



<b>M/s.Apex Management Solutions</b>	<b>Format No.</b>	AMS-F-12(D)
Plot No.11, Gadkari Nagar Bhusawal M.S	<b>Rev. No.</b>	01
<b>Audit Report-IMS</b>	<b>Date</b>	15.03.2023

<b>Name of the Organization</b>	<b>KATRUWAR ARTS, RATANLAL KABRA SCIENCE &amp; B. R. MANTRI COMMERCE COLLEGE, MANWAT (RUN BY- PATHRI TALUKA SHIKSHAN PRASARAK MANDAL, MANWAT)</b>		
<b>Address</b>	<b>Taluka Manwath, Dist.- Parbhani - 431505, MAHARASHTRA</b>		
<b>Site Address (If any)</b>	<b>NA</b>		
<b>Applicable Standards for IMS</b>	<b>ISO 21001:2018</b> <input type="checkbox"/>	<b>ISO 14001:2015</b> <input type="checkbox"/>	<b>ISO 50001:2018</b> <input type="checkbox"/>
<b>No. of Employees</b>	<b>1</b>		
<b>No. of Shift</b>	<b>1</b>		
<b>E mail id</b>	<a href="mailto:principalkkmcm@gmail.com"><b>principalkkmcm@gmail.com</b></a>		
<b>Contact Person</b>	<b>Mr. B S Mundhe</b>		
<b>Telephone/Fax</b>	<b>+91 9850694955</b>		
<b>Scope</b>	PROVIDING SERVICES OF UG, PG AND PH. D. PROGRAMS TO THE STUDENTS PURSUING DEGREES IN ARTS, COMMERCE AND SCIENCE STREAMS. ALSO, VARIOUS CERTIFICATE, DIPLOMA AND PG DIPLOMA PROGRAMMES ARE OFFERED BY THE INSTITUTE. THE INSTITUTE IS AFFILIATED WITH SWAMI RAMANAND TEERTH MARATHWADA UNIVERSITY, NANDED MAHARASHTRA		
<b>Technical Area</b>	<b>All Educational Departments</b>		
<b>Audit Team</b>	<b>Lead Auditor: 1</b> <b>Auditor:</b> <b>Technical Expert</b>	<b>No of Mandays:1</b>	
<b>Starting date of Audit</b>	<b>15/03/2023</b>		
<b>End date of Audit</b>	<b>15/03/2023</b>		
<b>Brief about the organization</b>	<p>KKM Mahavidyalaya is the institute runned by Pathri Taluka Shikshan Prasarak Mandal, Manwat and is affiliated to Swami Ramanand Teerth Marathwada University. It offers several UG, PG and Ph.D Courses to its students in Arts, Commerce and Science Streams. Institute also offers Diploma and PG Diploma courses.</p> <ol style="list-style-type: none"> <li>1. Admission to Certificate, Fellowship, Diploma, Undergraduate, Postgraduate and Doctoral Degree Programs.</li> <li>2. Educational training in the form of Theory, Practical, Skill based simulation training and Evidence Based Education. The students undertake training by going on study tours.</li> <li>3. Examination and Evaluation for programs undertaken in the discipline of Arts, Commerce and Science Streams</li> <li>4. The Degrees are conferred by Swami Ramanand Teerth Marathwada University Nanded Maharashtra Deemed to be University to the successful students in the Convocation Ceremony.</li> <li>5. Collection of Tuition fees and other educational fees /</li> </ol>		



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	charges from the students undergoing training in Certificate, Diploma, Undergraduate, Postgraduate and Doctoral Degree Programs. 6. Research is undertaken on Animals and Plants in Laboratory by Teaching Faculties, Researchers and Students of the Institution.
<b>Audit Objective</b>	To evaluate the client's documented system, location & site-specific conditions and gather other details through discussions with the client's personnel to determine the organization's readiness for the Audit for Certification

**CHANGE DETAIL:**

<b>Audit Duration for Audit: 1 Monday</b>	
<b>Are quoted man-days adequate?</b>	Yes
<b>Any change in employee detail?</b>	No
<b>Any Change in Scope?</b>	No.
<b>Status of Previous Findings</b>	Closed

**SUMMARY OF AUDIT**

<b>AREA OF IMPROVEMENTS</b>	
	1. The Green House is well developed and maintained which demonstrate the controlled environment for growth of various plants.
<b>Minor Non-Conformities</b>	



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The Statutory & Regulatory laws applicable to the Institute must be determined and should be addressed properly. Violations of any laws are major non-conformities. Actions should be taken accordingly.

**Non-Conformities Raised -**

**01 Minor/Major Non-conformance identified in the audit, details of Non-Conformance in NC Sheet.**

*Please respond by using your own corrective action form and include the root cause analysis with systemic corrective action.*

*Failure to include root cause analysis with systemic corrective action will result in your responses being rejected by Lead Auditor*

**Team Leader Declaration (Tick or cross Each Column as per applicability)**


Auditing is based on a sampling process of the available information
Audit is combined, joint or integrated;
The effectiveness of corrective actions taken regarding previously identified nonconformities have verified outcomes are effective and complying.
The internal audit and management review process are effective and complying with the requirements.
The scope of certification is appropriate.
The capability of the management system to meet applicable requirements and expected
The audit objectives have been fulfilled and achieved.

**Recommendation:**



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	<p><b>The quality system complies with the requirements of the reference standard:</b> Congratulations, on the basis of the above summary, Team Leader is pleased to put forward a recommendation for Issuance of Certificate. The organization can use the Certification Mark</p>
	<p><b>The Integrated Management system complies with the requirements of the reference standard with exception of minor NC:</b> Congratulations, Team Leader is pleased to put forward a recommendation for Issuance of the certificate of Organization upon off-site verification of closure of all minor NC within 60 days from the date of audit. Responses to the non-conformances should be submitted to SCK and must include supporting evidence of closure to allow for off-site verification. In responding to the non-conformances, the organization should consider the root cause of the non-conformance and the potential for related issues in other parts of system.</p> <p>If all non-conformances are not closed within 60 days, a full reassessment may be required.</p>
<b>Sign Off Date:16.03.2023</b>	
<b>SCK Report Submission</b>	<b>Client Acceptance for Report</b>
<b>Name of Team Leader:</b> <b>Akash Chutile (Lead Auditor)</b> <b>Signature:</b>	<b>Name: Dr. Bhaskar S. Munde</b> <b>Sign</b> <b>Designation: Principal</b>

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### **AUDIT CHECKLIST**

**VERIFICATION OF DOCUMENTED INFORMATION & RECORDS AS PER STD REQUIREMENT  
(C- Conformity, NC-Non-Conformity, O-Observation)**



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Clause Number	C/NC/O	ISO 21001:2015 Document Verification detail with statement of Conformity)	ISO 14001:2015 Document Verification detail with statement of Conformity)	ISO 50001:2018 (Document Verification detail with statement of Conformity)
<b>4. Context or Organisation</b>				
<b>4.1 Understanding the organization and its context</b>  <b>4.2 (Determination of external and Internal Issues, Need &amp; Expectation of the Interested Parties,</b>  <b>4.3 Scope and establishment of IMS</b>  <b>4.4 Management System for EOMS, EMS and En.MS</b>	C	<p>1. <i>The College is affiliated to Swami Ramanand Teerth Marathwada University Nanded Which runs under Government of Maharashtra India.</i></p> <p>2. <i>Organization has determined the interested parties as below: Interested parties: Teaching faculty, scientist, researchers, students, parents, Alumina, external visitor for conference and research activities, guest speakers, NAAC body, UGC and Government activities, MPCB, MSEB RUSA, NIRF, JD etc..</i></p> <p>3. <i>The needs and expectations are found defined and taken care by the organization.</i></p> <p>4. <i>Organization has determined the following internal and external Issues: -Issues related to funding for research activities from government.</i></p> <p><i>The issues identified are found relevant and the information related to these issues are found timely reviewed during the routine meetings and discussion.</i></p> <p>5. <i>The scope is defined in the respective manuals of EOMS , EMS and En.MS which covers the spectrum of overall services provided by the institute additionally complying with the requirements of EMS and En.MS.</i></p> <p>6. <i>The management system’s processes are found defined and documented in Manual 1, revision 00. Found ok.</i></p>		
<b>5. Leadership</b>				
<b>5.1 Leadership &amp; Commitment (Statement of Commitment and conformity for customer focus)</b>		<p><i>Top Management of the organization includes qualified professionals and experience members. They frame the Policies and Objectives and continuously monitor the progress of the institute by visiting the campus . Management also support the institute by providing necessary resources and by funding the projects related works.</i></p> <p><i>(Doc. Ref. IMS Manual)</i></p>		



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<b>5.2 Integrated policy (Establish, Implement, Maintain, communicated and understood)</b>		<i>Top Management has established the Educational, Environmental and Energy Policy of the institute which has been implemented, maintained and communicated to all the staff members with the help of display boards. EOMS, EMS and En.MS Manual of the Organization was observed and found that the Employees understand the organization's context and follow the guidelines of IMS Policy</i>		
<b>5.3 Organizational roles, responsibilities and authorities</b>		The Organizations has established the Roles, Responsibilities and Authorities as per the Departmental Work Procedures of the Institute. The Designation wise Roles, Responsibilities and Authorities of all the employees are documented and maintained in Roles and Responsibilities Manual.		
<b>6.0 Planning</b>		<b>EOMS</b>	<b>EMS</b>	<b>En.MS</b>
<b>6.1 Planning actions to address risks and opportunities ( EOMS- Risk assessment and determination of opportunities EMS- Environmental Aspect, Compliance Obligation and Planning Action EN.MS- Energy Sources Identification, legal &amp; Other requirements and Planning Action)</b>		<p>1.Risk and opportunities related to COVID-19 Pandemic are found identified and due actions are found taken by the organization.</p> <p>2.Organization has also identified the risk related to the "Revision in the academic syllabus" &amp; "Timely completion of academic syllabus".</p> <p>Found in order.</p>	<p>1. The environmental aspects and impacts are recorded in the registers.</p> <p>2. The Compliance Obligations which includes EMS requirements, MPCB requirements are identified and addressed.</p> <p>3.The Environmental Projects undertaken by Students such as Air Pollution Control, Ambient Air Quality Management and Soil Quality Testing.</p> <p>Found Ok</p>	<p>1. The Energy aspects are identified (Viz Electrical Energy) and an alternative source (Solar Energy) is used to reduce the use of conventional method of energy consumption.</p> <p>2.The En.MS and MSEB Requirements are identified and addressed.</p> <p>Found Ok.</p>
<b>6.2 IMS objectives and planning to achieve them including change (Documented, Measurable, Monitored and communicated)</b>		<p>The educational organization objectives are found defined in terms of key performance objectives.</p> <p>-The Key performance or significant aspects are found determined in terms and objectives and are defined by the Principal (Reference document IMS Manual revision 00).</p> <p>The achievement of the objectives found in progress.</p>		



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<b>6.3 Planning of Changes</b>		Found compliant.
<b>7.0 Support</b>		
<b>Resources (Need of External resources, People, Infrastructure, Environment, Calibration records, Organisational Knowledge)</b>		<p>The requirements related to Human resource and Monitoring and measurement are defined in Reference document Manual revision 00 (Section 7.0)</p> <p>The organization has provided required infrastructure, Labs, equipment's, etc found ok</p> <p>Monitoring of lab equipment is done respective department heads.</p>
<b>Competence (Employee records &amp; Competence)</b>		The requirement is defined in Reference document Manual revision 00 (Section 7.0), The Responsibility and Authorities designation wise were checked during the audit and found ok.
<b>Awareness (IMS Policy, Objectives &amp; Effectiveness of IMS)</b>		The requirement is defined in Reference document Manual revision 00 (Section 7.0)
<b>Communication (what, who, when, whom, how)</b>		<p>The requirement is defined in Reference document Manual revision 00 (Section 7.0)</p> <p>Internal communication is done via – Meeting, Notice, circular, mail</p> <p>External communication is done via – Notice, Circular, Result, Notification found ok</p>





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<p><b>Documented information (External Origin, Creation, Updation, Distribution, Preservation, version control, Retention and disposition)</b></p>		<p>Organization’s overall process requirements, information related to documented information is found maintained in each department. Found ok.</p>		
<p><b>8.0 Operations</b></p>				
<p><b>8.1 Operational planning and control (Plan, Implement and control of process, documented information for process carried out as planned and Conformity of product or services EMS- Life Cycle Perspective control EN.MS – Elimination of Energy Sources and reducing OHS Risk)</b></p>		<p>The courses offered by college are well planned before its delivery.</p> <p>The departmental heads prepare the Annual Teaching Plan, Annual Academic Calendar based on the syllabus received from the university.</p> <p>The institute delivers the knowledge and the same is monitored by conducting the examination.</p>	<p>Environmental aspects are identified and planning to control the environmental pollutions are discussed with the Top Management and suitable actions are taken accordingly.</p> <p>Maintenance of Environmental friendly projects such as Botanical Gardening, Forest Gardening, Rain Water Harvesting is done on a basis. The Environmental Aspects identified are Garbage generated from the Canteen, and the Waste Paper Generated from the Examination and Library Department are disposed by dumping it in the Garbage Pit.</p>	<p>Energy consumption is noted in the energy consumption sheets.</p> <p>Analysis of different energy usages are done. Based on the report corrective actions are taken to make the optimum use of different energy sources.</p> <p>Alternate source of energy is used to avoid the traditional energy combustion which produces pollution.</p> <p>Eg. Solar Power is used in the College premises to reduce the electricity consumption.</p>



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<b>Customer communication (Enquiries, Contract, order, feedback, complaints)</b>		Admission Enquiry Register, Distribution of College Prospectus, Notices, Anti-ragging department establishment and complaint registers are the various processes and records maintained for customer communication	N.A	N.A
<b>Determining of Requirements for products and services (Objective evidence for record of contract review and approval, Record verification of Statutory &amp; Regulatory shall be referred here, record for communication of changes, legal requirements need to be re-verified if any concerns identified in Stage 1 audit or any new product added)</b>		The requirements from Universities, UGC, NAAC, Government, Parents and Students are taken and addressed on a regular basis.	N.A	N.A
<b>Review of the requirements for products and services and changes (Documented Information for Result of review and any new requirements for product or services including change control)</b>		Review of the requirements are done by taking the meeting with the related customer and a communication is made for their compliance.	N.A	N.A
<b>Design and Development Planning, Input, Controls, Output, Changes process (Record reference)</b>		Syllabus is framed by the university and institute play only a small part of delivering the knowledge hence this clause is not applicable	N.A	N.A
<b>Control of externally provided processes, products and services (documented Information for criteria for the evaluation, selection, monitoring of performance and re-evaluation)</b>		College Canteen, AMC with the contractors, Housekeeping etc are outsourced and are controlled by making the agreement with professional terms and conditions binding for both the organization.	N.A	N.A



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<b>Type and extent of control (Control Verification)</b>		Test Certificates are released for the verification of the purchased items.	N.A	N.A
<b>Information for external providers (Competence and qualification of external provider)</b>		Terms and conditions are detailed for the supplier in the tender documents before providing its products or services.	N.A	N.A
<b>Control of production and service provision (Records verified work instructions for the processing including delivery and post-delivery activities, characteristic of product, equipments use and availability for monitoring and measurement)</b>		All the services are provided transparently to the students and are found students centric. All the activities related to course delivery and examination records pertaining to it are maintained yearly.	N.A	N.A
<b>Identification and Traceability (Records verified for identification batch no or serial no in process as well as final dispatch)</b>		All the departmental records are given the documents reference no. All the equipments, furnitures etc are given the stock no. for their traceability.	N.A	N.A
<b>Property belonging to customers or external providers (Documented Information of Lost or damaged property)</b>		The Admission form along with the other documents of students are maintained in college properly and after passing from college their documents are returned.	N.A	N.A
<b>Release of products and services (Planned Arrangement documented information for acceptance criteria and authorized person traceability)</b>			N.A	N.A



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<b>Control of nonconforming outputs (Documented Information for Non conformity, action taken, concession, authority deciding action)</b>		Remedial classes are taken if the results of the students are not satisfactory. Extra class attendance sheets with class notes and re-examination results were checked as evidence.	N.A	N.A
<b>Emergency Preparedness and Responses</b>		N.A	NA	NA
<b>Procurement of Contractor and Outsourcing for IMS</b>		N.A	N.A	NA
<b>9.0 Performance Evaluation</b>				
<b>Monitoring, Measurement analysis and evaluation</b>		All the equipment's found in experimental labs were calibrated and proper results calculated sheets were checked.	NA	NA
<b>Customer Satisfaction (Analysis of Customer Satisfaction)</b>		Student feedback forms were checked for the analysis of Customer Satisfaction	N.A	N.A
<b>Analysis and Evaluation</b>			N.A	N.A
<b>Evaluation of Compliances</b>		N.A	1.	
<b>9.1 Internal Audit (Frequency and Documented Information for Implementation of Audit Program and the audit result)</b>		<p>Evident that organization has a process of conducting internal audit and management review at planned intervals (Once in a year).</p> <p>Evident that the internal audit and management review records are maintained for year 2021-2022, dated: 03.11.2022 and documented as The Annual Quality Assurance Report (AQAR) of the IQAC (For Universities) Part A and Part B. The output of the management review is found documented.</p> <p>Records found ok.</p>		



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<p><b>9.2 Management Review (Frequency, Input, Output, Documented Information for MRM Results)</b></p>		<p>Refer evidences from clause no.: 9.2. Inputs are found covered as per the requirements of clause no. 9.3. The output of the review meeting is found documented as below: Future plans of the Colleges – 1) Comprehensive curriculum Revision. 2) Starting Value Added Courses in the form of modules. 3) To encourage faculties to apply for Patents Etc.</p>
<p><b>Improvement, Nonconformity and Corrective action and Continual improvement (Documented Information for nature of NC and result of action taken)</b></p>		<p>The requirement is defined in Reference document Manual revision 00 (section 10.0).  There was no non-conformity recorded since the implementation of the management system.  Organization has established a “NC register” for documenting the incidents or events which are not complying to the requirements of management system.</p>

**END OF REPORT**