

Audit Report (Stage 2) ----

Organisation Malad Kandivli Education Society's Nagindas
Khandwala College Of Commerce, Arts &
Managements Studies And Shantaben Nagindas
Khandwala College Of Science / The Bombay Suburban
Grain Dealers' Junior College Of Commerce, Arts &
Science

Audits (ZA): 4821/2010



Master Data of Organisation		
Name of Organisation	<ul style="list-style-type: none"> Malad Kandivli Education Society's Nagindas Khandwala College Of Commerce, Arts & Managements Studies And Shantaben Nagindas Khandwala College Of Science The Bombay Suburban Grain Dealers' Junior College Of Commerce, Arts & Science 	
Name of corporate group <i>(in case of group certification)</i>		
Street	Bhadran Nagar, Road No. 1, Off S. V. Road, Malad (West)	
Postcode / Town / Country	400064 Mumbai / India	
Contact	Dr. (Mrs) Moushumi Datta – Associate Professor & MR	
E-Mail	moushumi@nkc.ac.in	
Phone/Fax	022-28072262 / 28085424	022-28072262 / 28085424 ;
Language	English / Hindi / Marathi	
Scope Description	<ul style="list-style-type: none"> Design and Development of Curriculum and Imparting education to Under Graduate students in the faculty of Commerce, Arts, IT and Computer science and post graduate students of Commerce, Arts and IT, affiliated to the University of Mumbai Imparting Education to higher secondary students of Maharashtra State Board - Mumbai Division in the Commerce and Arts streams. 	
	more description regarding scope in annex	
Industry / Scope (EA, TA, ...)	37	
Audit profile		
Standards under contract / Audit type	ISO 9001 : 2008 Re-Certification audit	: ---
	: ---	: ---
System documentation: Revision / Issue	QM, Latest Revn, dt 25.08.16	
Surveillance mode	Yearly surveillance	
Audit team leader / responsible	Saswata Maulik	
Audit team	V G Patil	
Technical expert - Trainee		
Multisite-organisation	All sites are listed in: Not Applicable <input type="checkbox"/> Audit Reference Data Sheet <input type="checkbox"/> separate Listing <input type="checkbox"/> Audit program/ATEA <input type="checkbox"/> Multisite-certification (Sample)	
Shift operation	no shift operation	

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Audited Standards	
ISO 9001 : 2008	Re-Certification audit
Exclusions: CI 7.5.2 ; 7.6	QM, Latest Revn, dt 25.08.16
Audit team leader: Saswata Maulik	Audit number(ZA): 4821/2010
Certificate number: 44100104403/01 & 02	Valid until: 08.11.16
:	
Exclusions:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
:	
Exclusions:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
:	
Exclusions:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
:	
Exclusions:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
Audit-Details	
Sites	Bhadran Nagar, Road No. 1, Off S. V. Road, Malad (West)
Audit date	26.09.16 - 28.09.16
Audit duration	5.00 person days on site including person days for stage 1 audit (separate report)

Details for Stage 1 - Audit		
Stage 1 - Audit	not necessary.	
Duration Stage 1 - Audit	ISO 9001 : 2008	person-day (s)
	:	person-day (s)
	:	person-day (s)
	:	person-day (s)
		total
Date Stage 1 - Audit	-	

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Distribution/Confidentiality/Rights of ownership/Limitations/Responsibilities

This report is sent to the certification body or bodies, the members of the audit team and the audit representative of the organisation. All documents (such as this report) regarding the certification procedure are treated confidentially by the audit team and the certification body. This audit report remains the property of the certification body.

An audit is a procedure based on the principle of random sampling and cannot cover each detail of the management system. Therefore nonconformities of weaknesses may still exist which were not expressly mentioned by the auditors in the final meeting or in the audit report.

The responsibility for continuous effective operation of the management system always rests solely with the audited and certified organisation.

Salvo clause:

The audit report will be left to the organisation at the end of the audit - subject to approval by the certification body. The independent release process may cause modifications or additions. In these cases a modified revision will be sent to the audited organisation.

Annex/Enclosures

Annex/
corresponding audit documentation

- Questionnaire(s) / Checklist(s)
 Additional annexes, number

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Summary of results

ISO 9001:2008			--			--			--		
Clause	Audited	Result*	Clause	Audited	Result*	Clause	Audited	Result*	Clause	Audited	Result*
4.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.4	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.5	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.6	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.3	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.2	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.5	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.6	<input checked="" type="checkbox"/>	E		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.2	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.5	<input checked="" type="checkbox"/>	1		<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 type="checkbox"/>			<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 type="checkbox"/>			<input type="checkbox"/>	
	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
Obligatory elements from ISO17021:2011 Section 9.3.2.1									Audited	Result	
a) internal audits and management review;									<input checked="" type="checkbox"/>	1	
b) review of actions taken on nonconformities identified in previous audit;									<input checked="" type="checkbox"/>	1	
c) treatment of complaints;									<input checked="" type="checkbox"/>	1	
d) effectiveness of the system to achieve the certified client's objectives;									<input checked="" type="checkbox"/>	1	
e) progress of planned activities aimed at continual improvement;									<input checked="" type="checkbox"/>	1	
f) continuing operational control;									<input checked="" type="checkbox"/>	1	
g) review of any changes including system documentation									<input checked="" type="checkbox"/>	1	
h) use of marks and/or any other reference to certification.									<input checked="" type="checkbox"/>	1	
audited: <input checked="" type="checkbox"/> = audited sections of the standard;											
Result: 1 = fulfilled; 2 = basically fulfilled / potential for improvement; 3 = not fulfilled / nonconformity ; - = not applicable / excluded.											
Details are listed in the section "Detailed results". Fields with a coloured background are obligatory elements in every audit.											

Obligatory elements from A00VA02

a) Are temporary sites (i.e installation sites, project locations etc.) available?	yes <input type="checkbox"/>	no <input checked="" type="checkbox"/>
b) Which one are visited?		

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Organisations profile

The organization is involved in providing education to students in the degree and post graduate degree courses in the faculty of arts, commerce, B.Sc (IT) and Computer Science and for higher secondary education in the faculty of arts and commerce.

The institution is headed by Mrs Dr. Ancy Jose, Principal, and Dr. Moushumi Datta, Associate Professor Geography is nominated as the MR for the quality management system. The organization employs about 84 personnel for their operations.

The total area of the facility at is about 7714 sq.m comprising the area used for classroom and other facilities.

The total number of students studying at present is about 12000 in number

The core and support processes established are e.g. admission, design & development, teaching & learning, examination, quality assurance, library, facility maintenance, HR & Trg, storage etc; it has also outsourced processes e.g. maintenance,

Education facility consists of classrooms with audio visual projection systems, computer laboratories, language laboratory, library, conference rooms, auditoriums, teaching staff rooms, gymkhana,

Process(s) added/ deleted in the quality management system is/ are Nil

Changes have not taken place in the organization structure.

Changes in top management/ division/ functional heads taken are nil.

The major customers to the organization are e.g. Students aspiring for learning and gaining knowledge .

Summary / explanations of results

The organization has implemented ISO 9001:2008QMS. The same was offered for verification for compliance to the requirement of ISO 9001:2008QMS. The organization's manufacturing operations run in one shift. Audit samples were taken from the day shift to show the implementation status for the operations. Use of TUV Logo and OFI's from last SA were also taken up for verification. Accordingly the audit was carried out, The quality management system was found to be complying to the requirements of the ISO 9001:2008QMS in a satisfactory manner. Hence the organization's quality management system certification status has been recommended for RENEWAL to ISO 9001:2008QMS requirements. In addition, few opportunities for improvement have been identified, which is given below in the results details.

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Conclusion

Taking into account the size and structure of the organisation, the products/services supplied and the process used, the organisation has basically demonstrated that it operates and develops its management system effectively in order to ensure fulfilment of its own requirements, the requirements of its customers and the relevant legal requirements.

This includes in particular:

- The policies from 31.05.10, objectives and their implementation in the organisation
- The processes which exist in the management system and their interaction
- The management system documentation
- The recording system
- The resource management
 - The measuring and analysis (management review from 17.02.16, audit planning from Audit No 11, Jan 16, audit report(s) from 11.01.16 and examples for indicators)
- The continual improvement process

also the implementation and the effectiveness of the management system and the processes for providing services/production/product realisation were assessed by the audit team by means of on-site inspection and examination of documents on a random sample basis.

Nonconformities, observations and the potential for improvement are described in the "Detailed Results" section.

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Detailed results

The evaluation of the audit results basically follows the scheme shown below:

Stage	Classification	Meaning
NC A	Nonconformity A	1. Non-fulfillment of one or several requirements of the management system standard or 2. A situation which gives rise to considerable doubt as to the capability of the customer's management system to achieve the desired results
NC B	Nonconformity B	All other nonconformities
PI	Potential for improvement	Items which would allow optimisation of the management system in relation to the requirements of the relevant standard. It is recommended that the company implements these items.
GP	Positive aspects/ Good Practice	Positive aspects of the management system worthy of special mention (see also point 4.3 if applicable)
CM	Comments	Special situation and information to be traced in next audit

Follow-up action(*): Action plan with follow-up Audit or action plan with documents or action plan (review of effectiveness in the next audit)

No.	NC A	Area / Process	Standard:clause	Follow-up action *	Set date

No.	NC B	Area / Process	Standard:clause	Follow-up action *	Set date

No.	PI	Area / Process	Standard:clause
1	Internal quality audit is established in a satisfactory manner. However Audit Checksheets may record in greater detail information on the evidence sampled	MR Function / Internal audit	ISO 9001:2008 CI 8.2.2
2	Customer complaints redressal mechanism is established and it is satisfactory. However root cause analysis may be improved for all such actions implemented and closure may be effected by the complainant wherever found appropriate	Administration / Customer communication	ISO 9001:2008 CI 7.2.3
3	Infrastructure is maintained and it is satisfactory. However preventive maintenance plan may also include the printing equipmentS used for printing of examination papers.	Examination / Infrastructure	ISO 9001:2008 CI 6.3
4	Quality objectives are established and are monitored satisfactorily. However may be considered for implementation departmentwise in addition and monitored	Organization / Quality objectives	ISO 9001:2008 CI 5.4.1

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No.	GP	Area / Process	Standard:clause
1	Top Management Commitment	Top Management / Management Commitment	ISO 9001:2008 CI 5.1
2	NAAC Accreditation	Organization / Continual Improvement	ISO 9001:2008 CI 8.5.1
3	Achievement of Educational Autonomous Status (Progressive) for UG and PG course	Organization / Continual Improvement	ISO 9001:2008 CI 8.5.1
4	Competent faculty	College Institution / Competence, awareness and training	ISO 9001:2008 CI 6.2.2

No.	CM	Area / Process	Standard:clause

Management of non-conformities

- Nonconformities were not found - the procedure can continue.
 Nonconformities were found.

In case of non-conformities:

Action Plan and Follow-up Audit:

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing. Based upon the action plan the on-site review and evaluation of the introduction, implementation and effectiveness of implemented guided corrections and corrective actions take place.

or

Action Plan:

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing.

Verification of effectiveness:

On a Follow-up Audit:

By submission of documents:

Evidence of the effectiveness of correction and corrective action is to explain to the deadline set by the Audit Team Leader submission of documents.

In the next audit:

The final proof of the effectiveness of the corrections and corrective actions will be reviewed in

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the next regular audit.

Auditor in Charge:

The audit team leader directs the non-conformities as needed to the responsible auditor for processing.

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Results

Results	ISO 9001:2008	--	--	--
Fulfilled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Open nonconformities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not fulfilled	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Follow up actions				
None	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Action plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Document review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Follow up audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Next audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recommendations				
Grant/ Renewal / Extension*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintenance*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Suspension	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Refuse / Withdrawal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

***) Grant / Renewal / Extension / Maintenance in the case of open nonconformities assumes that the nonconformities will be cleared as agreed**

Comments for next audit

In the next audit the corrective actions, findings and opportunities for improvement will be discussed again.

For the next audit it is preliminarily agreed: Before Sept 26, 2017

Signatures

Date: 28.09.16 Name: Saswata Maulik	Signature Audit team leader 
Date: 28.09.16 Name: Dr. Mrs Moushumi Datta	Signature Representative of organisation 