

ISO EXTERNAL AUDIT (2021-2022)



**KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY
(AUTONOMOUS)**

NAMAKKAL- TRICHY MAIN ROAD, THOTTIAM, TRICHY

**AC-25
Rev: 1**

REF: KNCET/CIRCULAR/ISO/ 21-22/003 _ENG.

28.06.2022

CIRCULAR

ISO External Certificate Audit is scheduled on 04.07.2022 to 06.07.2022. All the Auditees are requested to attend the opening meeting on 04.07.2022 at 9.30AM in Board Room.

I request you to extend your cooperation and make the audit successful.


Management Representative


Principal

Copy To:

- The Principal
- Dean (R&D), COE,
- All HODs , Office, store, Library
- ISO File

PRINCIPAL
Kongunadu College of
Engineering and Technology,
Tholurpatti (Po), Thottiam (Tk),
Trichy (Dt). Pin : 621 215.

Copy submitted to:

- The Chairman



**KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY
(AUTONOMOUS)**

NAMAKKAL- TRICHY MAIN ROAD, THOTTIAM, TRICHY

Acknowledgement

| Office / Department | Signature |
|---------------------|-----------|
| Chairman Office | |
| Principal | |
| Dean (R&D) | |
| COE | |
| CIVIL | |
| CSE | |
| ECE | |
| EEE | |
| MECH | |
| AGE | |
| AIDS | |
| IT | |
| S&H | |
| C2C | |
| Library | |
| Office | |
| Physical Education | |
| Store | |
| Transport | |
| House Keeping | |
| Electrician | |

BME

28.12.17

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Kongunadu College of
Engineering and Technology,
Tholurpatti (Po), Thottiam (Tk),
Trichy (Dt). Pin : 621 215.

Audit plan (Stage 2)

Organisation: **KONGUADU EDUCATIONAL INSTITUTIONS**

Audits (ZA): 10416/2021



Master Data of Organisation

| | |
|--|--|
| Name of Organisation | KONGUADU EDUCATIONAL INSTITUTIONS KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY (KNCET) KONGUNADU POLYTECHNIC COLLEGE (KPC) KONGUNADU COLLEGE OF EDUCATION (KCE) |
| Name of corporate group (in case of multi site organization only) | NA |
| Street | Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, |
| Postcode / Town / Country | Trichy (Dt) - 621215, Tamilnadu, India |
| Contact | Dr.PSK. R.Periaswamy, Chairman ; Dr.V.Gopinath, Professor |
| E-Mail | chairman@kongunadu.org ; gopinathv@kongunadu.ac.in |
| Phone | 9790092837 |
| Multi-site organisation | All sites are listed in: <input checked="" type="checkbox"/> Audit reference data sheet <input checked="" type="checkbox"/> Separate listing <input checked="" type="checkbox"/> Audit program/ATEA (calculation) |
| Shift operation | no shift operation |
| System documentation: (Revision / Issue) | QMSM Issue No: 1 Rev 02 Dt. 10.03.2021 |
| Language | English / Tamil |

Audit profile

| | | |
|--|---|---|
| Contract ID (ZE): | 10416 / 2021 | |
| Standards under contract / Audit type | ISO 9001 : 2015 1. Surveillance audit <input type="checkbox"/> Transition audit <input type="checkbox"/> (Partly) Remote | --- : --- : <input type="checkbox"/> Transition audit <input type="checkbox"/> (Partly) Remote |
| | --- : --- : <input type="checkbox"/> Transition audit <input type="checkbox"/> (Partly) Remote | --- : --- : <input type="checkbox"/> Transition audit <input type="checkbox"/> (Partly) Remote |
| Surveillance mode | Yearly surveillance | |
| Audit team leader | Suresh Ramalingam - RS | |
| Audit team | | |
| | | |
| | | |
| Technical expert | | |
| Trainee | | |
| Observer | | |

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Audit plan (Stage 2)

Organisation: **KONGUADU EDUCATIONAL INSTITUTIONS**
Audits (ZA): 10416/2021



| Audited Standards | |
|--|--------------------------------|
| ISO 9001 : 2015 2015 | 1st Surveillance Audit |
| Certificate ID (TP): 44 100 21393282 - 01 and 02 | Valid until: 08.08.2024 |
| Scope: KNCET : Imparting Education Leading to Graduate, Post Graduate and Ph.D. Degree in Engineering and Technology Courses. KPC : Imparting Education Leading to Diploma in Engineering Courses KCE : Imparting Education Leading to Degree in Bachelor of Education | |
| Industry / Sector (EA, TB, ...) Teaching / Education – EAC 37 | |
| Non-applicability of chapters: NIL | |
| No. of considered persons: 115 | No. of sites (incl. HQ): Three |
| Lead auditor: Suresh Ramalingam | Audit ID (ZA): 10416 / 2021 |
| ISO 14001 : 2015 | --- |
| Certificate ID (TP): | Valid until: |
| Scope: | |
| Industry / Sector (EA, TB, ...) | |
| Non-applicability of chapters: | |
| No. of considered persons: | No. of sites (incl. HQ): |
| Lead auditor: | Audit ID (ZA): |
| ISO 45001 : 2018 | --- |
| Certificate ID (TP): | Valid until: |
| Scope: | |
| Industry / Sector (EA, TB, ...) | |
| Non-applicability of chapters | |
| No. of considered persons: | No. of sites (incl. HQ): |
| Lead auditor: | Audit ID (ZA): |
| ISO 50001 : 2018 | --- |
| Certificate ID (TP): | Valid until: |
| Scope: | |
| Industry / Sector (EA, TB, ...) | |
| Non-applicability of chapters: | |
| No. of considered persons: | No. of sites (incl. HQ): |
| Lead auditor: | Audit ID (ZA): |

| Audit Details | |
|--|---|
| Sites | 3 Nos – Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy (Dt) - 621215, Tamilnadu, India |
| Audit date | 04.07.2022 – 06.07.2022 |
| Audit duration | 2,50 person days on site (incl. remote locations as applicable) inclusive 0,00 person days on site for audit stage 1 (separate report) |
| Remote Auditing (ICT) tools used, if any | <input type="checkbox"/> Skype <input type="checkbox"/> MS Teams <input type="checkbox"/> Webex <input type="checkbox"/> Zoom <input checked="" type="checkbox"/> Google Meet <input type="checkbox"/> Others : Please specify |
| 1. Audit Day (Date) : 27.06.2022 | |

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Audit plan (Stage 2)

Organisation: **KONGUADU EDUCATIONAL INSTITUTIONS**

Audits (ZA): 10416/2021



| Nr. | Time ¹⁾ | Site / shift / Business unit | Processes (optional entry) | Auditor (Initials) | Contact ²⁾ | Focus / Standard Requirement / Chapter/Clause ISO 9001:2015 |
|-----|--------------------------|------------------------------|---|--------------------|-----------------------|--|
| 1. | 04.07.2022 09.00-9.15 | Day 1 Thottiam / KNCET | Opening meeting | RS | All concerned | |
| 2. | 09.15-11.00 | | Top Management, QMS, Quality Policy, Objectives, MR, IA, Customer satisfaction, Document control and Records, Communication, CAPA, Continual Improvement | RS | V.Gopinath | 5.1,5.2,5.3,6.1,6.2,6.3,7.1,7.1.5,7.1.6,7.4, 7.5, 9.1,9.2,10.1, 10.3, 10.3 |
| 3. | 11.00-13.00 | | Student Admissions, Review, Communication, Customer Property, AICTE/DOTE Approvals, Students Feedback, Parents | RS | Mohan | 8.1,8.2,8.5.1,8.5.3,8.5.4, 9.1,10.2,10.3. |
| 4 | 13.00-13.30 | | Lunch | | | |
| 5 | 13.30-15.15 | KNCET | UG - Syllabus Planning & Execution, Course Execution, Performance Monitoring & Control, Competence, Class committee meeting, Data Analysis, NC Control, CAPA, Improvement (B.Tech. – Information Technology – Theory & Computer Science Practical) | RS | HoD | 8.1,8.5.1,8.5.2,8.5.3,8.5.4,8.5.5,8.5.6,8.5.6,8.6,8.7,10.1,0.2,10.3 |
| 6 | 15.15-17.15 | | PG - Syllabus Planning & Execution, Course Execution, Performance Monitoring & Control, Competence, Class committee meeting, Data Analysis, NC Control, CAPA, Improvement (BE. –Computer Science Theory & Practical) | RS | HoD | 8.1,8.5.1,8.5.2,8.5.3,8.5.4,8.5.5,8.5.6,8.5.6,8.6,8.7,10.1,0.2,10.3 |
| 7 | 17.15-17.30 | | Audit Briefing - Day 1 | RS | All concerned | |
| 8 | 17.30 | | End of Day 1 | | | |
| 9 | 05.07.2022 | Day 2 | Kongunadu Polytechnic College | | | |
| 10 | 09.00-11.00 | KPC | Education Realization process – Diploma in ECE – Theory & CSE Practical | RS | HoD | 8.1, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.5.6, 7.1.3, 7.1.5,7.5.3, 8.6, 8.7, 9.1.3, 10.1, 10.2,10.3 |
| 11 | 11.00-13.00 | KCE | Education Realization process – B.Ed | RS | Principal | 8.1, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.5.6, 7.1.3, 7.1.5,7.5.3, 8.6, 8.7, 9.1.3, 10.1, 10.2,10.3 |
| 12 | 13.00-13.30 | | Lunch | | | |
| 13 | 13.30-15.30 | | Exam Cell | RS | | 8.1, 8.5.1, 8.6 |
| 14 | 15.30-17.15 | | Library | RS | | 8.5.2, 8.5.4 |
| 15 | 17.15-17.30 | | Audit debriefing – Day 2 | RS | All concerned | |

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Audit plan (Stage 2)

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Audits (ZA): 10416/2021



1. Audit Day (Date) : 27.06.2022

| Nr. | Time ¹⁾ | Site / shift / Business unit | Processes (optional entry) | Auditor (Initials) | Contact ²⁾ | Focus / Standard Requirement / Chapter/Clause ISO 9001:2015 |
|--|---------------------------|------------------------------|--|--------------------|-----------------------|--|
| 16 | 17.30 | | End of Day 2 | | | |
| 17 | 06.07.2022 09.00-11.00 | Day 3 | Faculty Development Program | RS | HoD | 7.2 |
| 18 | 11.00-12.00 | | Purchase Process and Outsourcing, Incoming Inspection & Stores, Packing & Dispatch | RS | | 8.4, 8.5.2, 8.5.4, 8.6, 8.7 |
| 19 | 12.00-12.15 | | Top Management | RS | | 7.1, 8.1, 9.1, 10.1, 10.2, 10.3 |
| 20 | 12.15-12.30 | | Auditor time | RS | | |
| 21 | 12.30-13.00 | | Closing meeting | RS | All concerned | |
| 22 | 13.00 | | Close End of Day 3 | | | |
| Note: 5.1,5.2,6.1,6.2,6.3,7.1.4,7.5,8.1,8.5.6,9.1.3,10.1,10.2,10.3 common to all processes | | | | | | |

¹⁾ from to; Modifications are possible

²⁾ to be defined by client

Justification for Beyond normal working hours not covered during the audit:

Provide your justification if shifts were not covered in your audit. In case there is any extension to the auditing hours beyond 8 hours, kindly record the justification regarding rationale for the same.

Distribution

Organisation, audit team, audit documentation,

Editor

Date: 29.06.2022

Person in charge:

R. Suresh

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Audit report (Stage 2)

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Audits (ZA): 10416 / 2021



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| Contact | Dr.PSK. R.Periaswamy, Chairman ; Dr.V.Gopinath, |
| E-Mail | chairman@kongunadu.org ; gopinathv@kongunadu.ac.in |
| Phone | 9790092837 |
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| Shift operation | no shift operation |
| System documentation: (Revision / Issue) | QMSM Issue No: 1 Rev 02 Dt. 10.03.2021 |
| Language | English / Tamil |

Audit profile

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| | ISO 45001 : 2018 --- <input type="checkbox"/> Transition audit <input type="checkbox"/> (Partly) Remote | ISO 50001 : 2018 --- <input type="checkbox"/> Transition audit <input type="checkbox"/> (Partly) Remote |
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| Audit team leader | Suresh Ramalingam | |
| Audit team | | |
| | | |
| | | |
| Technical expert | | |
| Trainee | | |
| Observer | | |

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| Non-applicability of chapters: | NIL |
| No. of considered persons: 115 | No. of sites (incl. HQ): Three |
| Lead auditor: Suresh Ramalingam | Audit ID (ZA): 10416 / 2021 |
| ISO 14001 : 2015 | --- |
| Certificate ID (TP): | Valid until: |
| Scope: | |
| Industry / Sector (EA, TB, ...) | |
| Non-applicability of chapters: | |
| No. of considered persons: | No. of sites (incl. HQ): |
| Lead auditor: | Audit ID (ZA): |
| ISO 45001 : 2018 | --- |
| Certificate ID (TP): | Valid until: |
| Scope: | |
| Industry / Sector (EA, TB, ...) | |
| Non-applicability of chapters: | |
| No. of considered persons: | No. of sites (incl. HQ): |
| Lead auditor: | Audit ID (ZA): |
| ISO 50001 : 2018 | --- |
| Certificate ID (TP): | Valid until: |
| Scope: | |
| Industry / Sector (EA, TB, ...) | |
| Non-applicability of chapters: | |
| No. of considered persons: | No. of sites (incl. HQ): |
| Lead auditor: | Audit ID (ZA): |

Audit Details

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|--|--|
| Sites | 3 Nos – Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy (Dt) - 621215, Tamilnadu, India |
| Audit date | 04.07.2022 - 06.07.2022 |
| Audit duration | 2,50 person days on site (incl. remote locations as applicable) inclusive 0,00 person days on site for audit stage 1 (separate report) |
| Remote Auditing (ICT) tools used, if any | <input type="checkbox"/> Skype <input type="checkbox"/> MS Teams <input type="checkbox"/> Webex <input type="checkbox"/> Zoom <input type="checkbox"/> Google Meet <input type="checkbox"/> Others : Please specify |

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Audit report (Stage 2)

Organisation: **KONGUADU EDUCATIONAL INSTITUTIONS**

Audits (ZA): 10416 / 2021



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 veto 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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Kongunadu College of
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Audit report (Stage 2)

Organisation: **KONGUADU EDUCATIONAL INSTITUTIONS**

Audits (ZA): 10416 / 2021

TUV NORD
Zertifizierung

Summary of results

Table of Results

| ISO 9001:2015 | | | ISO 14001:2015 | | | ISO 45001:2018 | | | ISO 50001:2018 | | |
|---------------|-------------------------------------|----------|----------------|--------------------------|----------|----------------|--------------------------|----------|----------------|--------------------------|----------|
| Clause | Audited | Results* | Clause | Audited | Results* | Clause | Audited | Results* | Clause | Audited | Results* |
| 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"/> | |
| 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"/> | 1 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 7.1 | <input checked="" type="checkbox"/> | 2 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 7.2 | <input checked="" type="checkbox"/> | 1 | | <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"/> | |
| 8.1 | <input checked="" type="checkbox"/> | 1 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 8.2 | <input checked="" type="checkbox"/> | 1 | | <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"/> | |
| 8.6 | <input checked="" type="checkbox"/> | 2 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 8.7 | <input checked="" type="checkbox"/> | 2 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 9.1 | <input checked="" type="checkbox"/> | 1 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 9.2 | <input checked="" type="checkbox"/> | 1 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 9.3 | <input checked="" type="checkbox"/> | 1 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 10.1 | <input checked="" type="checkbox"/> | 1 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 10.2 | <input checked="" type="checkbox"/> | 2 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |
| 10.3 | <input checked="" type="checkbox"/> | 1 | | <input type="checkbox"/> | | | <input type="checkbox"/> | | | <input type="checkbox"/> | |

Additional requirements in accordance to ISO 17021:2015

| | | |
|--|-------------------------------------|---|
| 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"/> | - |
| c) responsiveness to complaints | <input checked="" type="checkbox"/> | 1 |
| d) effectiveness of the management system with regard to fulfilment of objectives | <input checked="" type="checkbox"/> | 1 |
| e) progress of planned activities aimed at continual improvement | <input checked="" type="checkbox"/> | 1 |
| f) the client's management system ability and its performance regarding meeting of applicable requirements | <input checked="" type="checkbox"/> | 2 |
| g) operational control of the client's processes | <input checked="" type="checkbox"/> | 2 |
| h) review of any changes including the management system documentation | <input checked="" type="checkbox"/> | 1 |
| i) use of marks and/or any other reference to certification | <input checked="" type="checkbox"/> | 1 |

audited: ☒ = 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.

Mandatory elements from A00VA02

Temporary Sites

a) Are temporary sites (i.e installation sites, project locations etc.) available?

☐ Yes ☒ No

b) If yes: which one are visited?

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Audit report (Stage 2)

Organisation: **KONGUADU EDUCATIONAL INSTITUTIONS**

Audits (ZA): 10416 / 2021



Objective evidences

For the assessment of conformity the audit team has reviewed the following objective evidences. As required (but at **least in initial/recertification or extension audits**) these objective evidences are attached adequately to the audit file and uploaded into the release workflow.

| Title/Content | Edition | Attached |
|--|---------|--------------------------|
| Entry in professional or commercial register (or comparable evidence) - if applicable | | <input type="checkbox"/> |
| Organization chart/evidence of organization | | <input type="checkbox"/> |
| Company policy for audited management systems | | <input type="checkbox"/> |
| Overview of management system documentation (e.g. table of contents or presentation of the structure of the management system documentation, process map) | | <input type="checkbox"/> |
| Result of management review (e.g. cover sheet or table of contents with date and signature) | | <input type="checkbox"/> |
| Current annual planning of internal audits and evidence of audit report(s) (e.g.: cover sheet with date and signature) | | <input type="checkbox"/> |
| Standard-specific evidence, as applicable (e.g. ISO 14001: extract of environmental permit register; ISO 27001: statement of applicability, ISO 45001: accident statistics; ISO 50001: energy report as cover sheet with date and signature or evidence of continual energy performance improvement) | | <input type="checkbox"/> |

Confidential information in the attached evidences may be blacked.

Standard specific results

- ☐ Additional standard specific audit results and/or information are recorded in corresponding „Supplemental audit reports“ (e.g. for ISO 27001 or ISO 50001).

Organisations profile

Name of the Company – **KONGUADU EDUCATIONAL INSTITUTIONS**

- 1) **KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY (KNCET)**
- 2) **KONGUNADU POLYTECHNIC COLLEGE (KPC)**
- 3) **KONGUNADU COLLEGE OF EDUCATION (KCE)**

- **Size of the company** – 115 employees with One shift Operation.
- **Audit Location(s):**
Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy (Dt) - 621215, Tamilnadu, India

- **Company Profile, Products / Services**

KONGUADU EDUCATIONAL INSTITUTIONS was established in the year 2007 under Kongunadu Educational Chairitable Trust headed by Chairman Dr. Dr.PSK. R.Periaswamy. They are engaged in providing Educational Services in Engineering, Technology & B.Ed courses. The Institution is equipped with Lecture Halls, Teaching Aids, Practical Labs, Accommodation facility, Canteen & Good Ambience to support their Educational Services.

University Affiliation, Framing of Syllabus, Admission – Academic Planning – Teaching, Test, Exam, results, Issue of Certificates, Placement cell

- **Customers:** 10th/12th students, Graduates

Products: BE/B Tech/ME/MTech/PHD / Diploma in Engg & Technology, B.Ed courses.

Quality Manual – QMSM Issue No: 1 Rev02 / Dt. 10.03.2021

Scope:

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- 1) **KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY (KNCET)** : Imparting Education Leading to Graduate, Post Graduate and Ph.D.Degree in Engineering and Technology Courses.
- 2) **KONGUNADU POLYTECHNIC COLLEGE (KPC)**: Imparting Education Leading to Diploma in Engineering Courses
- 3) **KONGUNADU COLLEGE OF EDUCATION (KCE)** : Imparting Education Leading to Degree in Bachelor of Education

Exclusion –

KCET: NIL. Autonomous Institution. Approved by AICTE.

KPC: Design & Development (8.3) is excluded as the College is Approved by AICTE & affiliated with Directorate of Technical Education, Chennai

KCE : Design & Development (8.3) is excluded as the College is affiliated with Tamilnadu Teachers Education University, Chennai.

EAC Code: 37

Certificate No; 44 100 21393282 - 01 and 02 Valid till: 08.08.2024

Summary of Results

☐ This audit was performed for the first time in accordance to **ISO 45001:2018**. The additional requirements (e. g.: context of an organization, understanding the needs and expectations of workers and other interested parties, hazard identification and assessment of risks and opportunities, actions to address risks and opportunities, management of change, contractors, outsourcing) were assessed in this audit

☐ This audit was performed for the first time in accordance to **ISO 50001: 2018**. The additional requirements (e. g.: context of an organization, understanding the needs and expectations of interested parties, risks and opportunities, energy planning process, energy data collection, variables, factors, normalization) were assessed in this audit.

SUMMARY:

ASPECTS/HAZARDS OF THE COMPANY AND/OR THE AUDIT TO BE HIGHLIGHTED

ISO 9001 / ISO 14004 – STATEMENT ON THE IMPLEMENTATION OF THE STANDARD REQUIREMENTS

This audit was performed for the Certification audit in accordance to ISO 9001:2015. 1st Surveillance Audit was conducted on 04.07.22 to 06.07 2022 for 2.5 man day. The additional requirements (e. g.: context of an organization, interested parties, risks and opportunities, planning of chances, organizational knowledge, life cycle perspective, outsourced processes, post-delivery activities) were assessed in this audit.

No Non Conformances were found in the Audit. Based on the findings, it is ascertained that the Documented System, Processes & the Practices were meeting the requirements of ISO 9001: 2015 Standards.

Hence, Maintenance of Certificate is recommended.

- **STRATEGICAL DIRECTION OF THE ORGANISATION (CONTEXT, STAKEHOLDER ANALYSIS) – DOCUMENTED IN CLAUSE 4.2 OF QMSM & PAGE 2 OF HWN.**
- **RISK-BASED APPROACH (ANALYSIS OF RISKS AND OPPORTUNITIES) – DOCUMENTED IN RISK REGISTER AC-27 REV 01.**
POOR INTAKE IN POLYTECHNIC COLLEGE – APPROACHED MANY SCHOOLS & PANCHAYAT PRESIDENTS IN NEARBY PLACES TO IMPROVE ADMISSION.
- **CONTROL OF EXTERNALLY PROVIDED PROCESSES – DOCUMENTED IN QSP/02/08. VERIFICATION BY INCOMING INSPECTION UPON RECEIPT OF MATERIAL. SUPPLIER PERFORMANCE RATING DONE FOR ALL RECEIPTS. SUPPLIER EVALUATION DONE BY PAST SUPPLIES, ISO 9001 CERTIFICATE, CUSTOMER APPROVED VENDOR, SITE AUDIT.**
- **SYSTEMATICAL KNOWLEDGE MANAGEMENT (ORGANISATIONAL KNOWLEDGE) – DOC. IN CLAUSE 7.1.6 OF QMSM. VERIFIED SYLLABUS FOR AUTONOMOUS ENGINEERING COLLEGE – IT DEPT - LTPC/2003 WHICH IS MAINTAINED AS ORGANIZATIONAL KNOWLEDGE.**

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- FULFILLMENT OF COMPLIANCE // LEGAL AND OTHER OBLIGATIONS— EVIDENCED IN HWN STAGE1 PAGE 9, AICTE APPROVAL LETTER FOR UG/PG COURSES . REF No: SOUTHERN/1-17001949/2020/EOA.
- CONSIDERING THE LIFE CYCLE PERSPECTIVE WHEN DETERMINING THE SIGNIFICANT ENVIRONMENTAL ASPECTS – NOT APPLICABLE
- MEASUREMENT AND CONTINUAL IMPROVEMENT OF THE ENVIRONMENTAL / OH&S PERFORMANCE – NOT APPLICABLE

• ~~ISO 45001~~ STATEMENT INDICATING THE IMPLEMENTATION OF THE STANDARD REQUIREMENTS

- STRATEGICAL DIRECTION OF THE ORGANISATION (CONTEXT, UNDERSTANDING THE NEEDS AND EXPECTATIONS OF WORKERS AND OTHER INTERESTED PARTIES) :
- CONSULTATION AND PARTICIPATION OF WORKERS :
- HAZARD IDENTIFICATION AND ASSESSMENT OF RISKS AND OPPORTUNITIES :
- PLANNING, ACTIONS TO ADDRESS RISKS AND OPPORTUNITIES :
- MANAGEMENT OF CHANGE :
- CONTRACTORS, OUTSOURCING :
- CONTINUAL IMPROVEMENT OF OH&S PERFORMANCE :
- CAPABILITY OF THE OH&SMS TO MEET ITS COMPLIANCE OBLIGATIONS :
- STATEMENT ON THE AUDIT PARTICIPATION DURING CLOSING MEETING (1. THE MANAGEMENT LEGALLY RESPONSIBLE FOR OCCUPATIONAL HEALTH AND SAFETY, 2.PERSONNEL RESPONSIBLE FOR MONITORING EMPLOYEES' HEALTH, 3.THE EMPLOYEES' REPRESENTATIVE(S) WITH RESPONSIBILITY FOR OCCUPATIONAL HEALTH AND SAFETY; IF NECESSARY: DOCUMENTATION OF JUSTIFICATION IN CASE OF ABSENCE OF SINGLE AUDIT PARTICIPANTS DURING CLOSING MEETING :

• IF NECESSARY: EXPLANATION OF FINDINGS

Summary for ISO 50004 :

• Legal form of the Organisation

- ☐ The organisation audited comprises of one or more legal entities, authorities, institutions or a combination of the same (Ltd., etc.).
- ☐ The organisation audited comprises of a part of a company (e.g. site certification).
- ☐ Current registry entries (≤ 12 months) are available or have been reviewed.
- ☐ The organisation audited is not listed in an official register (e.g. person or group of persons).
- ☐ The organisation audited can be described as follows:

The statements below are based on the information provided by the company during the audit and have been verified during the audit at random.

• Details on sites and energy sources

The EnMS covers all sites and energy sources of the certified company (as listed e.g. in the official register).

- ☐ Yes ☐ No

• Energy Consumption of the Company

- ☐ The total energy consumption of the company is measured and monitored. It includes all energy sources which are sourced from outside the boundary of the EnMS (of the location).
 - ☐ All purchased energy is used by the company or organisation itself.
 - ☐ Parts of the purchased energy is passed-through to another company or organisation.

The balance period (12 months) is from _____ to _____

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| Energy consumption of the company within the boundary of the EnMS: | |
|--|--------------------|
| Energy Sources | Energy Consumption |
| Electricity | GWh/a |
| Natural Gas | GWh/a |
| Heating Oil | GWh/a |
| District Heating | GWh/a |
| Fuels (Diesel, Gasoline, LPG) | GWh/a |
| Hard Coal, Lignite, Coke | GWh/a |
| (Others) | GWh/a |
| Total <small>Boundary</small> | GWh/a |

| Energy consumption of sites excluded from the boundary of the EnMS: | |
|---|--------------------|
| Energy Sources | Energy Consumption |
| | GWh/a |
| | GWh/a |
| | GWh/a |
| | GWh/a |
| | GWh/a |
| Total <small>excluded</small> | GWh/a |
| $\frac{Total_{excluded}}{Total_{Boundary} + Total_{excluded}} * 100 = \quad \%$ | |

• Confirmation of the continual improvement of energy performance

- ☐ The organisation demonstrated the improvement of energy performance as follows:
- ☐ Reduction in normalized energy consumption for the scope and boundaries of the EnMS (see section "Comparing the EnPI").
 - ☐ Progress toward the energy target(s) and management of the SEUs. Explanation:

- ☐ The organisation could NOT demonstrate the improvement of energy performance as required (for certification or re-certification audits this means a non-conformity category A).

• Comparison of EnPIs

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| SEU Significant Energy Use | Energy Performance Indicator (EnPI) | | | |
|-------------------------------|-------------------------------------|------------|---------------|------------|
| | Reference Value | | Recent Value | |
| Title of the SEU | Reference Period | EnPI-Value | Recent Period | EnPI-Value |
| | | kWh/t | | kWh/t |
| | | kWh/t | | kWh/t |
| | | kWh/t | | kWh/t |
| | | kWh/t | | kWh/t |
| | | kWh/t | | kWh/t |

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☐ Examples of realized measures (optional):

| | Sector | Measure | Savings [kWh/a] | Amortisation [months] |
|-----|--------|---------|--------------------|--------------------------|
| 1 | | | | |
| 2 | | | | |
| ... | | | | |

Conclusion

Taking into account the size and structure of the organisation, the objectives, the scope of the management system, the processes and the outcome, the organisation has 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 as well as the applicable requirements of the management system standards.

This includes in particular: the objective evidences already mentioned,

- the policies and objectives and their implementation in the organisation,
- the processes existing in the management system and their interactions,
- the resource management,
- the measuring and analysis (incl. sample of indicators),
- the continual improvement process as well as
- the recording system (p.r.n. including standard specific objective evidences).

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

Nonconformities are recorded in corresponding reports, other findings (as e.g. opportunities for improvement) are described in the section for "Detailed Results".


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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. |
| OFI | Opportunity 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. |

Detailed results

Summary for nonconformities

Any identified nonconformity is recorded in an individual NC report.

| Standard | In this audit | | From previous audit |
|-----------------|---------------|-------------|---------------------|
| | Number NC A | Number NC B | Number NC |
| ISO 9001 : 2015 | 0 | 0 | 0 |
| | 0 | 0 | 0 |
| | 0 | 0 | 0 |
| | 0 | 0 | 0 |
| Total | 0 | 0 | 0 |

☐ During this audit the implementation of corrective actions and effectiveness of nonconformities of previous audit was verified. The records are attached to this audit file.

| No | OFI (Opportunity for Improvement) | Area / Process | Standard:clause |
|----|--|----------------|------------------------|
| 1 | Competency mapping of teaching staffs may be updated. | FDP | ISO 9001:2015 7.2 |
| 2 | More clarity may be given for Period & Hours of classes handled. | Teaching | ISO 9001:2015 8.5.1 |
| 3 | Evaluation & recording of results for practical experiments may be improved. (KPC) | Lab | ISO 9001:2015 8.6 |

| No | GP (Good Practice) | Area / Process | Standard:clause |
|----|--------------------|----------------|-----------------|
|----|--------------------|----------------|-----------------|

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| | | | |
|---|--|-----------------------|------------------------------|
| 1 | Top Management commitment & Very Good Infrastructure | Top Management | ISO 9001:2015 5.1.1 / 7 |
| 2 | Customer Focus & Competent Personnel | Team / Human Resource | ISO 9001:2015 5.1.2 / 7.2 |

| No | CM (Comment) | Area / Process | Standard:clause |
|----|--------------|----------------|-----------------|
| | | | |
| | | | |


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Total Results

| Results | ISO 9001:2015 | Error! Reference source not found. | Error! Reference source not found. | Error! Reference source not found. |
|-----------------------------|-------------------------------------|---|---|---|
| ☐ 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 | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Refuse | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 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 for the re-certification.

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

Comments for next audit

If applicable, the final evidence of effectiveness and implementation of corrections and corrective actions for the nonconformities from this audit will be verified in the next audit.

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

The next audit is preliminarily scheduled for: 15.06.2023

Responsible for content

Name: R.Suresh

Date: 06.07.2022

Signature audit team leader

Client Signature: Dr. V. Gopinath

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