

Audit Report (Stage 2) S-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	Malad Kandivli Education Society's Nagindas Khandwala College of Commerce, Arts & Management Studies and Shantaben Nagindas Khandwala College of Science and The Bombay Suburban Grain Dealers' Junior College of Commerce, Arts and Science	
Name of corporate group (in case of group certification)		
Street	Bhadran Nagar, Road No.1, S.V.Road, Malad West, Mumbai - 400 064	
Postcode / Town / Country	400064 Mumbai / Maharashtra	
Contact	Dr. (Mrs) Moushumi Datta – Associate Professor & MR	
E-Mail	<moushumi@nkc.ac.in>	
Phone/Fax	022 28072262 , 022	022 28650461
Language	English	
Scope Description	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 more description regarding scope in annex	
Industry / Scope (EA, TA, ...)	37.0	

Audit profile

Standards under contract / Audit type	ISO 9001 : 2008	---
	1.Surveillance audit	---
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System documentation: Revision / Issue	QM, Latest Revn, dt 25.08.16	
Surveillance mode	Yearly surveillance	
Audit team leader / responsible	V.G.Patil	
Audit team	D. Sequeira	
Technical expert		
Trainee		
Multisite-organisation	All sites are listed in: <input checked="" type="checkbox"/> Audit Reference Data Sheet <input type="checkbox"/> separate Listing <input type="checkbox"/> Audit program/A TEA <input type="checkbox"/> Multisite-certification (Sample)	
Shift operation	no shift operation	

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Audited Standards

ISO 9001:2008	
Exclusions: 7.5.2, 7.6	
Audit team leader: V.G.Patil	Audit number(ZA): 4821/2010
Certificate number: 44100104403/01 & 02	Valid until: 14.09.2018
:	
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	04.10.2017 – 05.10.2017
Audit duration	3.00 person days on site including 0,00 person days for stage 1 audit (separate report)

Details for Stage 1 - Audit

Stage 1 - Audit	not necessary.	
Duration Stage 1 - Audit	:	0,00 person-day (s)
	:	0,00 person-day (s)
	:	0,00 person-day (s)
	:	0,00 person-day (s)
		0,00 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	<input type="checkbox"/> Questionnaire(s) / Checklist(s) <input type="checkbox"/> Additional annexes, number
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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 socondary 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 laboraties, 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 sytem certification status has been recommended for maintenance to ISO 9001:2008QMS requirements. In addition, few oppourtunies for improvement have been identified, which is given below in the results details.

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 its management system 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 31.05.2010 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 28.09.2017, audit planning from 24.09.2017, audit report(s) from 27.09.2017 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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Notes for the detailed results

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

Stage	Classification	Meaning
NC A	Major Nonconformity (Nonconformity A)	Nonconformities could be classified as major in the following circumstances: <ul style="list-style-type: none">• if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;• a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.
NC B	Minor Nonconformity (Nonconformity B)	Nonconformities could be classified as minor, if these do not affect the capability of the management system to achieve the intended results.
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(*):

NC A: Action plan with follow-up Audit or action plan and submission of documents.

NC B: Action plan and if necessary submission of documents.

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Detailed results

No.	NC A	Area / Process	Standard:clause	Set date
-	-	-	-	-

No.	NC B	Area / Process	Standard:clause	Set date
-	-	-	-	-

No.	PI	Area / Process	Standard:clause
1	Ventilation, illumination, drinking water quality, etc. are addressed under Clause No. 6.4 in the manual. Further as improvement initiative indoor air quality in air-conditioned environment for CO2 levels, lux levels in reading area may be measured. Drinking water testing and annual medical checkup of canteen workers also may be carried out	Library	ISO 9001:2008, Clause 6.4
2	The quality objectives & action plans to achieve these objectives & its progress monitoring are in place. However, monitoring implementation of action plans may made more structured way.	MR	ISO 9001:2008, Clause 5.4
3	Internal audits are conducted at planned intervals in accordance with the documented procedure. However, the recording of evidences verified may be further improvised.	MR	ISO 9001:2008, Clause 8.2.2
4	Exam procedures are well followed complying with the UGC & Mumbai university guidelines. Retrieval & storage of exam records may be further improved.	Examination – Degree	ISO 9001:2008, Clause 4.2.4

No.	GP	Area / Process	Standard:clause
1	Top Management Commitment was visibly seen	Top Management / Management Commitment	ISO 9001:2008 CI 5.1
2	Excellent score in NAAC Accreditation & its ongoing maintenance	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	Highly qualified & experienced faculty members	College Institution / Competence, awareness and training	ISO 9001:2008 CI 6.2.2
5	Provision of AC class rooms to improve learning efficiency of students	Infrastructure	ISO 9001:2008 CI 6.3

No.	CM	Area / Process	Standard:clause
-	-	-	-

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Management of non-conformities

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

Follow-up action:

NC A: Action plan with follow-up Audit or action plan and the submission of documents

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 (Deadline: Within 6 weeks after the last audit day). 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 (Deadline: Within 3 months after the last audit day).

or

Action plan and the submission of documents

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 (Deadline: Within 6 weeks after the last audit day). 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 (Deadline: Within 3 months after the last audit day).

NC B: Action plan and if necessary the submission of documents

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 (Deadline: Within 6 weeks after the last audit day).

Submission of documents (if necessary)

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 (Deadline: Within 3 months after the last audit day).

Note: 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/Extension*/Renewing*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintenance*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Suspension	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Restoring				
Refusing / 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 / Extension / Renewing / Maintenance in the case of open nonconformities assumes that the nonconformities will be cleared as agreed.**

Explanation of the terms:

Renewing: New issue of the certificate in the re-certification.

Restoring: End of the temporary invalidity of certificate after the suspension or delayed re-certification.

Comments for next audit

In the next audit, the final evidence of effectiveness, corrections and corrective actions will be assessed for the possible nonconformities from this audit.

The comments and potentials for improvement will be taken up again.


For the next audit it is preliminarily agreed: Aug. 14, 2018

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Signatures

Date: 05.10.2017 Name: V.G.Patil	Signature Audit team leader 
Date: 05.10.2017 Name: Dr. Maushumi Dutta	Signature Representative of organisation 