

Audit Report (ISO 9001)

Company: Sri Shanmugha College of Engineering and Technology
Client-no.: 135239-01
Order-no.: 20060359



Management Service

Audit type (standard / Revision):	Certification Audit (ISO 9001:2015)
Audit date (on site):	2017-03-08 - 2017-03-08
Company / customer:	Sri Shanmugha College of Engineering and Technology
Street / P.O. box:	Pullipalayam, Morur Post, Sankari Taluk
Zip-Code / state / city:	IN - 637304 Salem, Tamilnadu
Audit representative:	Mr. Muthaiah U
Leadauditor/ auditor:	Mohamed Maaroo / K. Sundaresan
Technical expert/ trainee:	/ Rameswaran Boopathy
Observer:	--
Scope of certification:	Providing Educational Services Leading to Under Graduate and Post Graduate Degree Courses in Engineering
Branch scope (EA/NACE Code):	<u>NACE 1993 80.3</u>
Enclosed documents:	<ul style="list-style-type: none">• <u>Audit report Annex 1</u>: Action list including opportunities for improvement and positive aspects• <u>Audit report Annex 2</u>: Site specific information• <u>Audit report Annex 3</u>: Audit program / audited elements (optional per region)
Audit results:	<input checked="" type="checkbox"/> Audit objectives for the management system (MS) have been fulfilled; a (centrally) managed MS is in place; release of certificate recommended
Next audit date scheduled:	January 2018
Date for on-site re-audit:	NA

09.03.2017

Date

Lead Auditor(s) ISO
9001

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1 General information

1.1 Certification scheme

The audit in question has been conducted within:

- Single-site certification
- Multi-site certification (see Multi-site plan)
- Multi-site certification based on sampling (see Multi-site plan)
- Certificate transfer
- Combined / integrated certification
- Special audit
- Transition Audit (from ISO 9001:2008 to 9001:2015 and/or ISO 14001:2004 to 14001:2015)
- Others (please add): _____

1.2 Specific information about the client

See "Annex 2: Site specific information".

1.3 Audit objectives

Determination of the conformity of the management system with audit criteria.

Evaluation of the ability of the management system to ensure that it meets the applicable statutory, regulatory and contractual requirements.

Evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives.

Findings are listed in Annex 1 of the Audit Report.

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1.4 Significant changes which took place since the last audit

Topic	Changes
Management System / documented information	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Scope of certification	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes: No change in the scope: Providing Educational Services Leading to Under Graduate and Post Graduate Degree Courses in Engineering Doc No: SSCET-QSM-01, Rev. 01, 14.02.2017
Number of employees	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Others	NA

1.5 Particularities of this audit

Deviations from the audit plan:	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Significant issues impacting the audit program (<i>planned activities for the certification cycle</i>)	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Changes in audit objectives, audit scope or audit criteria:	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Others:	Exclusion: 8.3, Design and development: Teaching syllabus is designed by AICTE, only planning and execution is happening in this institution.

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2 Effectiveness of the management system, audit findings and evidence

The effectiveness of the management system has been reviewed based on the following evidences:

General (applicable for all certification schemes):

Aspects of the management system*	Evaluation of effectiveness	Remarks / detailed examples
The audit team evaluated the corrective action taken for the Nonconformities/ Areas of concern from the previous audit. They were found to be:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Not fulfilled (MiN or NC)	The previous audit of ISO9001:2015 (stage 1) standard held on 23.02.2017, during audit occurred 1 area of concern 6.1. The NC's has been accepted and reviewed by the Lead auditor.
Method used for defining the context and of interested parties defined by the organisation:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 2 ex. and comments: This organization has been reviews the context through internal and external issues. Internal issues: Communication skills of students. It is affecting the exam result and placement. Less utilization of library. External issues: Competition from other colleges nearby. 26 colleges are there in and around the city. Strict and tough teaching syllabus. Implementation of Common entrance exam (NEAT) all over India. Doc: SSCET-QSM-01, Rev.01, 14.02.2017 Interested parties: Top management, Faculties, students, parents, suppliers, subcontractors, university, AICTE, Fire & police, PF organisation
Appropriateness of scope of certification :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Not fulfilled (NC)	Comments: Providing Educational Services Leading to Under Graduate and Post Graduate Degree Courses in Engineering Doc. No: Quality Manual- SSCET-

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Aspects of the management system*	Evaluation of effectiveness	Remarks / detailed examples
		<p>QSM-01, Rev:01, Date:14.02.2017 Applicability: This organization provide 5 under graduate and 1 post graduate degree for the students Boundaries: They have well equipped class rooms and laboratories.</p>
<p>Leadership and commitment / Definition and assignment of Organizational roles, responsibilities and authorities:</p>	<p><input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)</p>	<p>Min. of 2 ex. and comments: Top management provides the peoples who all are interaction with the process given the decided roles and responsibilities of individual employees. Roles and responsibilities example given below. Doc.No: Quality manual: SSCET-QSM-01, rev:01, date:14.02.2017, Appendix A Faculty: 1.Planning and implementations of syllabus as per AICTE norms. 2.Objective handling and achieving Principal: 1.Identification of risk and opportunities. 2. Acting as DMR and responsibility of MRM Mr. Muthaiah (AP-CSE) Ms. Dr. G Devika (Principal)</p>
<p>Availability of resources necessary to support the operation and monitoring of these processes:</p>	<p><input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)</p>	<p>Min. of 1 ex. and comments: List of resources documented in quality manual: Class rooms-20 Nos, Experiment laboratories: 20 Nos, Computers: 506 Nos, Lift- 2 Nos, Fire extinguisher- 17 Nos, Generator- 2 Nos, Solar power generation and back up, Library with 20820 books, 13 bus</p>
<p>Availability and structure of documented information:</p>	<p><input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)</p>	<p>Comments: System documentation, Quality manual, Work instruction, quality process module-SSCET-QSM-01, rev:01, Date:14.02.2017,</p>

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Aspects of the management system*	Evaluation of effectiveness	Remarks / detailed examples
		Quality process module of –Competence, Infrastructure, new student admission process (SSCET-SOP-002), course administration process (SSCET-SOP-004), Control of documents (SSCET-QSP-001), Purchasing, Production Measuring device control.
Internal audit process:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Date of internal audit program: 20.02.2017 Characterization of results: Nil NCs. 3 improvements points identified. Closed and discussed in MRM. Frequency: Once in 6 month Comments: Audited process: QMS, Documentation, support oriented process, civil, mechanical teaching and examination, internal exam result
Management review process:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Date of last review:20.02.2017 Once in 6 month Min. of 1 ex. and comments: The below are the MRM inputs discussed: pending actions from last MRM, challenges in external and internal issues, objectives trends, customer satisfaction, IQA OI, customer complaints are the important agenda discussed. No deviations found in MRM agendas
Effectiveness of the management system in achieving the objectives and intended results	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex. and comments: Academic performance, pass rate: 2016-17 is 70%, 2017-28 target is 90%, Placement: >95% against target of 90%, Student participation in entrepreneurial activity: 5 Nos against 4 nos target
Continuing operational control of the management system during the certification cycle	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex. and comments: Compare with 2015-16 year pass rate increased in the year of 2016-17. >95% placement has been given in 2016

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QMS only:

Aspects of the management system*	Evaluation of effectiveness	Remarks / detailed examples:
Analysing, understanding and identifying the needs and expectations of interested parties :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex. and comments: Interested parties: Top management, Faculties, students, parents, suppliers, subcontractors, university, AICTE, Fire & police, PF organisation
Determination of processes :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex. (checked process): System documentation, Quality manual, Work instruction, quality process module-SSCET-QSM-01, rev:01, Date:14.02.2017, Quality process module of – Competence, Infrastructure, new student admission process (SSCET-SOP-002), course administration process (SSCET-SOP-004), Control of documents (SSCET-QSP-001), Purchasing, Production Measuring device control.
Appropriate quality policy statement:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Date of last review: Quality policy displayed in stake holder office, all floors, each department, board meeting room, notice boards, Website & office room prominent displayed. Doc.No: in quality manual SSCET-QSM-01, rev:01, Date:14.02.2017
Determination of risks and opportunities of the key processes:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex. and comments: Risk and opportunities documented in risk register. Risk: No accommodation. Mitigation plan: Hostel facility provided. Expansion is planned. Risk category: Low Risk: Poor participation of students in placement interviews. Mitigation plan: More training and motivational classes to be provided by giving importance of interview participation Risk category: Medium

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Aspects of the management system*	Evaluation of effectiveness	Remarks / detailed examples:
		Opportunities: NAAC accreditation, Good facility in terms of teaching and experiments. Good placement record.
Established quality objectives :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Date of last update: Academic performance, pass rate: 2016-17 is 70%, 2017-28 target is 90%, Placement: >95% against target of 90%, Student participation in entrepreneurial activity: 5 Nos against 4 nos target
Handling the organisations knowledge :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Comments: Performance appraisal, Library with 20870 Nos books, 64 national and international journals, language lab, NPTEL software. EDC cell is conducting entrepreneurial development programmes. National and state level symposium, Aptitude training.
Handling of customer communication :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 2 ex, of which 1 complaint: Customer feedback has been collected from students, alumni students and parents by on line and off line. Ms. TN. Nandhini, Reg No: 732711104015, Department: CSE, Feedback is Good. Mr. Saravanan S, Reg No: 732711104019, Department: CSE, Feedback is excellent No complaint received from customers.
Design process :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex. per cycle: NA. Shown as exclusions
Control of outsourced processes :	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex.: Calibration Instrument: Proving ring Date of calibration: 26.07.2015, frequency:2 year, Certificate: PR.2KN.12765

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Aspects of the management system*	Evaluation of effectiveness	Remarks / detailed examples:
Effectiveness of monitoring, measurement and evaluation:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 1 ex.: 1)7 th Semester BE. ECE, Subject Code: EC6016, Opto electronic devices 2)7 th semester BE. CSE, Subject code: CS6701, cryptography and network, 3)1 st semester ME. CSE, Subject code: CS2402, mobile and pervasive computing. Objective monitoring evidenced in each department.
Prevention of nonconformities and the systematic improvement process:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC)	Min. of 2 ex.: Compare with 2015-16-year academic pass rate increased in the year of 2016-17. No major / minor customer complaints in 2016
Ability for meeting requirements of applicable statutory/regulatory requirements related to product and service:	<input type="checkbox"/> Fulfilled <input type="checkbox"/> Partly fulfilled (MiN) <input type="checkbox"/> Not fulfilled (NC) <input checked="" type="checkbox"/> Not applicable	Min. of 1 ex. and comments: No statutory & regulatory requirements. AICTE reg No. F NO Southern/ I-2816321587/2016/EOA, dated 20.04.16
Samples of verified applicable legal requirements:	Min. of 2 ex. (if existent, otherwise less): No statutory & regulatory requirements their supplying of products.	

* Applicable and adequate for the type of organization

All those standard requirements for which neither nonconformities nor minor nonconformities are recorded in the action list (Annex 1) were evaluated as **fulfilled**. The minor nonconformities (MiN=isolated findings), which have not been closed yet, do not jeopardize the effectiveness of the management systems in question.

3 Controlling the use of certification documents and marks

The organization controls the use of certification documents and marks:	<input checked="" type="checkbox"/> Fulfilled <input type="checkbox"/> Not fulfilled (NC)	Comments: NA, Since it is a Certification audit
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4 Conclusion on overall effectiveness of the organization's management system (applicable only for multi-site audits)

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The conclusion of the Audit Team on the overall effectiveness of the MS is based upon common issues (findings*) from all audited sites.

5 Disclaimer statement

Auditing is based on a sampling process of the available information. Any audit recommendations are subject to an independent review prior to a decision concerning the awarding or renewal of certification.

A management system certification audit (initial, surveillance or recertification audit) is not a legal compliance audit (ISO 17021:2011, 9.1.2.2.2; ISO 17021:2015, 9.2.1.2).

6 Additional remarks

6.1 Duty of information

The Certification Body shall be notified by the client without delay of all changes that may impact on the management system's capability to continue to fulfil the requirements of the relevant standard now and in the future.

6.2 Due dates

The due date for the next surveillance audit is determined by the date of the last audit day of the certification or re-certification audit and can be agreed with the lead auditor.

The 1st surveillance audit following initial certification must be completed within 12 months of the last day of the stage 2 audit. Otherwise, a tolerance period applies to all other surveillance audits, of which the lead auditor will inform.

Re-certification audits must be carried out on time before expiry of the current certificate. If the audit is not carried out before expiry of the current certificate, it will be treated as new certification and require the number of auditor days applicable to initial certification. In this case, a new period of certificate validity and a new due date will be defined.

The exact audit date will be agreed well in advance by the lead auditor and the audit representative.

6.3 Confidentiality

The Certification Body will treat all received documented information related to the certification process as strictly confidential.

Copies to:

- Members of the audit team
- Certification body
- Client