✓	
	Overall Audio / Video clarity.	✓	
	Sharing of photos	✓	
	Documents through mails in time.	✓	
	Maintain Integrity of the audit / assessment process.	✓	
	Usage of Drone	Not Used	
	Objectives of Current Type of audit as noted above under Section 9 of this report.	✓	
	Any other additional information from FORM 52 A / observations.	✓	
Based on the above:			
Additional Manday required to cover the processes for which objectives not fully achieved	YES (Please mention the audit duration that would be required)	NO ✓	
Audit Programme amended.	YES (Please amend the audit program accordingly with appropriate justification)	NO ✓	

SEC I: Recommendation:**[Please mark 'Tick - ✓' as applicable]**

01)	<p>Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it is concluded that:</p> <ul style="list-style-type: none"> - 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 - the effectiveness of the management system has the capability to meet applicable requirements and expected outcomes. - Certification Scope is appropriate - Satisfactory conduct of internal audit and management review process <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>And recommend for :</p> <p>(If a situation arise as noted under the note then the conditional recommendation to be made as given above & not recommend for Issuance / continuation of the certificate)</p>	
	<p>a) the issuance " Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018</p>	

	b) the issuance "Certificate of Approval" with continuation for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018	
	c) continuation for "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018	
	d) revocation of suspension and continuation of "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018	YES
02)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it is concluded that : - 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 :-	
	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 _____.	
	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 _____.	
03)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it is concluded that : 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 could not be evidenced for the noted Major / Minor non conformity(ies), hence recommends for the	
	a) follow-up visit for closure of major NC(s)/ minor NC(s) requiring closure based on the site visit, before _____.	
	b) follow-up of audit before _____.	
04)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it is concluded that : - 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 could not be evidenced 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). - 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. Hence recommends fast track review (may lead to suspension or withdrawal of certification).	

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. Whenever the ICT facility used for gathering audit evidences the risk associated with poor connectivity of audio / video are taken into the account for 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

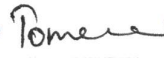
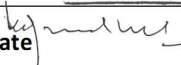
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