

ISO EXTERNAL AUDIT

(2022-2023)



KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY
(AUTONOMOUS)
NAMAKKAL- TRICHY MAIN ROAD, THOTTIAM, TRICHY

AC-25
Rev: 1

REF: KNCET/CIRCULAR/ISO/ 22-23/003_ENG.

11.08.2023

CIRCULAR

ISO External Certificate Audit is scheduled on 16.08.2023 to 18.08.2023. All the Auditees are requested to attend the opening meeting on 16.08.2023 at 9.30AM in Board Room.

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

V. Gopika
 Management Representative



Principal

PRINCIPAL

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

Copy To:

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

Copy submitted to:

- The Chairman

KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY
(AUTONOMOUS)
NAMAKKAL- TRICHY MAIN ROAD, THOTTIAM, TRICHY

AC-25
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REF: KNCET/CIRCULAR/ISO/ 22-23/003_ENG.

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- The Chairman



Acknowledgement

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

**Confirmation of 2nd Surveillance Audit for ISO 9001:2015 Certification on 16th August 2023 to
18th August 2023**

M, Palaniappan <palaniappan@tuv-nord.com>

To: HOD Agricultural Engineering <hodag@kongunadu.ac.in>

Cc: "chairman@kongunadu.org" <chairman@kongunadu.org>, "Venkataramanujulu, Balaji" <vbalaji@tuv-nord.com>,

"r.suresh@tuvindia.co.in" <r.suresh@tuvindia.co.in>, "Lakshmanan, Kannan" <kannanl@tuv-nord.com>, "SELVI, Jaya" <jayaselvi@tuev-nord.de>, "Vaikundam, Poomathy" <vpoomathy@tuv-nord.com>, "S, Clara" <scclara@tuv-nord.com>, "tvterode@gmail.com" <tvterode@gmail.com>

Tue, Jul 11, 2023 at 3:50 PM

Name of Company : KONGUNADU EDUCATIONAL INSTITUTIONS


11/7/23

Address :

Head Office: Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy Dt, Tamil Nadu, India - 621215

KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY, Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy Dt, Tamil Nadu, India - 621215

KONGUNADU POLYTECHNIC COLLEGE, Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy Dt, Tamil Nadu, India - 621215

KONGUNADU COLLEGE OF EDUCATION, Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy Dt, Tamil Nadu, India - 621215

Kind Attn : Dr.PSK.R.Periaswamy, The Chairman,

Dear Sir,

Greetings!!!!

As discussed,

This is for your kind information that your organisation's ISO 9001 :2015 2nd Surveillance audit is due and we propose to conduct the audit as follows:

Audit date: 16th August 2023 to 18th August 2023.

Lead Auditor: Mr. R.Suresh (9894 995759),

Mode of Audit : Onsite.

Also we request you to kindly inform us the changes in your organization if any, before the audit (Change in employees, company name, location, scope etc.). If the same is noted during the audit, an additional audit will be required over and above the Recertification audit man-days.

Please arrange pickup / drop and stay arrangements for the Auditor accordingly.

Kindly confirm to proceed further.

Best Regards,


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

Master Data of Organisation	
Name of Organisation	KONGUADU EDUCATIONAL INSTITUTIONS KONGUNADU COLLEGE OF ENGINEERING AND TECHNOLOGY (KNCE) 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
System documentation: (Revision / Issue)	QMSM Issue No: 1 Rev 02 Dt. 10.03.2021
Shift operation	no shift operation
Language	English
Peculiarities	None
Multi Site Organisation	
Selection of sites to be audited by sampling procedure	<input type="checkbox"/> Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> n.a.
An adequate listing of all sites in the scope(s) including all valid and relevant information in each case is part of the audit file	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> n.a.


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 Kongunadu College of
 Engineering and Technology,
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 Trichy (Dt)-Pin : 621 215.

Audit Plan (Stage 2)

Organisation KONGUADU EDUCATIONAL INSTITUTIONS
Audits(ZA) 10416/2021

Audit profile	
Contract ID (ZE):	10416 / 2021
Standards under contract / Audit type	ISO 9001 : 2015 2. Surveillance audit <input type="checkbox"/> Transition audit --- : --- <input type="checkbox"/> Transition audit
Surveillance mode	Yearly surveillance
Audit team leader	Suresh Ramalingam - 4407336
E-Mail Audit team leader	r.suresh@tuvindia.co.in
Audit team	
Technical expert	
Trainee	
Observer	

Audited Standards	
ISO 9001 : 2015	2 nd Surveillance Audit
Certificate ID (TP):	44 100 21393282 - 01 and 02
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
Lead auditor:	Suresh Ramalingam
--- :	---
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 Plan (Stage 2)

Organisation KONGUADU EDUCATIONAL INSTITUTIONS
Audits(ZA) 10416/2021

--- :	---
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):
--- :	---
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):

Definition of unit for duration and time		
Applied unit	Days	One audit day covers 8 audit hours
Audit Details		
Sites	3 Nos – Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy (Dt) - 621215, Tamilnadu, India	
Audit date	16.08.2023 - 18.08.2023	
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)	

Application of methods and tools in remote auditing			
Conducted as a remote audit	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Partly	<input type="checkbox"/> Total
If "Partly": The remote parts shall be made clearly identifiable in the plan table.			
Technologies used for remote audit	<input type="checkbox"/> MS Teams	<input type="checkbox"/> Cisco WebEx	<input type="checkbox"/> Zoom
	<input type="checkbox"/> Other on request of client: In this case, client takes over the responsibility for any required activity in information security.		


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 Kongunadu College of
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Trichy (Dt)-Pin : 621 215.

Audit Plan (Stage 2)

Organisation KONGUADU EDUCATIONAL INSTITUTIONS
Audits(ZA) 10416/2021

1. Audit Day (Date) 16, 17, & 18.08.2023

Nr.	Time ¹⁾	Site / shift / Business unit	Processes (optional entry)	Auditor (Initials)	Contact ²⁾	Focus / Standard Requirement / Chapter / Clause ISO 9001:2015
1	16.08.2023 10.00-10.30	Day 1 Thottiam / KNCET	Opening meeting	RS	All concerned	
2	10.30-13.00		Top Management, QMS, Quality Policy, Objectives, MR, IA, Customer satisfaction, Document control and Records, Communication, CAPA, Continual Improvement	RS	Dr.V.Gopinath	5.1,5.2,5.3,6.1,6.2,6.3,7.1.1,7.1.5, 7.1.6,7.4, 7.5, 9.1,9.2,10.1, 10.3, 10.3
3	13.00-14.00		Lunch			
4	14.00-16.00		Faculty Development Program, Placement	RS	Dr.V.Gopinath	7.2
5	16.00		End of Day 1			
6	17.08.2023 09.30-10.30	Day 2	Student Admissions, Review, Communication, Customer Properly, AICTE/DOTE Approvals, Students Feedback, Parents	RS	Mr.Sasikumar	8.1,8.2,8.5.1,8.5.3,8.5.4, 9.1,10.2,10.3
7	10.30-11.30	KNCET	Design of Syllabus for KNCET		Dr.R.Asokan	8.3
8	11.30-13.00	KNCET	UG - Syllabus Planning & Execution, Course Execution, Performance Monitoring & Control, Competenace, Class committee meeting, Data Analysis, NC Control, CAPA, Improvement (B.Tech – Agriculture Engg and CSE)	RS	Dr.V.Gopinath	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
9	13.00-13.30		Lunch			
10	13.30-14.30	KPC	Education Realization process – Diploma in civil Theory & Practical	RS	Mr.Manikandan	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	14.30-15.30	KCE	Education Realization process – B.Ed	RS	Mr.Baskar	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	15.30-16.30		Exam Cell	RS	Dr.P.Arul	8.1, 8.5.1, 8.6
13	16.30-17.00		Library	RS	Dr.Nagaraj	8.5.2, 8.5.4
14	17.00-17.15		Top Management	RS	Dr.R.Periaswamy	7.1, 8.1, 9.1, 10.1, 10.2, 10.3
15	17.15		End of Day 2			
16	18.08.2023 09.30-10.30	Day 3	Purchase Process and Outsourcing, Incoming Inspection & Stores	RS	Dr.K.Parimala	8.4, 8.5.2, 8.5.4, 8.6, 8.7
17	10.30-11.30		Maintenance & Transport	RS		7.1 PRINCIPAL

1. Audit Day (Date) 16, 17, & 18.08.2023

Nr.	Time ¹⁾	Site / shift / Business unit	Processes (optional entry)	Auditor (Initials)	Contact ²⁾	Focus / Standard Requirement / Chapter / Clause ISO 9001:2015
18	11.30-12.00		Auditor time	RS		
19	12.00-12.30		Closing meeting	RS	All concerned	

¹⁾ from to; Modifications are possible²⁾ 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.

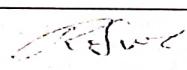
Distribution

Organisation, audit team, audit documentation,

Editor

Date: 10.08.2023

Person in charge:


R. Suresh
Objective evidences

Please have the evidences listed below ready for access by the audit team.

As required (but at least in initial/recertification or extension audits) copies of these objective evidences shall be provided to the audit team in an appropriate form to be included in the audit file. If necessary, confidential information in these dedicated copies may be blacked.

- Valid entry in professional or commercial register (or comparable evidence) - if applicable
- Organization chart/evidence of organization
- Company policy for audited management system(s)
- Overview of management system documentation (e.g. table of contents or presentation of the structure of the management system documentation, process map)
- Result of management review (e.g. cover sheet or table of contents with date and signature)
- Current annual planning of internal audits and evidence of audit report(s) (e.g.: cover sheet with date and signature)
- 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)


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Trichy (Dt)-Pin : 621 215.

Explanations:**Audit objectives:**

- determination of the conformity of the management system of the organization with the requirements of the aforementioned standards in order to achieve or maintain certification through an independent and accredited certification body;
- determination of the ability of the management system to ensure the organization meets applicable statutory, regulatory and contractual requirements;
- determination of the effectiveness of the management system to ensure the organization can reasonably expect to achieve its specified objectives;
- identification of areas for potential improvement of the management system.

The audit report is drawn up in German or English language and should describe if and how far the requirements of the aforementioned standards are fulfilled.

If some requirements of the aforementioned standards are assessed as "not fulfilled" in the audit, it is possible to demonstrate subsequent fulfilment in the form of a review of documents submitted later and/or in the form of a follow up audit at the company premises, depending on the type of nonconformity.

Any objections to the planned form of the audit should be discussed and solved between the organisation and the audit team leader before the audit. Any objections to members of the audit team shall be communicated to the certification body.

All members of the audit team have declared to the certification body in writing that they will keep confidential all information which becomes known to them during the course of the audit and that no inappropriate conflict of interest exists (see Annex).

Annexes (for certification body only):

- List of participants
- Declarations of impartiality/confidentiality


PRINCIPAL

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

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, Associate Professor		
E-Mail	chairman@kongunadu.org ; hodag@kongunadu.ac.in		
Phone	9790092837		
System documentation: (Revision / Issue)	QMSM Issue No: 1 Rev 02 Dt. 10.03.2021		
Shift operation	no shift operation		
Language	English		
Peculiarities	None		
Multi Site Organisation			
Selection of sites to be audited by sampling procedure	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> n.a.
An adequate listing of all sites in the scope(s) including all valid and relevant information in each case is part of the audit file	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> n.a.	


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

Audit profile		
Contract ID (ZE):	10416 / 2021	
Standards under contract / Audit type	ISO 9001 : 2015 2. Surveillance audit <input type="checkbox"/> Transition audit	--- : --- : <input type="checkbox"/> Transition audit
	--- : --- : <input type="checkbox"/> Transition audit	--- : --- : <input type="checkbox"/> Transition audit
Surveillance mode	Yearly surveillance	
Audit team leader	Suresh Ramalingam - 4407336	
E-Mail Audit team leader	r.suresh@tuvindia.co.in	
Audit team		
Technical expert		
Trainee		
Observer		

Audited Standards		
ISO 9001 : 2015		2nd 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
--- :		---
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):

--- :	---
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):
--- :	---
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):

Definition of unit for duration and time		
Applied unit	Days	One audit day covers 8 audit hours
Audit Details		
Sites	3 Nos – Namakkal-Trichy Main Road, Tholurpatti Post, Thottiam Taluk, Trichy (Dt) - 621215, Tamilnadu, India	
Audit date	16.08.2023 - 18.08.2023	
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)	

Application of methods and tools in remote auditing			
Conducted as a remote audit	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Partly	<input type="checkbox"/> Total
Technologies used for the remote audit	<input type="checkbox"/> MS Teams	<input type="checkbox"/> Cisco WebEx	<input type="checkbox"/> Zoom
<input type="checkbox"/> Other on request of client: In this case, client takes over the responsibility for any required activity in information security.			



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Details about the remote audit (if applicable)

The audit was performed applying technology for information and communication ("remote") at 0%.

Effectiveness and efficiency of the remote-part was ensured by

- experienced application of engaged technology;
- the consecutive processing of the single sessions with the individual units;
- the online interviews with different people from diverse units and various hierarchical levels;
- the separation of the audit team in individual online sessions;
- reviewing an adequate sample of documented processes and/or information;
- the discussion of appropriate charts, diagrams, slides or any other relevant information;
- the presentation and discussion of photos, videos and audios of issues, being prepared on detailed guidance and governance of the audit team.

Details about reviewed information or documents, interviewed persons, content of videos & photos etc. are recorded in the report or (handwritten) notes.

If the audit was performed partly remote, the corresponding sessions are identified unambiguously in the audit plan.

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	<input type="checkbox"/> Questionnaire(s) / Checklist(s) <input type="checkbox"/> Additional annexes, number
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Audit results								Table of Results
ISO 9001:2015		--- :		--- :		--- :		
Clause	RsIt.*	Clause	RsIt.*	Clause	RsIt.*	Clause	RsIt.*	
4.1	1							
4.2	1							
4.3	1							
4.4	1							
5.1	1							
5.2	1							
5.3	1							
6.1	1							
6.2	1							
6.3	1							
7.1	1							
7.2	1							
7.3	1							
7.4	1							
7.5	1							
8.1	1							
8.2	1							
8.3	1							
8.4	1							
8.5	2							
8.6	2							
8.7	1							
9.1	1							
9.2	1							
9.3	1							
10.1	1							
10.2	1							
10.3	1							
Additional requirements in accordance to ISO 17021:2015								RsIt.*
▪ internal audits and management review								1
▪ review of actions taken on nonconformities identified in previous audit NC/CM not raised in previous audit.								-
▪ responsiveness to complaints								1
▪ effectiveness of the management system with regard to fulfilment of objectives								1
▪ progress of planned activities aimed at continual improvement								1
▪ the client's management system ability and its performance regarding meeting of applicable requirements								2
▪ operational control of the client's processes								2
▪ review of any changes including the management system documentation								1
▪ use of marks and/or any other reference to certification								1
RsIt.* (Result): 0 = not audited; 1 = fulfilled; 2 = basically fulfilled/ potential for improvement; 3 = not fulfilled/ nonconformity; - = not applicable/ excluded. Details: see section „Audit findings“								

Mandatory elements from A00VA02		
Temporary Sites		
a) Are temporary sites (i.e. installation sites, project locations etc.) available?		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
b) If yes: which one are visited?		
Objective evidences		
<p>In any regular audit the audit team shall see and review the following objective evidences. To confirm, the corresponding revision information is registered in column „Edition“ That can become applicable as well for some or all the listed objectives in special audits, e.g. for extensions or after transferring sites. At least in initial/recertification or extension audits (or when necessary) these objective evidences/documents are attached adequately to the audit file and uploaded into the release workflow. In any other audit it is accepted to record the revision information only.</p>		
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	
<input type="checkbox"/>	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	
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COMPANIES PROFILE CONTAINING FOLLOWING INFORMATION

- INFORMATION IF MULTI-SITE SCHEME IS APPLIED : YES
- IF YES, LIST OF AUDITED SITES (E.G. IN AUDIT PROGRAM) :
AND LIST OF CERTIFIED SITES BY THIS AUDIT AS ENCLOSURES

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

- NUMBER OF EMPLOYEES (NUMBER OF EFFECTIVE EMPLOYEES) INCLUDING LOANED EMPLOYEES AND SUBCONTRACTORS (FULL TIME EQUIVALENTS) AS PER EACH LOCATION :
115 employees with noshift Operation.

RANGE OF PRODUCTS : BE/B Tech/ME/MTech/Ph.D / Diploma in Engg & Technology, B.Ed courses

- CLIENTS / TOP CLIENTS / MAJOR CLIENTS : 10th/12th students, Graduates

IMPORTANT PROCESSES: Admission, Framing of Syllabus, Planning – Time table, Teaching, Exam, Results, Issue of Certificates, FDP, Library, Purchase, Maintenance

- IMPORTANT ENVIRONMENTAL ASPECTS (ISO 14001) : NA
- IMPORTANT OCCUPATIONAL HEALTH & SAFETY RISKS : NA
- CERTIFIED SINCE? : 2021

Summary of Results

This audit was performed for the Certification audit in accordance to ISO 9001:2015. 2nd Surveillance Audit was conducted from 16.08.2023 to 18.08.2023 for 2.5 man days. 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.

- ASPECTS OF THE COMPANY AND/OR THE AUDIT TO BE HIGHLIGHTED
- ISO 9001 / ISO 14001 – STATEMENT ON THE IMPLEMENTATION OF THE STANDARD REQUIREMENTS
 - STRATEGICAL DIRECTION OF THE ORGANISATION (CONTEXT, STAKEHOLDER ANALYSIS) : DOCUMENTED IN CLAUSE 4.2 OF QMSM.

INTERNAL ISSUES : ABSENTISM, STUDENTS ENGLISH KNOWLEDGE IS POOR

EXTERNAL ISSUES : REMOTE LOCATION (RURAL AREA),

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.

RURAL AREA – COMMUNICATION IN ENGLISH LANGUAGE IS POOR


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CONTROL OF EXTERNALLY PROVIDED PROCESSES :

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.

INCOMING MATERIAL INSPECTION LIKE LIBRARY BOOKS, MAINTENANCE SPARES, CARRIED OUT BY CORRELATION OF MATERIALS WITH PO & REVIEW OF MTCs, DIMENSION MEASUREMENT, VISUAL INSPECTION.

○ **SYSTEMATICAL KNOWLEDGE MANAGEMENT :**

INTERNAL SOURCES: INTELLECTUAL PROPERTY, KNOWLEDGE GAINED FROM EXPERIENCE, LESSONS LEARNT FROM FAILURES AND SUCCESSFUL PROJECTS

EXTERNAL SOURCES: STANDARDS, GATHERING KNOWLEDGE FROM CUSTOMERS & EXTERNAL PROVIDERS. DOCUMENTED IN CLAUSE 7.1.6 OF QMSM. VERIFIED SYLLABUS FOR AUTONOMOUS ENGINEERING COLLEGE- AGE DEPT - LTPC/3003 WHICH IS MAINTAINED AS ORGANIZATIONAL KNOWLEDGE.

○ **FULFILMENT OF COMPLIANCE OBLIGATIONS :**

AICTE APPROVAL LETTER FOR UG/PG COURSES . REF NO: SOUTHERN/1-1-36445363110/2023/EOA.

○ **LEGAL AND OTHER OBLIGATIONS : EVIDENCED**

○ **CONSIDERING THE LIFE-CYCLE PERSPECTIVE WHEN DETERMINING THE SIGNIFICANT ENVIRONMENTAL ASPECTS :**

○ **MEASUREMENT AND CONTINUAL IMPROVEMENT OF THE ENVIRONMENTAL PERFORMANCE :**

● **ISO 45001 STATEMENT INDICATING THE IMPLEMENTATION OF THE STANDARD REQUIREMENTS :-**

(PLEASE STRIKE OFF IF NOT APPLICABLE).

○ **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 (MANDATORY DETAILS TO BE FILLED AS BELOW) -

1. THE MANAGEMENT LEGALLY RESPONSIBLE FOR OCCUPATIONAL HEALTH AND SAFETY :
MR. PITCHAIRATHINAM

2. PERSONNEL RESPONSIBLE FOR MONITORING EMPLOYEES' HEALTH : **PRINCIPAL**


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DR, N, KARTHIKEYAN

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: DISCUSSED

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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Audit findings**Notes for the findings**

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

Stage	Classification	Meaning
NC A	Major Nonconformity (Nonconformity A "major")	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 "minor")	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.

If applicable: Guidance for management of nonconformities

The organization shall perform a root cause analysis for any nonconformity and define adequate corrective actions. Root cause analysis, corrective actions including action plan for implementation and - if applicable- objective evidences for performed corrections or containment actions shall be submitted electronically to nominated lead auditor in charge on time to agreed deadline (latest six weeks after last day of the audit). The lead auditor will review these documents and shall inform organisation about the result.

The auditee organisation shall implement the corrective actions as defined in the approved action plan and review the effectiveness of implemented actions.

In the case of major nonconformities (NC A) the lead auditor shall verify the complete and effective implementation of action plan until agreed date (latest three months after last day of the audit). On decision of the auditor depending on type and extent of identified nonconformity, this can be done in a follow up audit on site or in a desktop-review of submitted documentation (objective evidence).

For minor nonconformities (NC B) it can be agreed to perform the verification of effective implementation of action plan in the next regular audit.

If any nonconformity applies for more than one audited standard, it shall be counted for every applicable standard; therefore the total number of nonconformity reports can be less than the number of nonconformities.


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Summary for nonconformities

Any identified nonconformity is recorded in an individual NC report.

Standard	Raised in this audit		To be verified from previous audit		
	Number NC A	Number NC B			
ISO 9001:2015	0	0	0		
---	0	0	0		
---	0	0	0		
---	0	0	0		
Total	0	0	0		
Total number of nonconformity-reports raised in this audit:	0				
<input type="checkbox"/> At least one of the nonconformities is graded as „generic“ and is counted in more than one corresponding audited standard.					
<input type="checkbox"/> 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.	Mechanism for monitoring the Admission to Management quota in UG as per govt. reservation policy may be looked at.	Admission	ISO 9001:2015 8.2
2.	Topics covered in Lecture notes may be improved. (DCE)	Teaching process	ISO 9001:2015 8.5.1
3.	Recording of Corrective actions to reduce Mal practices may be improved.	Exam cell	ISO 9001:2015 8.5.1
4.	Scheduled Bus stop timings may be displayed in transport vehicle.	Transport	ISO 9001:2015 7.1.3
No	GP (Good Practice)	Area / Process	Standard: clause
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
1.			
2.			

Closure and recommendations					
Closure result	ISO 9001:2015	---	---	---	---
Fulfilled	<input checked="" type="checkbox"/>	<input 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"/>	<input type="checkbox"/>
Not fulfilled	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Recommendations of audit team	ISO 9001:2015	---	---	---	---
Grant*/ Extension*/ Renewing*	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>
Suspension	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>
Refuse	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	<input type="checkbox"/>

¹ 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: On or before 15.06.2024

Responsible for content	
Name: Suresh Ramalingam	Date: 18.08.2023
<i>Suresh</i>	
Signature audit team leader	