Criterion 6 - Governance, Leadership and Management

Key Indicator - 6.5 Internal Quality Assurance System

QnM 6.5.2 - Quality assurance initiatives of the institution include: (15)

1. Regular meeting of Internal Quality Assurance Cell (IQAC); Quality improvement initiatives identified and implemented

2. Academic and Administrative Audit (AAA) and follow-up action taken

3. Collaborative quality initiatives with other institution(s)

4. Participation in NIRF and other recognized rankings

5. Any other quality audit/accreditation recognized by state, national or international agencies such as NAAC, NBA etc.

Table of contents

Quality audit reports/certificate as applicable and valid for the assessment period

Quality audit reports and copies of e-certificates

Sr. No.	Particulars
1.	External ISO Audit documents
2.	Internal ISO Audit documents
3.	ISO 21001:2018 Certificate
4.	ISO 9001:2015 Certificate
5.	AISHE Survey 2022 Certificate

01)	Name of the Client		Thakur Ramnarayan College of Art & Commerce			
02)	Address of HO & Site(s)		Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Dahisar East, Mumbai, 400068			
03)	File Number		T/6415/ISO 21001:201			
04)	Name of "Head of Organization" / Unit		Dr. Ravish R. Singh, Principal			
05)	Name of Organization Representative coordinating with CB		Dr. Ravish R. Singh, Principal			
	Names of the management legally responsible for occupational health and safety, personnel responsible for monitoring employees health and employees representative(s) with responsibility for occupational health and safety. (Applicable for OHSMS)		NA			
06)	Audit Criteria (strike out the standard not under audit)		~~QMS (ISO 9001)~~	QMS-EOMS (ISO 21001)	~~EMS (ISO 14001)~~	~~OHS (ISO 45001)~~
			• Applicable legal & other requirement. • Organization's procedures & documented information in line with the respective standards.			
07)	Date of Audit		14th Dec 2022			
08)	Type of Audit (strike out the standard not under audit)		~~Stage II/Renewal/~~ Surveillance ~~/ Scope extension / Scope reduction / Follow-up / Transfer / Special Audit for a/b/c as referred under Audit Objectives "9d"~~			
			~~Joint / Combined / Integrated / Remote~~			
09)	Audit Objective					
	a)	**Stage 2 Audit** : Is to evaluate the implementation including the effectiveness of the organization's implemented management system for the above criteria covering the following : ▪ Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents ▪ Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document) ▪ Organization's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements ▪ operational control of the organization's processes ▪ Internal auditing and management review ▪ Management responsibility for the client's policies.				
	b)	**Renewal Audit :** Is to evaluate the effectiveness of the organization's implemented management system for the above criteria covering the following : ▪ The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification ▪ Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance; ▪ The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s)				
	c)	**Surveillance Audit :** Is to evaluate the effectiveness for maintenance of the organization's implemented management system for the above criteria covering the following : ▪ Internal audits and management review; ▪ A review of actions taken on nonconformities identified during the previous audit; ▪ complaints handling; ▪ Effectiveness of the management system with regard to achieving the certified client's objectives and the intended				

		results of the respective management system (s); ▪ Progress of planned activities aimed at continual improvement; ▪ Continuing operational control; ▪ Review of any changes ▪ Use of marks and/or any other reference to certification
	d)	**Special Audit :** a) For expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. b) To investigate complaints, or in response to changes, or as follow up on suspended clients c) For upgradation to revised standards.
	NOTE: To verify the above audit objectives, in case of Remote audit carried out using ICT facility for gathering the audit evidences by utilizing the computer-assisted techniques such as MS Team, Skype, Video conferencing, webinar, information available in soft etc. as applicable.	

10)	Changes to the audit objectives, audit scope or audit criteria (e.g. physical location, organizational units, activities and processes), if any: Please attach "Notice of Change"	
➡	NA	
11)	Comment on the confirmation of the information provided (by the organization, including "Pre-audit Information"/Auditor Allocation Form)	
➡	**Scope of Certification**	•To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai •To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune
	Number of sites	ONE
	Travel Time between the sites	NA
	Number of employees associated with scope of certification (For Effective Number of Employees)	70
	Current certification & its validity	IRQS/213100191; Valid until 05 Feb 2024
	Design & development	Applicable
	Working in shifts **Regular working hours.**	9am to 5pm
	Externally provided processes, products and services (Outsourced)	Canteen, Visiting Faculties, AMC for AC, Water Cooler / Purifier
	Pre-audit information	Submitted

12)	Audit Team Details		Name	Role
	(Team Leader, Team Member, Provisional Auditor, Provisional Team Leader, Evaluator, Industry Expert Any accompanying persons; e.g. Guides, Observers, Translator, Facilitator etc.)		Sunil Verma	Team Leader
			Cdr. Srinivas Nilkund	Auditor

13)	**Audit conducted at [Physical location(s) as applicable]**	**Address**	**Date of Audit**	**Functions/ Process(es) /Activities audited at the Location/Site**
	Head office	**Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Dahisar East, Mumbai, 400068**	**14/12/22**	**Top Mngt., MR Processes, Resources, Curricular - Extra-Curricular-Extension Services, Purchase & Externally provided services, Library & Core Processes - Jr. College & Degree College**
	Permanent site(s)	**NA**	**NA**	**NA**

		Temporary site(s)	NA	NA	NA
14)		**To comment:**			
	a)	Any deviation from audit plan and their reasons (if yes, please justify)			
	➡	NIL			
	b)	Upon any adverse conditions faced during the audit (e.g.; power outage, Fire, Flood, specifically related to the condition of the sites affecting the auditing activities).			
	➡	NIL			

Audit Findings

SEC A : Comments on the Effectiveness for the Closure of Previous Audit Findings:

No. of Previous audit NCs:		NIL	No. of Areas of Concerns raised during Stage 1:	NA

Scheme & Clause No.	Findings	Comments on the effectiveness for the closure
NA	NA	**NA**

SEC B : Management System(s)

a) **Scope of Certification:** (If Multi-site audit, then scope as applicable at each site should be verified [for Stage 2 from Stage 1 Audit Report and for Subsequent audit against the issued Certificate] & reported)

➡	General Scope as required on the final "Certificate of Approval"	• To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai • To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune
	Scope of Head Office	Same as above
	Scope of Site	NA
	Scope Support Office(s) / Location(s), if any	Same as above
	Non-Applicability of Clauses & Justification for the same	No Exclusion

Justification for the scope of certification [Brief description for scope verification highlighting on the process flow / activities involved for the scope. Provide at least one example for scope of certification.

As per the scope of certification Thakur Ramnarayan College of Arts & Commerce (TRCAC) provides undergraduate education as per affiliation with University of Mumbai in streams of Arts, Commerce & Science and Higher Secondary Education in Arts & Commerce as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune.
This is achieved through two major sections under TRCAC:
- Degree College Section started in 2018 with 7 programs - BA, B.Com, BAMMC, BMS, BAF, BSc IT, BSc. CS - affiliated to UoM; Student Strength - CS, IT - 60/div, MAMMC - 60/div, B.Com 2 Div - 240, BA 1 Div - 120, BMS - 2 Div - 120 (Self Financing Courses)
- Jr. College Section started in 2016 with 2 programs - Arts & Commerce as per HSC Board, 2 Div Arts & 4 Div of Com. - with Student strength of 120/ div.

Degree College Section - examples:
- Program-wise students enrolled:

PROGRAM	1ST Yr	2ND Yr	3rd Yr
BA	137	105	121
BAMMC	82	35	55
BCOM	230	167	162
BAF	97	91	79
BMS	143	143	145
BSC IT	144	73	60
BSC CS	141	53	37

- 3 -

- Attendance in Classes is required to be above 75%. Example: The Attendance for period from 11/07/22 to 31/08/22 for Class – FY B Sc (CS) is:112/144 = 77.3% Attendance
- Number of Examinations conducted from January 2022 to October 2022.

SNo	Examination Type	Batch	No. of Students
1.	Semester 4 – Regular & ATKT [ONLINE]	2nd Yr 21-22	615
2.	Semester II Regular & ATKT	First Year 21-22	726
3.	Additional Exam for Semester II	First Year 21-22	09
4.	Semester II & IV ATKT	All batches	72
5.	Semester III Regular & ATKT	Second Year 22-23	673

- Result Analysis for Semester II Regular Examination May 2022

Sr. no.	Program	Appeared	Passed	Failed	Passing Percentage
1	B.A.	115	99	16	86.09
2	B.A.M.M.C.	44	39	5	88.64
3	B.COM	168	145	23	86.31
4	B.COM (A&F)	100	92	8	92.00
5	B.M.S.	144	138	6	95.83
6	B.Sc. I.T.	88	56	32	63.64
7	B.Sc. C.S.	56	39	17	69.64

Junior College Section - examples:
- Student Strength - as on 14/12//2022

Jr. College	1ST Yr	2ND Yr
ARTS	198	203
COMMERCE	588	492

- EOMS Objectives - Target vs Achievements:

EOMS Objectives	Target	Achieved	Remarks
Learner Satisfaction (Jr College)- Jun 22 to Oct 22	>75% Feedback Rating to be achieved by all teachers.	100%	All 6 subjects, All 6 Teachers – Avg Rating is above 75%.
Syllabus Coverage (Jr College)	100% to be covered in time as per Teaching Plan	100%	Achieved for all 6 Programs
Parents Feedback regarding College – (Jr Batch)	>70%	70.05%	Achieved for all 6 programs Achieved
Faculty Feedback reg College	>75%	>75% achieved	Feedback by 18 Faculty

- Faculty-wise time-table - verified for Ms. Reetu Pahuja as per Doc. TRCAC/IP/02/FRM/05 dt 13/6/22

Day/Time	12:30 pm to 1:20 pm	1:20 pm to 2:10 pm	2:10 pm to 3:00 pm	3:00 pm to 3:30 pm	3:30 pm to 4:20 pm	4:20 pm to 5:10 pm	5:10 pm to 6:00 pm
Monday	SYJC - C1		SYJC - C4	BREAK	SYJC - C1		SYJC - C2
Tuesday	FYJC - C1	SYJC - C3	SYJC - C4	BREAK	SYJC - C1		
Wednesday	SYJC - C4		SYJC - C1	BREAK	SYJC - C2	SYJC - C3	SYJC - C1
Thursday	FYJC - C1	SYJC - C2	SYJC - C3	BREAK			
Friday	SYJC - C4		SYJC - C3	BREAK	SYJC - C2		
Saturday	FYJC - C1	SYJC - C2	SYJC - C1	BREAK	SYJC - C3	SYJC - C4	

	Summary of Site Visit: A facility walk-thru' was given by Mr. Hardik Goradiya - Asst. Prof - Degree College of the entire campus. The college building has 9 floors with Class rooms at each floor which are assigned to various programs of Degree & Junior College. Class rooms are well equipped with sufficient lighting fixtures & teaching aids like White Boards, PA System & LCD projectors. Facilities like Sick Bay, Recreation Room, Entrepreneur Work-Shop, Gymnasium etc. are available for Students.	
b)	Process of understanding & review of the needs and expectation of interested parties	
➡	TRCAC has determined external and internal issues that may affect its ability to achieve the intended outcomes of its EOMS. External context: • Issues relating to norms and standards of Statutory and Regulatory Body • Technological innovations and developments • Key economic and market development which can impact the TRCAC • Retaining intake of students despite potential academic institutes in the vicinity Internal context: • TRCAC's culture and attitudes • Holistic development through Co-curricular, Extra-curricular and Extension activities c) Facilitating teaching-learning for vernacular medium students • Academic pressure from peers and parents • Effective teaching learning to retain students' interest in academics TRCAC monitors and reviews information about these external and internal issues vis-à-vis needs & expectations of interested parties as per the table defined in Apex Manual Doc. TRCAC/EOMS/AM/01 Sec 4 page 2 of 5 - verified e.g. all statutory compliances & record of feedbacks from Students / Parents.	
c)	Methodology of identification, access of compliance obligations [i.e. applicable Legal (Statutory / Regulatory & Other) requirements]	
➡	All legal/statutory/regulatory compliances are adhered to. Verified as per list attached in Annexure - I of this audit report	
d)	Methodology of determination of risk & opportunities related to ▪ the context of organization, ▪ Interested Parties ▪ management system and its processes/activities Give examples of determined risk & opportunities	

➡	• Risk & Opportunities are identified for every process - verified for Admission Process as per Doc. TRCAC/IP/01.
	• Verified Risk & Opportunities Risk Mitigation Chart as per Doc. TRCAC/MP/08/FRM/01 comprising 41 areas clearly identified & analyzed for mitigation plan.
	• E.g. In case of Examination vis-à-vis use of unfair means by the students, in order to curb / stop / avoid such malpractices from happening mitigation measures like Vigilance Squad & Unfair Means Committee have been formed - verified Records of:
	  1. Vigilance Squad as per Doc. TRCAC/Exam/23 of 2022-23 dt 7/11/22
	  2. Unfair Means Committee Exam/08 of 2022-23 dt 12/10/22	

e)	A)	Brief description of organization processes determined taking into account planning, Monitoring and control of the management processes, change control (management of change) needs to achieve the expected outcome.
	➡	The processes are well defined e.g. separate processes for functions like Admission, Teaching & Learning, Examination, etc. The process flow for each function is well established e.g. for Teaching & Learning of the Degree Section: Academic Calendar → Resource Planning → Time-Table → Faculty Diary → Daily Work Report → Attendance Sheet → Monthly Attendance → Feedbacks → Examinations → Results. This process comprises planning of the academic year & the resources, Designing of Learning plan & teaching delivery, Monitoring & Measurement of Teaching & Learning Process, Feedbacks from Learners & analysis of the same, Summative Assessment, and declaration & communication of the expected Outcome (Results).
	B)	Control over identified externally provided processes, products and services (Outsourced activities).

	➡	• There are 62 Vendors. Verified Doc. No. TRCAC/IP/05/ 01, DT 1/12/22 – these were re-evaluated and completed as on 1/12/22.
		• Purchases of products is done only through APPROVED SUPPLIERS. Verified PO No –TRCAC/DR/046/2022-23, dt 27/07/22 for Consumable items like White Board Marker Pens etc. on ALTON Marketing as per Order Form (Requisition) Doc. TRCAC/IP/05/FRM/02 dt 26/7/22 raised by Sayali Pereira - Asst Teach Jr. College & approved by the Principal. The firm is an Approved vendor, on the list.- Items recd and payment cleared after verification & acceptance by Admin.
		• Verified record of AMC - Annual Maintenance chart Doc. TRCAC/ACC/JC/139 for the year 2022-23. Verified the following examples:
		  1. VIVA ENTERPRISES. – Approved for Firefighting system AMC for a period from 1/1/22 to 31/12/22;
		  2. RIATEL Solution for Biometric Time & Attendance System form 1/8/22 to 31/7/23.

	C)	EMS Life Cycle Perspective (Input ➡ Processing ➡ Output)

- 5 -

		▪ An example of Environmental aspect / impact arising out of "Life Cycle Perspective" and any Operational Control measures Directly or Influencing ▪ Any objective set to minimize the impact of environment arising out of Aspect – Impact
	➡	NA
f)	Process of establishment and monitoring objectives of management system (with few examples for respective management systems audited <u>such as setting of Environmental objectives, target, programs</u>)

➡	• TRCAC has established Educational Organization Objectives and its measurable indicators at relevant functions, levels and processes needed for the EOMS. Measurable Educational Organization Objectives are derived from the Educational Organization Objectives and the same are reviewed in every Management Review Meeting. -
	    1. Verified EOMS Objectives as listed in Doc. TRCAC/EOMS/AM/01
	    2. Verified MoM of MRM dt. 7/9/22 as per Doc. TRCAC/MP/07/FRM/03
	• A detailed strategic plan is outlined to achieve Educational Organization Objectives as per chart given in Sec. 6 of Apex Manual - verified.

g)	The availability of resources, environment necessary to support the operations & monitoring of management process.
➡	TRCAC has well defined process for planning & monitoring of Resources as per Doc. TRCAC/MP/02. Verified the following documents: • Identification of resources required for the admission process - Office Note Admin/JC/DC/004/2022-23. Record of Stock for Admission process, Classroom requirement, Benches & Seating capacity Classroom-wise • Floor-wise Drawing of the new building of the College & Infrastructure Resources as planned for 2022-23 as per Doc. TRCAC/MP/02/FRM08. • List of Staff for 2022-23 verified - Non-teaching - 23; Degree College - 37 & Junior College - 25 • Resource planning - Verified as per Doc. TRCAC/IP/02/FRM/03 for academic year 2022-23 and Committees formed for Admission, Time-Table, Attendance / Syllabus Coverage, Discipline / Website, Examination, Library, CEEP & PHE activities. • Verified Workload for Degree College as per Doc. TRCAC/IP/02/FRM/02 dt 13/6/22for Sem I / III / V - Full time Faculty - 34 & Visiting Faculty - 5 • Record of Committees Formed for AY 2022-23

Personnel Interviewed, including workers / contract workers
[The Personnel who will be Interviewed during Audit. (Based on the Scope of certification and scheme).
- *Shop floor personnel / Operational Personnel involved in critical process / functions / Company workers / Contract workers / Personnel involved in or with Outsourced activity Interested party representatives /*
- ***Personnel responsible for monitoring employees' health, for example, doctors, nurses and or any nominated / authorized representative of the organization***
- *As felt appropriate, include any other personnel based on the organization being audited}*

Name	Designation	Interviewed For	Conclusion Based on Interview
Mr. Ravish R.Singh	Principal	Top Mngt & MR processes	Adequate knowledge & control of processes
Ms. Sumathi Rajkumar	Asst. Professor - DC	Core Processes	Adequate knowledge of processes
Mr. Hardik Garodiya	Asst. Professor - DC	Core Processes	Adequate knowledge of processes
Ms. Sayali Pereira	Asst. Teacher - JC	Core Processes	Adequate knowledge of processes
Ms Sarwari Rangila	In-Charge - JC	Core Processes	Adequate knowledge of processes

Summary of Health Performance including health objectives: (For all ISO 45001 – OHSMS AUDITS). - NA

h)	Methodology of determination & maintenance of organization knowledge necessary for the operations of its processes to achieve conformity of product /service, environmental impact / prevention of injury for the respective management system.
➡	TRCAC follows a well-defined process for managing Organization Knowledge - Training & Development Doc. TRCAC/MP/04 - Training of Faculties are managed by Faculty Development Program initiative. Verified the following records as samples: • Degree College Induction Program Record TRCAC/MP/04/FRM/01 for Mahima Yogeshwarar - Asst. Prof - IT / CS - Joining dt. 2/7/22 & Anusha Joshi - Asst. Prof - BA - Joining dt 13/6/22 • Junior College Induction Program Record TRCAC/MP/04/FRM/01 for Vaidehi Kapadia - Asst. Teacher - Commerce - Joining dt. 9/6/22 & Manish Kumar - Lab Asst. - IT - Joining dt. 16/7/22 • Record of Faculty Development program - Topic - Teaching Methodology - Shift from Teaching to Facilitation - conducted from 28th to 30th April'22 • Record of Faculty Orientation Program - Topic - Outcome Based Training - conducted by Hardik Goradiya - IQAC Member on 25/8/22
I)	Demonstration of Leadership and commitment towards management system

➡	• Defined Organization Structure – verified as per Part III Sec. 1 & 2 of Apex Manual Doc. TRCAC/EOMS/AM/01 depicting hierarchy, reportability, & responsibilities. • Specific Responsibility & Authorities are also defined as per Sec. 5 of Apex Manual for each Key positions – Verified for Ms. Sumathi Rajkumar - Asst Prof. DC, Mr. Hardik Goradiya - Asst. Prof. DC & Ms. Sayali Pereira - Asst Teacher JC • Focus on Learners & other Beneficiaries: Verified - Annexure A4 has been defined in the Apex Manual which explains in detail the needs & expectation as well as the actions required for the same. • TRCAC has established Feedback and Survey Process to monitor the satisfaction of learners, other beneficiaries, and staff, as well as their perceptions of the degree to which their needs and expectations have been fulfilled. - Verified Procedure for Feedback and Survey Doc. TRCAC/MP/06.
j)	Method / procedure for Corrections and Corrective actions, as applicable for respective scheme, with example
➡	• TRCAC has process for Control of Non-Conforming Outputs Doc. TRCAC/MP/05 & Internal Audit Doc. TRCAC/MP/07. • No non-conformity observed for the last Internal Audit. • TRCAC has a practice of guiding the students who are underperforming / slow learners / need guidance to eliminate any shortcoming impacting their academic progress thru' mentorship program - e.g. verified list of mentors for SYJC for 2022-23. Different teachers are assigned as mentors vis-à-vis Class / Div & Student Roll numbers. • Students, who miss their classes due to their involvement in CEEP activities, are given special assignments to cover up academic loss. E.g. verified Assignment given to Purshottam Singh Karla, Roll 42, FYJC.
k)	Effectiveness of Internal Audit & Management Review
➡	**INTERNAL AUDIT:** *Briefly describe the process of conduct of IA, Comment on the competency of IA auditors, Number of internal auditors, Trained for Internal auditors, Verification of audit Programme, Audit Plan.* • One Internal Audit is conducted in each Academic term of the College. • Last two Internal Audit were conducted in May'22 & Sep'22 - verified record of IA Plan as per TRCAC/MP/06/FRM/01; All relevant functions were found audited. *Findings of IA:* *Briefly Corrective actions and effectiveness of corrective taken for the NC's Observations etc. on the outcome of IA.* *Briefly on the Conduct of IA in an Impartial manger, Conclusion on the effectiveness of IA conducted:* • Verified records of Internal Audit Findings Doc. TRCAC/MP/06/FRM/02 & Internal Audit Summary Doc. TRCAC/MP/06/FRM/04; No NC was raised. **MANAGEMENT REVIEW:** *Briefly describe the process of conduct of Management Review, Summary of the conducted and conclusion on the effectiveness of conducted Management review, Improvement, Output* • MRM is conducted once in every Academic Term. Last two MRM were conducted in May'22 & Sep'22 - verified record of MoM as per TRCAC/MP/07/FRM/03; • Agenda followed as per the Standard. Agenda points seem to have been discussed in detail with focus on achievement of EOMS Objectives, Satisfaction of Students / Parents, Result Analysis etc.
l)	Examples of improvement/s as a result of correction, corrective actions, break through changes, innovation and reorganization including continual improvement.
➡	1. Introduced R&D process in college - verified Procedures Manual Doc. TRCAC/EOMS/PM/02 - a new process for Research & Development - added as Institutional Process dt 25/6/2022 - verified amendment record. 2. Conducted Seminar on Entrepreneurship - verified record TRCAC/IP/06/FRM/07 dt 10/12/22 3. 'Go Shoonya' - Neutrally Redefined - first Start-up at the Campus - an initiative under Entrepreneurship Program. 4. Teachers were oriented about writing a Research Paper - verified MoM of MRM - Point 17 - teachers advised to write & publish Research Papers in line with requirements of NAAC which is expected to be attained after 2024. 5. Conducted orientation courses on 'outcome' based education - Record of Faculty Orientation Program - Topic - Outcome Based Training - conducted by Hardik Goradiya - IQAC Member on 25/8/22
m)	Comments on the process of Organization's Management of Change
➡	• TRCAC is aligned with the concept of Management of Change. Going forward TRCAC aspires to attain NAAC (National Assessment & Accreditation Council) accreditation. TRCAC has taken a proactive approach by adopting Research & Development process for creating an environment of R&D amongst the Teaching Staff as well as Students. • Entrepreneurship Program is yet another initiative by TRCAC for making the learning / training a result oriented / outcome based process - the first start-up 'Go Shoonya' is an specific example of the same.
n)	Attached Annexure A for Summary of OHSMS : ISO 45001:2018 – Additional (New) Requirements & IAF MD 22 Requirements (IV IRQS:FORM:102-A:OHS) — Yes / No / NA

SEC C : Current Audit Non-conformity

a)	Scheme	NC No.	Clause No.	Statement(s)	Grading of NC (Major/Minor)

	ISO 21001:2018	NIL	NA	NA		NA
b)	No. of Major NCs:		**NIL**			
c)	No. of Minor NCs:		**NIL**			

SEC D (a) : Maturity Of The Management System			
(i)	**Level of Integration in case of Integrated Management System:**		
	a)	Integrated Documentation (Manual, policy and objectives, procedures, work instruction etc.)	☐ ~~Yes~~ ☐ ~~No~~
	b)	An Integrated approach to Roles & Responsibilities	☐ ~~Yes~~ ☐ ~~No~~
	c)	Conduct of Integrated / approach to Internal Audit	☐ ~~Yes~~ ☐ ~~No~~
	d)	Conduct of Integrated Management Reviews considering the overall business strategy and plan	☐ ~~Yes~~ ☐ ~~No~~
	e)	An Integrated approach to systems processes	☐ ~~Yes~~ ☐ ~~No~~
	f)	An Integrated approach to continual Improvement mechanisms	☐ ~~Yes~~ ☐ ~~No~~
	g)	Organization's personnel to respond to questions more than one management system standards.	☐ ~~Yes~~ ☐ ~~No~~
ii)	Comment on the maturity of the management system i.e. about the management system is fully established in the organization and the level of support that it has from senior and top management.		**EOMS has been well implemented.**
SEC D (b) : Brief comments on Annexure to Questionnaire for Result of the review of the system (over period of certification), (applicable during renewal audits)			**NA**

SEC E: Comments on Usage of Marks / Logos (Accreditation / IRQS)
NABCB :
▪ The logo shall not be displayed on buildings and flags.
▪ The logo shall not be displayed on vehicles except in publicity material like part of a large advertisement
▪ The logo shall not be used on the visiting cards
▪ Use of logo not permitted on laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context.
Neither the IRQS's Logo nor the NABCB's Logo shall be used on the packaging of a product, labels, publicity material, written announcements etc. that in any way suggests that the IRQS or NABCB have certified or approved any product, process or services of the registered client
Logo not in use
RvA
▪ On reports and certificates of certified calibration-, testing and medical laboratories and inspection bodies;
▪ On business cards of the certified client's personnel.
Logo not in use
Use of Marks / Logos (Common for both) : Comments on verification of website for Use of Marks / Logos, <u>display of certificate for its appropriateness and validity on the Client's website, any social media, wherever is applicable look at the maximum.</u>
Logo not in use

SEC F (a) : Any Unresolved Issues	**NIL**
SEC F (b) : Any Other comments / observations	**NIL**

SEC G : Audit Program [To be filled for one cycle, up to Renewal]										
Any Significant issues impacting audit program to be recorded										
Type of Audit	Stage 1		Stage 2 / Renewal		Surveillance # 1		Surveillance # 2		Renewal	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Date Of Audit	Dec' 20	26/12 /20	Jan' 2021	22nd & 23rd Jan' 21	Jan' 2022	7/1/ 22	Dec'22	14/12 /22	Dec' 23	
No. of Mandays	1	1	2.5	2.5	2	2	2	2	2.5	

*Site(s) [covering Temporary /Permanent] / Department/ Functions / Processes (**Please mark [✓]Tick Mark**)	Stage 1		Stage 2 / Renewal		Surveillance # 1		Surveillance # 2		Renewal	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Top Management	✔	✔	✔	✔	✔	✔	✔	✔	✔	
MR Processes	✔	✔	✔	✔	✔	✔	✔	✔	✔	
Degree College - Core Process (Admission, Teaching & Learning Process & Examination)	✔	✔	✔	✔	✔	✔	✔	✔	✔	
Jr. College - Core Process (Admission, Teaching & Learning Process & Examination)	✔	✔	✔	✔	✔	✔	✔	✔	✔	
Resources (Human Resource, Facilities, Competence & Training)	✔	✔	✔	✔	✔	✔	✔	✔	✔	
Communication (Information & Public Relations)	✔	✔	✔	✔	✔	✔	X	X	✔	
Library Process	✔	✔	✔	✔	✔	✔	✔	✔	✔	
Co-curricular, Extra-curricular and Extension Activities	✔	✔	✔	✔	X	X	✔	✔	✔	
Placement and Higher Education	✔	✔	✔	✔	✔	✔	X	X	✔	
Purchase & Externally Provided Services	✔	✔	✔	✔	X	X	✔	✔	✔	
Shifts audit (at least once in a cycle, if applicable, Processes to be audited in each shift)	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA

[*Sub-Division in the Department, Processes, Sub-Processes, Activities involved & audited under One Heading to be specified in the "Site(s) [covering Temporary /Permanent]/ Department/ Functions"]

Note:
 a) Stage 1 Audit Programme to be addressed the Number of Shifts & audit is planned for at least one of the shifts inside and one outside of regular office hours
 b) Stage 2 / Renewal / Surveillance Audit : as per the Stage 1 Audit Programme, audit is conducted for at least one of the shifts inside and one outside of regular office hours
 c) In case of Migration to ISO 45001:2018 : Audit outside of regular office hours, all shifts audits to be conducted during all audits during the cycle. In case of migration during surveillance, then during all subsequent for cycle to be covered. If migration done during:-
　　1)　Surveillance #1 – Then Surveillance #2, Renewal and Surveillance #1 after renewal.
　　2)　Surveillance # 2 – Then during Renewal , Surveillance #1 and Surveillance #2.

NOTE:
　01)　Processes required for verification of applicability of the Scope of Certification shall be audited in each visit.
　02)　Dominant applicable clauses for respective Department/ Functions / Processes to be verified [Refer SEC B: Summary of Conformity.
　03)　Information required in this Audit Programme is to be updated during First Assessment of the auditee organization in a given cycle i.e. Stage-1 / Transfer / Renewal Audits / Subsequent Audit if there is any modification of Scope (reduction / extension) / Site(S) / Department/ Functions if not audited as planned. (to be discussed)
　04)　Information provided shall remain for guidance purpose only for the Audit Team of subsequent audits in the cycle & hence, shall not be binding w.r.t. additional functions to be audited and / or clauses to be audited in each function to confirm compliance to the respective audit criteria

SEC H : Effectiveness of audit objectives achievement: : [Please mark 'Tick - ✔' as applicable for Onsite audit and Remote Audit]			
On-site and Remote Audit	**Effectiveness**		
	Achieved	**Not achieved**	**Remarks on what is not achieved or raised it as NC**
Demonstration of Leadership commitment	✔	NIL	NIL
Determination of External & Internal issues	✔	NIL	NIL
Needs and expectation of Interested parties	✔	NIL	NIL
Access to Legal & other requirements and their compliance	✔	NIL	NIL
Process of Setting of objectives and achievements.	✔	NIL	NIL
For Operational control			
Process of Performance monitoring and continual improvement.	✔	NIL	NIL
Effective conduct of Internal audit and Management review.	✔	NIL	NIL
Process of addressing any changes, Management of change.	✔	NIL	NIL

REMOTE AUDIT (USING ICT)

The Below Ticked ICT has been used in carrying out audit/assessment and the effectiveness of ICT in achieving the audit/assessment objectives are as noted below:

Based on the Input received in IV IRQS:REC:52 A the following ICT were used: (Tick ✔ which were used), any other means if used please include the same for comments on its effectiveness for achieving the objectives). ▪ Micro Soft Team Meeting ▪ ZOOM ▪ Go-To Meetings ▪ Video conferencing ▪ WhatsApp Video call ▪ Skype. ▪ Use of Drone	**Used to gather objective evidences.**	**Effectiveness**	
		Achieved for	**Not achieved or Not fully achieved: for**
	Virtual site visit – Based on respective scheme requirements.	✔	
	Operational activities (EG; Process parameters, Operational control etc.).	✔	
	Sharing of Documents, Documented information, Records on Screen	✔	
	Interview with personnel	✔	
	Uninterrupted connectivity throughout audit duration.	✔	
	Overall Audio / Video clarity.	✔	
	Sharing of photos	✔	
	Documents through mails in time.	✔	
	Maintain Integrity of the audit / assessment process.	✔	
	Usage of Drone	NA	
	Objectives of Current Type of audit as noted above under Section 9 of this report.	✔	
	Any other additional information from FORM 52 A / observations.	✔	

Based on the above:		
Additional Manday required to cover the processes for which objectives not fully achieved	~~YES~~ *(Please mention the audit duration that would be required)*	✔ NO
Audit Programme amended.	~~YES~~ *(Please amend the audit program accordingly with appropriate justification)*	✔ NO

- 10 -

SEC I: Recommendation: **[Please mark 'Tick - ✓' as applicable]**		

01)	Based on the audit findings verified through ~~Off-site audit~~ / On-site audit/~~Remote audit~~, it **is concluded that:**
	   - the audit objectives as identified under ☐**9(a);** ☐**9(b);** ✓ **9(c);** ☐**9(d);** have been fulfilled
	   - the effectiveness of the management system has the capability to meet applicable
	     requirements and expected outcomes.
	   - Certification Scope is appropriate
	   - Satisfactory conduct of internal audit and management review process
	
	NOTE:*In case, if absence of objective evidence for all activities of Scope of certification", on a case to case basis conditional grant of certification or reduction of scope will be undertaken in consensus with Operations-Head/Head-IRQS (Top management), to be communicated accordingly under recommendation.
	And recommend for :
	(If a situation arise as noted under the note then the conditional recommendation to be made as given above & not recommend for Issuance / continuation of the certificate)
		NA

	a) **the issuance "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018**	**NA**
	b) **the issuance "Certificate of Approval" with continuation for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018**	**NA**
	c) **continuation for "Certificate of Approval for <u>ISO 21001:2018</u> / ~~ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018~~**	**YES**
	d) **revocation of suspension and continuation of "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018**	**NA**
02)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it **is concluded that:** - the audit objectives as identified under ☐**9(a);** ☐**9(b);** ☐**9(c);** ☐**9(d); the effectiveness of the management system could not be evidenced for the noted non conformities, hence, recommend for :-**	**NA**
	a) **the issuance "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018 , subject to satisfactory closure of non-conformities on or before _____** `	**NA**
	b) **the continuation for "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018, subject to satisfactory closure of non-conformities on or before _____.**	**NA**
03)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it **is concluded that:** the audit objectives as identified under☐**9(a);** ☐**9(b);** ☐**9(c);** ☐**9(d);** effectiveness of the management system **could not be evidenced** for the noted Major / Minor non conformity(ies), **hence recommends for the**	**NA**
	a) **follow-up visit for closure of major NC(s)/ minor NC(s) requiring closure based on the site visit, before _____.**	**NA**
	b) **follow-up of audit before _____.**	**NA**
04)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it **is concluded that:** - the audit objectives as identified under ☐**9(a);** ☐**9(b);** ☐**9(c);** ☐**9(d);** effectiveness of the management system **could not be evidenced** for the noted Major non conformity(ies) (indicating breakdown of management system or major impact on environment or high potential of an incident which may result in injury/illness). - In case, if absence of objective evidence for all activities of Scope of certification", on a case to case basis conditional grant of certification or reduction of scope will be undertaken in consensus with Operations-Head/Head-IRQS (Top management), to be communicated accordingly under recommendation. **Hence recommends fast track review (may lead to suspension or withdrawal of certification).**	**NA**

- 11 -

Instructions for Corrective Action Plans Submission:
Responsibility: It is IRQS's client's responsibility to provide complete and timely responses to finding reports.

Non Conformance submission:
- For the date of NC the following to be completed by the client:
  - ➢ Correction, Root Cause & Extent Analysis, Evidences of Implemented Correction & Corrective Action, for Verification of effectiveness of implemented Correction / Corrective Action.
- Time Frame of the same:
  - ➢ For Major NC – within 30 Days, for Minor NC – within 60 Days
  NOTE 1 : If not submitted within the above time frame then the certificate will be intended for Suspension Process.
  NOTE 2 : The Close-out of the following :
  - ➢ Major NC to be completed within 60 Days from the date of audit
  - ➢ Minor NC to be completed within 90 Days from the date of audit
  NOTE 3 :
  - ➢ Major nonconformities typically require on-site verification of corrective action unless specified by the Auditor. Follow up audit shall take place within 60 days from the last day of the audit activity to IRQS.
  - ➢ All findings shall be closed before a recommendation for certification can be made.
  NOTE 4: In case of issuance of any Major NC or any other situation during surveillance audit(s) and or re certification audit(s), team leader requires to recommend a fast-track review by IRQS which may lead to suspension or withdrawal of certification.

Disagreement with an audit finding/s:
IRQS Appeals and Control procedure is to be used by the clients for resolving the issue.

Disclaimer:
Audit methodology was sample based. Random Samples were chosen from the areas covered in the scope. This is to assess suitability and effectiveness of Management System. Any sampling carries certain amount of uncertainty in auditing. Whenever the ICT facility used for gathering audit evidences the risk associated with poor connectivity of audio / video are taken into the account for uncertainty in auditing. Audit recommendations are subject to an independent review prior to a decision concerning the awarding, renewal of certification or follow-up / re-audit.

Confidentiality:
We assure that the information obtained during the audit will be maintained with utmost confidentiality.

Appeal: Our system has a provision of appeal with regards to audit process, difference of opinion and audit report. The client has every opportunity to appeal, dispute or complain against the decision of the auditors.

Should you wish to Contact IRQS in relation to any queries
Indian Register Quality Systems
Head Office: 2nd Floor, New Building, 52 A, Adi Shankaracharya Marg,
Opp. Powai Lake, Powai, Mumbai - 400 072.
Website : www.irqs.org
Tel. No.:+91 22 30519800/ 71199800 Fax No.: + 91 22 2570 3611

Team Leader Name	Sunil Verma	Signature & Date: 14/12/2022
Auditee Representative Name	Dr. Ravish R. Singh	Signature & Date: 14/12/2022

- 12 -

TRCAC - Annexure - I				
Record of Legal/Statutory/Regulatory Compliances				
Sr. No.	Name of the Authority	Subject	Issue Date	Validity
1	Government of Maharashtra - The Office Of Charity Commissioner	Trust Registration Certificate	18/04/90	Lifetime
	Thakur Educational Trust	Bye Laws	26/12/94	Lifetime
2	Government of Maharashtra - Minorities Development Department	Minority status valid certificate	31/07/09	Lifetime
3	Government of Maharashtra	Deed of Conveyance (Sale Deed)	12/11/12	Lifetime
4	Sunlight Consultancy Pvt. Ltd.	Completion of the Rainwater harvesting project	01/06/15	Lifetime
5	Government of Maharashtra- Department of Land Records	Property Card	05/11/15	Lifetime
6	Government of Maharashtra - School Education & Sport Department	Government Resolution - New Junior College Permission	17/06/16	Lifetime
7	Municipal Corporation of Greater Mumbai	Commencement Certificate	01/02/17	Lifetime
8	Government of Maharashtra/ Industries, Energy and Labour Department	Licence for Working of the lift	24/08/17	Lifetime
9	Municipal Corporation of Greater Mumbai/Mumbai fire Brigade	N.O.C. from fire fighting & fire protection system installation point of view for occupation & use of entire high rise Educational School building on plot bearing C.T.C. No. 1192/A of Village Dahisar, Dahisar (E) for Thakur Educational Trust.	06/11/17	Lifetime
10	Municipal Corporation of Greater Mumbai/Appendix XXII	Full Occupation Certificate	06/01/18	Lifetime
11	Government of Maharashtra - School Education & Sport Department	Government Resolution - New Junior College Permission	17/06/16	Lifetime
12	Maharashtra Government	Government Resolution	15/06/18	Lifetime
13	University of Mumbai	Affiliation Letter	05/07/18	Lifetime
14	Maharashtra Government	Certificate	05/07/18	Lifetime
15	University of Mumbai	TAAS Letter	24/07/18	Lifetime
16	University of Mumbai	No Objection Certificate	09-Nov-20	1 Year

- 13 -

01)	Name of the Client	Thakur Ramnarayan College of Art & Commerce
02)	Address of HO & Site(s)	Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Dahisar East, Mumbai, 400068
03)	File Number	T/6415/ISO 21001:2018
04)	Name of Organization Representative coordinating with CB	Dr. Ravish R. Singh, Principal
05)	Date of Audit	26/12/2020
06)	Type of Audit (strike out the standard not under audit)	Stage I / Follow-up Stage I / Repeat Stage 1
		Joint/ Combined / Integrated / Remote

07) Audit Objective (Stage –I)

- Review the client's management system documented information's
- Evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for Stage 2
- Review the clients status and understanding regarding requirements of the standard wrt identification of key performance or significant aspects, processes, objectives and operation of the management system
- Obtain necessary information regarding the scope of the management system :- The client's site(s), Processes and equipment used, levels of controls established (Particularly in case of multisite clients)
- Applicable statutory and regulatory requirements
- Review the allocation of resources for Stage 2 and agree the details of Stage 2 with client
- Provide a focus for planning Stage 2 by gaining sufficient understanding of the client's management systems, Site operation in the context of management system standard or other normative documents
- Evaluate if the internal audits and management reviews are being planned and performed and that the level of implementation of the management system substantiates the client is ready for Stage 2.

08)	Audit Criteria: (strike out the standard not under audit)	QMS (ISO 9001)	QMS-MD (ISO 13485)	QMS-EOMS (ISO 21001)	EMS (ISO 14001)	OHSAS	OHS (ISO 45001)
		• Applicable legal & other requirement. • Organization's procedures & documented information in line with the respective standards.					

09)	Scope of Certification: (If Multi-site audit, then scope as applicable at each site should be verified & reported)	
➡	General Scope as required on the final "Certificate of Approval"	• To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai • To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune
	Scope of Head Office	Same as above
	Scope of Site	NA
	Scope Support Office(s) / Location(s), if any	NA

10)	Non-Applicability of Clauses & Justification	
➡	NIL	

11)	Audit Team Details (Team Leader, Team Member, Provisional Auditor, Provisional Team Leader, Evaluator, Industry Expert Any accompanying persons; e.g. Guides, Observers, Translator, Facilitator etc.)	Name	Role
		Sunil Verma	Team Leader

12)	Audit conducted at [Physical location(s),as applicable]	Address	Date of Audit	Functions/ Process(es) /Activities audited at the Location/Site
	Head office	Same as above	26/12/20	Top Mngt., Doc. Review, Mngt. Processes, D&D, Core Processes, Resources, Communication & Splecial Education Requirements
	Permanent site(s)	NA	NA	NA
	Temporary site(s)	NA	NA	NA

13) **Auditor to comment :**
   1. Any deviation from audit plan and their reasons :-
   2. Upon any adverse conditions faced during the audit (e.g.; power outage, Fire, Flood, specifically related to the condition of the sites affecting the auditing activities).:-

➡ **NIL**

14) **Verification of the Questionnaire Information:**

Particulars	Information provided in Questionnaire	Verification of provided information
Number of sites	ONE	OK
Number of employees	21	OK
Language of audit	English	OK
Current certification & its validity	ISO 9001:2015; 31/01/2021	ISO21001:2018
Working in shifts – Shift pattern	Single Shift	OK
Products and Services	Education	OK
Design & development	Exclusion	OK
Scope	• Delivering Undergraduate Degree Programmes In Faculty of Arts, Science and Commerce as per Norms and Standards Of University Of Mumbai • Providing Education For Junior College Of Arts and Commerce As Per Curriculum Of Maharashtra State Board Of Secondary And Higher Secondary Education, Pune	• To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai • To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune
Externally provided processes, products and services (Outsourced)	NIL	Security, Canteen, Visiting Faculties, AMC for AC, Water Cooler / Purifier

Audit Findings	
SEC A : Comments on the effectiveness for the action taken for the areas of concern:(In case of repeat Stage I audit).	

Findings		Comments on the effectiveness for the closure
No. of Areas of Concerns raised during the stage 1 audit:	NA	NA

SEC B : Comment on the management system(s) effectiveness for the following based on objective evidence

a)	Review the client's management system documented information's. (Attach Review of Documented Information/Review–Doc: IV IRQS:FORM:101 for ISO 9001:2015/ISO 14001:2015/OHSAS 1801:2007/ISO 45001:2018 and IV IRQS:FORM:57 for OHSAS/ISO 45001)
➡	TRCAC has developed documentation as per requirements of the Standard. The following documents were reviewed for adequacy: 1. Apex Manual (TRCAC/EOMS/AM/01; Issue 01 Dt. 01/11/2020) - comprising explanation for addressing requirements vis-à-vis each clause of the Standard. 2. *Design & Development - Clause 8.3 not addressed in the Apex Manual as opted for an exclusion - AoC 8.3*

	3. Procedure Manual (TRCAC/EOMS/PM/02; Issue 01 Dt. 01/11/2020) - comprising Institutional Procedures (TRCAC/IP/01 to 07) & Management Procedures (TRCAC/MP/01 to 09) & all forms / formats as applicable - verified formats of Jr. College Admission(TRCAC/IP/01/FRM/01) & Exam Time-Table TRCAC/IP/03/FRM/01. 4. The entire documentation is maintained & controlled as per procedure for Control of Documentation (TRCAC/MP/01) 5. *Documents for maintaining records pertaining to monitoring of On-line Classes are found uncontrolled e.g. verified record of Daily Work Report for November for On-line Classes - AoC Cl.7.5.2*
b)	**Regarding the scope of the management system:- The client's Boundary of management, Site(s), Processes – Sequence & interactions, support functions to sites & scope of support function equipment used, levels of controls established, (Single and particularly in case of multisite clients)**
	There are two major sections under Thakur Ramnarayan College of Arts & Commerce (TRCAC): 1. Degree College Section started in 2018 with 7 programs - BA, B.Com, BAMMC, BMS, BAF, BSc IT, BSc. CS - affiliated to UoM; Student Strength - CS, IT - 60/div, MAMMC - 60/div, B.Com 2 Div - 240, BA 1 Div - 120, BMS - 2 Div - 120 (Self Financing Courses) 2. Jr. College Section started in 2016 with 2 programs - Arts & Commerce as per HSC Board, 2 Div Arts & 4 Div of Com. - with Student strength of 120/ div. Verified records pertaining admission & teaching process as per following: • Md. Usuf Khan - Pre-admission form - FY BMS Sem I Appl. No. 1163165 - Aadhaar Card, Leaving Cert., Marks Sheet SSC / HSC - fee - Admission form - Gen. Register No. 709 • Ansh Bhatnagar - FYJC Commerce - Appl No MU1203649 • Verified Prospectus for Eligibility criteria for various courses • Daily Work Report of On-line lectures - verified Daily Work Report from 2/11/20 to 1/12/20 - *format found uncontrolled.* Verified Teaching Plan for Ms. Mukul Bhatt Maths Sem II & IV dt 15/11/2019 to 2/5/2020 for Numerical & Statistical Methods & Computer Oriented Statistical Techniques • *No evidence of having determined process (s) for addressing the requirements of special needs education - AoC Cl. 5.1.3* • *No evidence of having determined requirements or conducted needs analysis pertaining to requirements of clause 8.2.1 - AoC* • *No evidence having determined process for the protection of data of learners particularly in the scenarios of on-line classes being conducted - AoC Cl. 8.5.5* • *Control of educational non-conforming outputs TRCAC/MP/05 does not address on-line Learning Level assessment process - verified record of Learning level Assessment Bsc IT Sem III Appl Maths Levels 1, 2, 3 - AoC Cl. 8.7* • *No evidence of having obtained Feedback from parents during the current session - AoC - Cl. 9.1.2.1* • *No evidence of having analysed Staff satisfaction - AoC - Cl. 9.1.5*
c)	**The clients status and understanding regarding requirements of the standard wrt identification of key performance or significant aspects, processes, objectives and operation of the management system: (e.g. Context of organization, Interested parties, Risks and opportunities, Setting of objectives, Procedures for Aspect – Impact / Hazard Identification Risk assessment , Life cycle assessment, Management program, KPI's, etc.,)**
	TRCAC has determined external and internal issues that may affect its ability to achieve the intended outcomes of its EOMS. External context: • Issues relating to norms and standards of Statutory and Regulatory Body • Technological innovations and developments • Key economic and market development which can impact the TRCAC • Retaining intake of students despite potential academic institutes in the vicinity Internal context: • TRCAC's culture and attitudes • Holistic development through Co-curricular, Extra-curricular and Extension activities c) Facilitating teaching-learning for vernacular medium students • Academic pressure from peers and parents • Effective teaching learning to retain students' interest in academics TRCAC monitors and reviews information about these external and internal issues vis-à-vis needs & expectations of interested parties as per the table defined in Apex Manual Doc. TRCAC/EOMS/AM/01 Sec 4 page 2 of 5 - verified e.g. all statutory compliances & record of feedbacks from Students / Parents. *Documented information not retained for Risk mitigation - AOC - 6.1.1*
d)	**Applicable statutory and regulatory requirements. (QMS – Product related, EMS – Environmental Legal & other requirements, OHSAS – OH&S Legal and other requirements)**
	All legal/statutory/regulatory compliances are adhered to. Verified as per list attached in Annexure - I of this audit report
e)	**The internal audits and management reviews are being planned and performed and that the level of implementation of**

	the management system substantiates the client is ready for Stage 2. (At least one round of IA & MR)
➡	• Internal Audit was conducted on Nov' 2020 - verified record of IA Plan as per TRCAC/MP/06/FRM/01; Audit Findings Doc. TRCAC/MP/06/FRM/02; Audit Summary Doc. TRCAC/MP/06/FRM/04; 1NC (minor) raised against clause 8.5.1.2.2 Doc. TRCAC/MP/06/FRM/03. • MRM was conducted in Nov' 2020 - verified record of MoM as per TRCAC/MP/07/FRM/03; Agenda followed as per the Standard. • Both IA & MRM are found effective.
f)	Based on the evaluation of the client's site-specific conditions, maturity / level of integration (in case of integrated management system) and discussion with client personnel to determine the preparedness for Stage 2.
➡	The EOMS as applied seems to have been implemented effectively. The organization is ready for Stage-2 subject to completion of actions against the Area of Concerns of Stage-1.
g)	Provide a focus for planning Stage 2 based on sufficient understanding of the client's management systems, Site operation in the context of management system standard or other normative documents. (Prepare a rough audit plan for Stage – 2).
➡	In view of actions deemed necessary vis-à-vis the various AoC's, Stage-2 may be planned in next 30 days period. 2.5 Man-days to be allocated for Stage-2. The functions to be audited should be as follows: • **Top Management** (Context of organization, Statutory and Regulatory requirements, Leadership, Education Policy, Special Needs Education, & Resources), • **Management Processes** (Documentation, Risk & Opportunities, Education Objectives, Customer Satisfaction, Internal Audit, MRM, Continual Improvement), • **Core Processes** (Design & Development, Admission, Teaching Delivery, Assessments / Examination, Library) • **Support Processes** (Human Resource, Admin., Facilities, Purchase, Organizational Knowledge, Training, Communication, Placement, Co-curricular Extra co-curricular activities)
h)	The allocation of resources for Stage 2 and agree the details of Stage 2 with client. (as applicable e.g. Logistic arrangement – Travel time (To and between the location, sites, various departments / functions), Requirement of Industry expert – Needed not needed, Identify the process owner for the department / functions being audited, to avoid repeated visit to the same process /person, Man-days, <u>Competence of the Audit Team required to conduct stage 1,</u> etc.)
➡	As discussed with the Principal, Stage -2 audit can be conducted in 2.5 Man-days.
i)	Comments on the process of Organization's Management of Change
➡	TRCAC is aligned with the concept of Management of Change. E.g. On the declaration of country-wide lockdown w.e.f. 24/03/2020, following arrangements were made for the continuity of teaching-learning and examination processes for the commencement of the Academic Year 2020-21: • The faculties were trained to conduct lectures through various online platforms, development of e-content for online delivery of lectures, development of assessment methods for online conduction of examination. • The Lectures of SY and TY commenced from 11th June' 20 and for FY from 14th Sept'20 in on-line mode and LMS Google classroom is used by all teachers for the on-line teaching. • Feedback related to on-line lectures was conducted, analyzed and was accordingly communicated to faculty members. • The examination results of 2019-20 which were delayed due to the crisis situation were declared after verification of marks from the previous semester of all students and were declared on the official website of the college. • A.T.K.T. examinations were conducted for students of all programs through on-line mode in the month of Nov' 20 and results for the same were declared on the official website. • Even during the pandemic situation our institution continued to conduct Co-curricular and Extension activities through online and physical activities.

SEC C : Current Areas of Concern.

a)	AOC No.	Clause No.	Statement(s)
	1.	5.1.3	Process for addressing the requirements of special needs education not established
	2.	6.1.1	Documented information not retained for Risk mitigation
	3.	7.5.2	Record Daily Work Report for November for On-line Classes found uncontrolled.
	4.	8.2.1	Requirements for educational products & services as per points 'b' to 'f' of Clause 8.2.1 not determined.
	5.	8.3	Design & Development not addressed in the Apex Manual as opted for an exclusion.
	6.	8.5.5	No evidence having determined process for the protection of data of learners particularly in the scenarios of on-line classes being conducted.
	7.	8.7	Control of educational non-conforming outputs TRCAC/MP/05 does not address on-line Learning Level assessment process

	8.	9.1.2.1	Feedback from parents during the current session not obtained.
	9.	9.1.5	No evidence of having analyzed the degree of Staff satisfaction
b)	No. of AOCs raised	09	

SEC D : Any Unresolved Issues

➡ | NIL

SEC E: Audit Program [To be filled for one cycle, upto Renewal]

Any Significant issues impacting audit program to be recorded

Type of Audit	Stage 1		Stage 2 / Renewal/ Recertification		Surveillance # 1		Surveillance # 2		Renewal/ Recertification	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Date Of Audit	Dec'20	26/12/20	Jan'20		Jan'21		Jan'22			
No. of Mandays	1	1	2.5		2		2			

*Site(s) [covering Temporary /Permanent] / Department/ Functions / Processes	Stage 1		Stage 2 / Renewal/ Recertification		Surveillance # 1		Surveillance # 2		Renewal/ Recertification	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Top Management	✓	✓	✓		✓		✓			
Management Processes	✓	✓	✓		✓		✓			
Core Processes	✓	✓	✓		✓		✓			
Support Processes	✓	✓	✓		✓		✓			
Processes to be audited in each shift as applicable during Stage 2	-	-	-	-	-	-	-	-		

[*Sub-Division in the Department, Processes, Sub-Processes, Activities involved & audited under One Heading to be specified in the "Site(s) [covering Temporary /Permanent]/ Department/ Functions"]

SEC F :

Based on the above, it is confirmed that the effectiveness of the management system has the capability to meet applicable requirements and expected outcomes for the scope of certification scope.

The audit objectives of Stage – I have been <u>verified through off-site audit/ on-site audit /remote audit</u>. The audit team conclude and recommend for :

01)	Can proceed for Stage-2 Audit	NA
02)	Can Proceed for Stage-2 Audit subject to the acceptance of actions taken for the noted "Areas of Concern(s)"	Yes

Based on the above, it is confirmed that the effectiveness of the management system does not have the capability to meet applicable requirements and expected outcomes for the scope of certification scope.

The audit objectives of Stage – I have been <u>verified through off-site audit/ on-site audit /remote audit</u>. The audit team conclude and recommend for :

Stage – 1 Audit to be repeated	NA

To dispute an audit finding:
The Dispute and Appeals Process is to be used by clients who wish to dispute a certification decision. It also applies in the case of clients who are not satisfied with the results of the dispute process and wish to appeal the decision.

Disclaimer:
Audit methodology was sample based. Random Samples were chosen from the areas covered in the scope. This is to assess suitability and effectiveness of Management System. Any sampling carries certain amount of uncertainty in auditing. Whenever the ICT facility used for gathering audit evidences the risk associated with poor connectivity of audio / video are taken into the account for uncertainty in auditing. Audit recommendations are subject to an independent review prior to a decision concerning the awarding, renewal of certification or follow-up / re-audit.

Confidentiality:
We assure that the information obtained during the audit will be maintained with utmost confidentiality.

Appeal: Our system has a provision of appeal with regards to audit process, difference of opinion and audit report. The client has every opportunity to appeal, dispute or complain against the decision of the auditors.

Should you wish to Contact IRQS in relation to any queries
Indian Register Quality Systems
Head Office: 2nd Floor, New Building, 52 A, Adi Shankaracharya Marg,
Opp. Powai Lake, Powai, Mumbai - 400 072.
Tel. No.:+91 22 30519800/ 71199800 Fax No.: + 91 22 2570 3611

Team Leader Name	Sunil Verma	
		Signature & Date: 26/12/20
Auditee Representative Name	Dr. Ravish Singh	
		Signature & Date: 26/12/2020

	Indian Register Quality Systems (A Division of IRCLASS Systems and Solutions Pvt. Ltd.)	Page 1 of 2
ⓒ INDIAN REGISTER OF SHIPPING 1993	**Audit Schedule for QMS / EMS / OHS / IMS Scheme(s)**	IV IRQS:FORM:18:06 Eff. Date : 14-10-2020 Developed by : NR Approved by : HEAD-IRQS

Name of the Client:	Thakur Ramnarayan College of Art & Commerce		**File No.:**	
Address:	**HO**	Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Anand Nagar, Dahisar East, Mumbai, 400068.	**Date:**	22/12/2020
	Site	-		
Kind Attn.:		Mr. Ravish Singh, Principal	**Contact No.:** 9869220596	

Designation:	Org Coordinator	**Fax No.:**	
Audit Criteria(s) **[Standard(s)]** (strike out the standard not under audit)	**QMS** ~~(ISO 9001)~~ **QMS-MD** ~~(ISO 13485)~~ **QMS-EOMS** (ISO 21001) **EMS** ~~(ISO 14001)~~ ~~OHSAS~~ **OHS** ~~(ISO 45001)~~ ▪ Applicable legal & other requirement. ▪ Organization's procedures & documented information in line with the respective standards.	**E-mail:**	

Type of Audit: (Delete whichever is not applicable)	Stage I /~~Stage II / Renewal/ Surveillance / Follow-up~~ ~~Joint/ Combined / Integrated /~~ Remote	**Date of Audit**	From 22/12/20 To 22/12/20
Scope:	• Delivering Undergraduate Degree Programmes In Faculty of Arts, Science and Commerce as per Norms and Standards of University of Mumbai • Providing Education for Junior College of Arts and Commerce as per curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune		

Audit Objectives to verify: [Delete whichever Type of Audit is not applicable]

Stage 1	▪ Audit the Organization's management system documentation ▪ Evaluate the Organization's location and site-specific conditions to determine the preparedness for the stage 2 audit ▪ Review the Organization's status and understanding the requirements to the identification of key performance or significant aspects, hazards & risk, processes, objectives and operation of the management system ▪ Collect necessary information regarding the scope of the management system, processes and location(s) of the client, and related statutory and regulatory aspects and compliance ▪ Review the allocation of resources for stage 2 audit and agree with the Organization on the details of the stage 2 audit ▪ Provide a focus for planning the stage 2 audit by gaining a sufficient understanding of the Organization's management system and site operations in the context of possible significant aspects, hazards & risk ▪ Evaluate if the internal audits and management review are being planned and performed, and that the level of implementation of the management system substantiates that the Organization is ready for the stage 2 audit.

Audit Scope:
- ▪ To evaluate the Organisation's implemented Management System(s) for the Scope of Certification against the above identified Criteria(s).

Audit Purpose:
- ▪ To arrive at appropriate conclusion(s) based on the Audit Findings & Evidence(s) as noted during the Audit.

Auditing Methodology:
- ▪ For the current audit, the audit team is responsible for executing the plan and the processes involved for the audit.
- ▪ Audit is conducted on sampling basis, focusing on verification for compliances against the audit criteria based on the evidences gathered.
- ▪ Verification of the status of the previous audit findings.
- ▪ Due diligence for selection (i.e., number, type) of samples based on criticality of processes, competency, non conformities etc shall be taken into consideration due to the adoption of sampling methodology, since sampling methodology has its own element of uncertainty, advantages and disadvantages.

- To verify the audit evidences utilizing the computer-assisted techniques such as MS Team, Skype, Video conferencing, webinar, information available in soft etc would be applied as applicable.

Audit Team Details:

Team Leader:	Sunil Verma		Mobile No.:	9820069234
Auditor A:			Mobile No.:	
Industry Expert:	Sunil Verma		Mobile No.:	9820069234
Evaluator:			Mobile No.:	

Audit Schedule Details	
Date	**26/12/2020**
Time	**Time**
0930 - 1000	**Opening Meeting**
1000 - 1030	Acquaintance with School premises
1030 - 1100	Top management (4, 5.1, 5.2, 5.3, 6, 7, 9.3)
1100 - 1130	Document Review (7.5.1, 7.5.2, 7.5.3)
1130 - 1230	Management Processes (Legal, Context of Org, Risk & Opportunity, Objectives Analysis, Internal Audit, MRM, Continual Improvements) (Cl.4.1, 4.2, 4.3, 4.4, 5.2, 6.1, 6.2, 6.3, 7.1.6, 7.2, 7.3, 7.4, 9, 10)
1230 - 1300	Design and development of the educational products and services (Cl. 8.3)
1300 - 1330	**Lunch Break**
1330 - 1500	Core process- (Conducting Courses (8.1, 81.1.2, 8.2, 8.2.1, 8.5, 8.6, 8.7, 9.1, 10)
1500 - 1600	Resources - Human resources; Facilities; Competence/ Training (Cl. 7.1.1 to 7.1.3, 7.1.3.2, 7.1.3.3, 7.1.4, 7.1.5, 7.1.6, 7.2, 7.2.2, 7.3) Special education requirements (5.1.3)
1600 - 1630	Communication; Information, Public Relations (Cl. 7.4.1, 7.4.2, 7.4.3 & Annex D)
1630 - 1730	Report Preparation & debriefing for the review of current status and preparedness for Stage 2
1730 - 1800	**Closing Meeting**
Shift Audit	Date, Time, Process / Functions to be audited
	If not audited / applicable, please justify. **Single dayshift only**

We trust the proposed schedule and audit team is acceptable to you.

In the event of any objection regarding participation of any team member, you are requested to formally register the non-acceptance (stating reasons) immediately on receipt of the Audit Schedule. If no objections are received within 2 working days of receipt of this Audit Schedule, the audit team composition will be considered as deemed accepted.

Should you require any further information about the audit team and audit schedule, please feel free to contact undersigned.

For **Indian Register Quality Systems**

Thanking you.

Sunil Verma

Name of The Team Leader

Action Taken Report

AOC No.	Clause No.	Statement(s)	Action Taken	Reference
1.	5.1.3	Process for addressing the requirements of special needs education not established	Additional requirements for special needs education are addressed in TRCAC/IP/01 Admission, TRCAC/IP/02 Teaching Learning, TRCAC/IP/03 Examinations, TRCAC/IP/04 Library, TRCAC/IP/06 CEEP, TRCAC/IP/07 Placement and Higher Education TRCAC/MP/04 Training and Development Process	**PM** TRCAC/IP/01 Admission (pg.20) TRCAC/IP/02 Teaching Learning (pg.30) TRCAC/IP/03 Examinations (pg.41) TRCAC/IP/04 Library (pg.50) TRCAC/IP/06 CEEP (pg.67) TRCAC/IP/07 Placement and Higher Education (pg.80) TRCAC/MP/04 Training and Development (pg.125)
2.	6.1.2	Documented information not retained for Risk mitigation	Risk Analysis form TRCAC/MP/08/FRM/01 is included in TRCAC/MP/08 Corrective Actions Process and records are maintained.	TRCAC/MP/08/FRM/01 Risk Analysis form (pg.345)
3.	7.5.2	Record Daily Work Report for November for On-line Classes found uncontrolled.	Daily Work Report for November for On-line Classes is controlled with Documentation No. TRCAC/IP/02/FRM/09.	TRCAC/IP/02/FRM/09 Daily Work Report (pg.179)
4.	8.2.1	Requirements for educational products & services as per points	Requirements for educational products & services as per points 'b' to 'f' of Clause 8.2.1 are determined in TRCAC/IP/04	TRCAC/IP/04 Library (pg.48) TRCAC/IP/06 CEEP (pg.63) TRCAC/IP/07 Placement and Higher Education (pg.75)

				'b' to 'f' of Clause 8.2.1 not determined.	Library, TRCAC/IP/06 CEEP, TRCAC/IP/07 Placement and Higher Education process.
5.	8.3	Design & Development not addressed in the Apex Manual as opted for an exclusion.	Design & Development clause addressed in the Apex Manual.	**AM** (pg.55-58) Faculty Diary TRCAC/IP/02/REG/01 (pg.34) and LOCF document are created to address Design & Development of educational products and services.
6.	8.5.5	No evidence having determined process for the protection of data of learners particularly in the scenarios of on-line classes being conducted.	Protection of data of learners particularly in the scenarios of on-line classes is ensured through Google Classroom. 1. Only admitted students can join the google classroom through their registered email ids. 2. Students can access only their data i.e., assignments, grades, quizzes, etc. through their registered email ids.	TRCAC/IP/02 Teaching Learning (pg.30)
7.	8.7	Control of educational non-conforming outputs TRCAC/MP/05 does not address on-line Learning Level assessment process	Learning Level assessment procedure is addressed in TRCAC/IP/02 Teaching Learning Process. One educational non-conforming output is identified to address on-line Learning Level assessment process.	TRCAC/IP/02/ Teaching Learning Process (pg.27) NCO: No efforts are taken to address problems of Slow learners

8.	9.1.2.1	Feedback from parents during the current session not obtained.	Feedback from parents TRCAC/MP/05/FRM/06 during the current session is obtained.	TRCAC/MP/05/FRM/06 Feedback and Survey (pg.308)
9.	9.1.5	No evidence of having analyzed the degree of Staff satisfaction	Degree of Staff satisfaction TRCAC/MP/05/FRM/04 is analyzed.	TRCAC/MP/05/FRM/04 Feedback and Survey (pg.304)

01)	Name of the Client	Thakur Ramnarayan College of Art & Commerce
02)	Address of HO & Site(s)	Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Dahisar East, Mumbai, 400068
03)	File Number	T/6415/ISO 21001:2018
04)	Name of "Head of Organization" / Unit	Dr. Ravish R. Singh, Principal
05)	Name of Organization Representative coordinating with CB	Dr. Ravish R. Singh, Principal
	Names of the management legally responsible for occupational health and safety, personnel responsible for monitoring employees health and employees representative(s) with responsibility for occupational health and safety. (Applicable for OHSMS)	NA

06)	Audit Criteria (strike out the standard not under audit)	~~QMS (ISO 9001)~~	~~QMS-MD (ISO 13485)~~	QMS-EOMS (ISO 21001)	~~EMS (ISO 14001)~~	~~OHSAS~~	~~OHS (ISO 45001)~~
		• Applicable legal & other requirement. • Organization's procedures & documented information in line with the respective standards.					

07)	Date of Audit	22nd & 23rd Jan.' 2021
08)	Type of Audit (strike out the standard not under audit)	Stage II/ ~~Renewal/ Surveillance/ Scope extension / Scope reduction / Follow-up / Transfer / Special Audit for a/b/c as referred under Audit Objectives "9d"~~
		~~Joint / Combined / Integrated /~~ **On-site & Remote**

09)	Audit Objective	
	a)	**Stage 2 Audit :** Is to evaluate the implementation including the effectiveness of the organization's implemented management system for the above criteria covering the following : • Information and evidence about conformity to all requirements of the applicable management system standard or other normative documents • Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document) • Organization's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements • operational control of the organization's processes • Internal auditing and management review • Management responsibility for the client's policies.
	b)	**Renewal Audit :** Is to evaluate the effectiveness of the organization's implemented management system for the above criteria covering the following : • The effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification • Demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance; • The effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s)
	c)	**Surveillance Audit :** Is to evaluate the effectiveness for maintenance of the organization's implemented management system for the above criteria covering the following : • Internal audits and management review; • A review of actions taken on nonconformities identified during the previous audit; • complaints handling;

		• Effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s); • Progress of planned activities aimed at continual improvement; • Continuing operational control; • Review of any changes • Use of marks and/or any other reference to certification
	d)	**Special Audit :** a) For expanding the scope of a certification already granted, undertake a review of the application and determine any audit activities necessary to decide whether or not the extension may be granted. b) To investigate complaints, or in response to changes, or as follow up on suspended clients c) For upgradation to revised standards.
	NOTE: To verify the above audit objectives, in case of Remote audit carried out using ICT facility for gathering the audit evidences by utilizing the computer-assisted techniques such as MS Team, Skype, Video conferencing, webinar, information available in soft etc. as applicable.	
10)	Changes to the audit objectives, audit scope or audit criteria (e.g. physical location, organizational units, activities and processes), if any: Please attach "Notice of Change"	
➡	NIL	
11)	Comment on the confirmation of the information provided (by the organization, including "Pre-audit Information"/Auditor Allocation Form)	

➡	**Scope of Certification**	• To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai • To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune
	Number of sites	One
	Number of employees associated with scope of certification (For Effective Number of Employees)	21
	Current certification & its validity	NA
	Design & development	Applicable
	Working in shifts	One
	Externally provided processes, products and services (Outsourced)	Canteen, Visiting Faculties, AMC for AC, Water Cooler / Purifier
	Pre-audit information	Submitted

12)	**Audit Team Details** (Team Leader, Team Member, Provisional Auditor, Provisional Team Leader, Evaluator, Industry Expert Any accompanying persons; e.g. Guides, Observers, Translator, Facilitator etc)	**Name**	**Role**
		Sunil Verma	Team Leader
		Cdr. Shrinivas Nilkund	Auditor (Remote)
		Mr. Karun Sharma	Witness Auditor - NABCB (Remote)

13)	**Audit conducted at [Physical location(s) as applicable]**	**Address**	**Date of Audit**	**Functions/ Process(es) /Activities audited at the Location/Site**
	Head office	Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Dahisar East, Mumbai, 400068	22nd & 23rd Jan.'2021	Top Mngt., Mngt. Processes, Core Processes(Admission, Teaching-Learning & Examination including Special education requirements), Communication (Information & Public Relations), Resources (Human resources & Facilities), Competence/ Training), Co-curricular, Extra-curricular and Extension Activities, Library and Purchase process.

Permanent site(s)	NA	NA	NA
Temporary site(s)	NA	NA	NA

14)	To comment:			
	a)	Any deviation from audit plan and their reasons (if yes, please justify)		
	➡	NIL		
	b)	Upon any adverse conditions faced during the audit (e.g.; power outage, Fire, Flood, specifically related to the condition of the sites affecting the auditing activities).		
	➡	NIL		

Audit Findings

SEC A : Comments on the Effectiveness for the Closure of Previous Audit Findings:

Findings		Comments on the effectiveness for the closure
No. of Previous audit NCs:	NA	NA
No. of Areas of Concerns raised during Stage 1:	09	All AoC's effectively closed. Each AoC was verified during the audit.

SEC B : Management System(s)

a)	Scope of Certification: (If Multi-site audit, then scope as applicable at each site should be verified [for Stage 2 from Stage 1 Audit Report and for Subsequent audit against the issued Certificate] & reported)	
➡	General Scope as required on the final "Certificate of Approval"	• To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai • To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune
	Scope of Head Office	Same as above
	Scope of Site	NA
	Scope Support Office(s) / Location(s), if any	NA
	Non-Applicability of Clauses & Justification for the same	No exclusion

Justification for the scope of certification [Brief description for scope verification highlighting on the process flow / activities involved for the scope. Provide at least one example for scope of certification.

As per the scope of certification Thakur Ramnarayan College of Arts & Commerce (TRCAC) provides undergraduate education as per affiliation with University of Mumbai in streams of Arts, Commerce & Science and Higher Secondary Education in Arts & Commerce as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune.

This is achieved through two major sections under TRCAC:

- Degree College Section started in 2018 with 7 programs - BA, B.Com, BAMMC, BMS, BAF, BSc IT, BSc. CS - affiliated to UoM; Student Strength - CS, IT - 60/div, MAMMC - 60/div, B.Com 2 Div - 240, BA 1 Div - 120, BMS - 2 Div - 120 (Self Financing Courses)
- Jr. College Section started in 2016 with 2 programs - Arts & Commerce as per HSC Board, 2 Div Arts & 4 Div of Com. - with Student strength of 120/ div.

Samples for Scope Justification Verified:

Degree College Section

- Teaching & Learning Process Doc. No. TRCAC/IP/02
- Academic Calendar verified for academic year 2020-21 as per Doc. No. TRCAC/IP/02/FRM/01 starting from Jan'21 till June' 21.
- Resource planning - Verified as per Doc. TRCAC/IP/02/FRM/03 for academic year 2020-21 and Committees formed for Admission, Time-Table, Attendance / Syllabus Coverage, Discipline / Website, Examination, Library, CEEP & PHE activities.

- Time Table - BAMMC, BAF, B. Sc. CS FY - Verified Doc. No. TRCAC/IP/02/FRM/03 for Master Timetable for FY - BAMMC, SY - BAMMC and TY- BMM; Doc. No. TRCAC/IP/02/FRM/04 Division wise TT for FY- BAMMC; Doc. No. TRCAC/IP/02/FRM/05 Faculty wise TT for FYBAMMC/ SYBAMMC and TYBMM (Faculty - Mr. Vighnesh Shaji - Media Ethic & Law)
- Faculty Diary - Doc. No. TRCAC/IP/02/REG/01 for Ms. Yashashree Mhatre Asst. Prof. Mass Media for the period 01st January 2021 to 31st May 2021 comprising Faculty Resume, Timetable, Subject-wise Teaching Plan & Attendance pertaining to every subject being taught by the faculty.
- Daily Work report has picture Online Classes (earlier it use to be weekly work report) - verified Doc. No. TRCAC/IP/02/FRM/09 for Yashashree Mhatre, Asst. Prof. BMM
- List of Special Needs Students identified - Verified Notice dt. 11/1/20. List comprises 4 students in FY & 5 Students SY - e.g. Amin Aditi - SY BAMMC - Hearing impaired; Bane Atharv - SY BAMMC - Learning disability - Remedial Lectures are planned for such students. Verified Disability Certificate Issued by Dist. Hospital Thane, Govt. of Maha. Cert. No. 316506 dt 10/8/2016 in case of Atharv Bane.

Jr. College Section:

- The 2 schools had 95% Commerce & 92% 93.6 Arts % results.
- TOTAL FOR Jr COLLEG- RESULT %AGE – 94.98%.
- Students who passed out in 511 OUT OF 538 IN FEB 2020: (Of THIS – ARTS 132 STUDENTS PASSED; OUT OF 141; COMMERCE- 379 STUDNETS PASSED OUT OF 397.
- Present batch 2020-21 comprises of the following:

	FYJC	SYJC	
Arts	193	205	
Commerce	436	441	
Total	629	646	1275

- HSC examination result 2019-20

Stream	Register	Appeared	Passed	Percentage
Commerce	141	141	132	93.6
Arts	397	397	379	95.46
Total				94.98

- Re-examination data 2019-20

Stream	Registered	Appeared	Passed	Percentage
Commerce	8	8	0	0.00
Arts	4	4	1	25%
Total	12	12	1	8.33%

Summary of Site Visit: A tour of the facilities & infrastructure was undertaken during the Audit. Mr. Dhananjay Singh, Mathhs Teacher - Jr. College conducted & guided Audit team using WhatsApp Video Conferencing call for the members attending remotely (Cdr. Srinivas Nilkund & Mr. Karun Sharma). Facilities witnessed - 7 Floor - Grd Flr Admn Offcice, Principal Office , 2 Trustees Offices, Accounts, Storeroom, Pantry, Cafeteria, 1st Flr. Seminar 150cap, Hall, 4 Comp Lab, 2nd flr - 8 classrooms 120cap, 3rd - 7Classrooms 120cap + 1 Faculty room, 5th Flr - 8 Classroom 120 cap, 6th Flr - 15 Classroom -60 Cap, 7th Flr 8 Classroom 60cap + 1 Lib 420 cap, Exam room Control, First Aid, Gymkhana, Parliament (Vidhi Chatra Sansad).

b)	Process of understanding & review of the needs and expectation of interested parties

➡ TRCAC has determined external and internal issues that may affect its ability to achieve the intended outcomes of its EOMS.
External context:

- Issues relating to norms and standards of Statutory and Regulatory Body
- Technological innovations and developments
- Key economic and market development which can impact the TRCAC
- Retaining intake of students despite potential academic institutes in the vicinity

Internal context:

- TRCAC's culture and attitudes
- Holistic development through Co-curricular, Extra-curricular and Extension activities c) Facilitating teaching-learning for vernacular medium students
- Academic pressure from peers and parents
- Effective teaching learning to retain students' interest in academics

TRCAC monitors and reviews information about these external and internal issues vis-à-vis needs & expectations of interested parties as per the table defined in Apex Manual Doc. TRCAC/EOMS/AM/01 Sec 4 page 2 of 5 - verified e.g. all statutory compliances & record of feedbacks from Students / Parents.

c)		Methodology of identification, access of compliance obligations [i.e. applicable Legal (Statutory / Regulatory & Other) requirements]
➡		All legal/statutory/regulatory compliances are adhered to. Verified as per list attached in Annexure - I of this audit report.
d)		Methodology of determination of risk & opportunities related to ■ the context of organization, ■ Interested Parties ■ management system and its processes/activities Give examples of determined risk & opportunities
➡		• Risk & Opportunities are identified for every process - verified for Admission Process as per Doc. TRCAC/IP/01. • Verified Risk & Opportunities Risk Mitigation Chart as per Doc. TRCAC/MP/08/FRM/01 comprising 41 areas clearly identified & analyzed for mitigation plan. e.g. Risk No. 10 as per the chart - Risk of Closedown of the College due to Crisis situation (like Pandemic) was mitigated through the online sessions and use of various ICT tools which resulted in zero academic loss - Verified records of On-line classes for the period June to Nov 2020.
e)	A)	Brief description of organization processes determined taking into account planning, Monitoring and control of the management processes, change control (management of change) needs to achieve the expected outcome.
	➡	The processes are well defined e.g. separate processes for functions like Admission, Teaching & Learning, Examination, etc. The process flow for each function is well established e.g. for Teaching & Learning of the Degree Section: Academic Calendar → Resource Planning → Time-Table → Faculty Diary → Daily Work Report → Attendance Sheet → Monthly Attendance → Feedbacks → Examinations → Results. This process comprises planning of the academic year & the resources, Designing of Learning plan & teaching delivery, Monitoring & Measurement of Teaching & Learning Process, Feedbacks from Learners & analysis of the same, Summative Assessment, and declaration & communication of the expected Outcome (Results).
	B)	Control over identified externally provided processes, products and services (Outsourced activities).
	➡	• There are 55 Vendors. Verified – these were re-evaluated and completed in week 03/11/2020. Doc. No. TRCAC/IP/05/01, DT 03/11/20 . All re-evaluated- (55 NOS). - e.g. VIVA ENTERPRISES. – Approved for Fire fighting system AMC • Purchases of products is only done through APPROVED SUPPLIERS. Verified PO No –TRCAC/58/2020, dt 29/07/20 for Leaving Certif printing- placed on Sundaram Stationery. The firm is an Approved vendor, on the list.- Items recd and payment cleared after verification & acceptance by Admin. • Verified record of AMC - Annual Maintenance contract Doc. TRCAC/MP/02/FRM/07 for 2020-21 for Air conditioners, Fire Extinguishers, Water Coolers & Purifiers etc.
	C)	EMS Life Cycle Perspective (Input → Processing → Output) ■ An example of Environmental aspect / impact arising out of "Life Cycle Perspective" and any Operational Control measures Directly or Influencing ■ Any objective set to minimize the impact of environment arising out of Aspect – Impact
	➡	NA
f)		Process of establishment and monitoring objectives of management system (with few examples **for respective management systems audited)**
➡		• TRCAC has established Educational Organization Objectives and its measurable indicators at relevant functions, levels and processes needed for the EOMS. Measurable Educational Organization Objectives are derived from the Educational Organization Objectives and the same are reviewed in every Management Review Meeting. - Verified MoM of MRM dt. 19/11/2020 as per Doc. TRCAC/MP/07/FRM/03 • A detailed strategic plan is outlined to achieve Educational Organization Objectives as per chart given in Sec. 6 of Apex Manual - verified.
g)		The availability of resources, environment necessary to support the operations & monitoring of management process.
➡		TRCAC has well defined process for planning & monitoring of Resources as per Doc. TRCAC/MP/02. Verified the following documents: • Identification of resources required for the admission process - Office Note Admin/JC/DC/004/2019-20 dt 8/2/20. Record of Stock for Admission process for 20-21, Classroom requirement 20-21, Benches & Seating capacity Classroom-wise. • List of Faculty Members - Degree College for 20-21 - 17 full time & 28 Visiting dt 1/12/20 - Verified • Visiting Faculties - verified order of appointment of Ms. Nilam H. Goradiya Doc. TRCAC/DC/APPT.ORD/01B pf 2020 dt. 10/6/2020 for appointment on the post of Asst. Professor on CHB (Clock Hour Basis) basis. Verified Evaluation Criteria for Visiting Faculties as per Doc. No. TRCAC/MP/02/FRM/10 dt. 3/1/21 for the selection of Ms. Nilam Goraiya. • Resource planning - Verified as per Doc. TRCAC/IP/02/FRM/03 for academic year 2020-21 and Committees formed for Admission, Time-Table, Attendance / Syllabus Coverage, Discipline / Website, Examination, Library, CEEP & PHE activities.

Personnel Interviewed, including workers / contract workers (For OHSMS). NA			
Name	Designation	Interviewed For	Conclusion Based on Interview
NA	NA	NA	NA

Audit Report For QMS / Medical Devices-QMS/EMS / OHS / IMS Scheme(s)

		Summary of Health Performance including health objectives: (For all ISO 45001 – OHSMS AUDITS). - NA
h)		Methodology of determination & maintenance of organization knowledge necessary for the operations of its processes to achieve conformity of product /service, environmental impact / prevention of injury for the respective management system.
	➡	TRCAC follows a well-defined process for managing Organization Knowledge - Training & Development Doc. TRCAC/MP/04 - Training of Faculties are managed by Faculty Development Program initiative. Verified the following records as samples: • ISO 21001:2018 Awareness program as per report Doc. TRCAC/IP/06/FRM/06, conducted between 4th & 24th Dec' 2020 - The program was run for all staff members by Dr. Ravish Singh, Principal in an on-line format - Verified • Training record of Faculties verified - Pranjali Gadia, Teacher- Maths - July to Dec 2020; Sumeet Rathod & Hridya Nair for the period Nov'2019 to Jan' 2021.- verified. • On-line Content Creation Program Training dt. 4/5/20 attended by Mr. Hardik Goradia, Asst. Prof.- B.Com • Innovative Ways of Presentation Training dt. 2/5/20 attended by Ms. Yashashree Mhatre Asst. Prof. BMM • 5-Days Training Program - on Evolution from Offline to Online Teaching held between 30th May & 3rd June 2020 - attended by Ms. Hardik Goradia, Asst. Prof.- B.Com.
I)		Demonstration of Leadership and commitment towards management system
	➡	• Defined Organization Structure – verified as per Part III Sec. 1 & 2 of Apex Manual Doc. TRCAC/EOMS/AM/01 depicting hierarchy, reportability, & responsibilities. • Specific Responsibility & Authorities are also defined as per Sec. 5 of Apex Manual for each Key positions – Verified for Dr. Mukul Bhatt, Asst. Prof - Mathematics; Ms. Vrushali Pendse, Asst. Prof. - BA, Ms. Arpita Kulkarni, Asst. Prof. BMS, Ms. Yashashree Mhatre Asst. Prof. BMM & Ms Anitha Salian, Admn Officer. • Focus on Learners & other Beneficiaries: Verified - Annexure A4 has been defined in the Apex Manual which explains in detail the needs & expectation as well as the actions required for the same. • TRCAC has established Feedback and Survey Process to monitor the satisfaction of learners, other beneficiaries, and staff, as well as their perceptions of the degree to which their needs and expectations have been fulfilled. - Verified Procedure for Feedback and Survey Doc. TRCAC/MP/06.
j)		Method / procedure for Corrections and Corrective actions, as applicable for respective scheme, with example
	➡	TRCAC has process for Control of Non-Conforming Outputs Doc. TRCAC/MP/05 & Internal Audit Doc. TRCAC/MP/07. Verified 1NC (minor) raised against clause 8.5.1.2.2 Doc. TRCAC/MP/06/FRM/03 dt. 7/11/20. NC is closed on 24/11/20. Root Cause analysis recorded as 'Lack of Time Management to complete the work in stipulated time frame'
k)		Effectiveness of Internal Audit & Management Review
	➡	• Internal Audit was conducted on Nov' 2020 - verified record of IA Plan as per TRCAC/MP/06/FRM/01; Audit Findings Doc. TRCAC/MP/06/FRM/02; Audit Summary Doc. TRCAC/MP/06/FRM/04; 1NC (minor) raised against clause 8.5.1.2.2 Doc. TRCAC/MP/06/FRM/03. • MRM was conducted in Nov' 2020 - verified record of MoM as per TRCAC/MP/07/FRM/03; Agenda followed as per the Standard. • Both IA & MRM are found effective.
l)		Examples of improvement/s as a result of correction, corrective actions, break through changes, innovation and reorganization including continual improvement.
	➡	The following initiatives as a part of continual improvements were atken: • Faculty Development Program - The awareness program for the Educational Organizations Management System ISO 21001:2018 International Standard was conducted from 04th Dec. 2020 to Saturday, 24th Dec. 2020 by Dr. Ravish R. Singh, Principal. The program consisted of 11 sessions which were attended by the Administrative Staff, Jr. College and Degree College faculties - Verified record as per the report submitted by Ms. Vrushali Pendse, Chairperson of CEEP as per Doc. TRCAC/IP/06/FRM/06 • Implemented Guidelines on Examinations and Academic Calendar in View of COVID-19 Pandemic and Subsequent Lockdown as promulgated by University Grant Commission (UGC) dt. 29th April 2020 so as to have seamless completion of the academic year. • Implemented Revised Guidelines on Examinations and Academic Calendar for the Universities in view of COVID-19 Pandemic were also approved by the Commission in its emergent meeting held on 6th July 2020.
m)		Comments on the process of Organization's Management of Change
	➡	TRCAC is aligned with the concept of Management of Change. E.g. On the declaration of country-wide lockdown w.e.f. 24/03/2020, following arrangements were made for the continuity of teaching-learning and examination processes for the commencement of the Academic Year 2020-21: • The faculties were trained to conduct lectures through various online platforms, development of e-content for online delivery of lectures, development of assessment methods for online conduction of examination. • The Lectures of SY and TY commenced from 11th June' 20 and for FY from 14th Sept'20 in on-line mode and LMS Google classroom is used by all teachers for the on-line teaching. • Feedback related to on-line lectures was conducted, analyzed and was accordingly communicated to faculty members.

- The examination results of 2019-20 which were delayed due to the crisis situation were declared after verification of marks from the previous semester of all students and were declared on the official website of the college.
- A.T.K.T. examinations were conducted for students of all programs through on-line mode in the month of Nov' 20 and results for the same were declared on the official website.

Even during the pandemic situation our institution continued to conduct Co-curricular and Extension activities through online and physical activities.

SEC C : Current Audit Non-conformity

a)	NC No.	Clause No.	Statement(s)	Grading of NC (Major/Minor)
	NA	NA	NA	NA
b)	No. of Major NCs:	NIL		
c)	No. of Minor NCs:	NIL		

SEC D (a) : Maturity Of The Management System

(i)	Level of Integration in case of Integrated Management System: NA	
	a)	Integrated Documentation (Manual, policy and objectives, procedures, work instruction etc.)	☐ Yes ☐ No
	b)	An Integrated approach to Roles & Responsibilities	☐ Yes ☐ No
	c)	Conduct of Integrated / approach to Internal Audit	☐ Yes ☐ No
	d)	Conduct of Integrated Management Reviews considering the overall business strategy and plan	☐ Yes ☐ No
	e)	An Integrated approach to systems processes	☐ Yes ☐ No
	f)	An Integrated approach to continual Improvement mechanisms	☐ Yes ☐ No
	g)	Organization's personnel to respond to questions more than one management system standards.	☐ Yes ☐ No
ii)	Comment on the maturity of the management system i.e. about the management system is fully established in the organization and the level of support that it has from senior and top management.	EOMS is effectively implemented with adequate involvement of & controls by the Top Management

SEC D (b) : Brief comments on Annexure to Questionnaire for Result of the review of the system (over period of certification), (applicable during renewal audits)

NA

SEC E : Comments on Usage of Marks / Logos (Accreditation / IRQS)

NABCB :
- The logo shall not be displayed on buildings and flags.
- The logo shall not be displayed on vehicles except in publicity material like part of a large advertisement
- The logo shall not be used on the visiting cards
- Use of logo not permitted on laboratory test, calibration or inspection reports, as such reports are deemed to be products in this context.
- Neither the IRQS's Logo nor the NABCB's Logo shall be used on the packaging of a product, labels, publicity material, written announcements etc. that in any way suggests that the IRQS or NABCB have certified or approved any product, process or services of the registered client

RvA
- On reports and certificates of certified calibration-, testing and medical laboratories and inspection bodies;
- On business cards of the certified client's personnel.

SEC F (a) : Any Unresolved Issues	NIL
SEC F (b) : Any Other comments / observations	NIL

SEC G : Audit Program [To be filled for one cycle, upto Renewal]

Any Significant issues impacting audit program to be recorded

Type of Audit	Stage 1		Stage 2 / Renewal		Surveillance # 1		Surveillance # 2		Renewal	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Date of Audit	Dec 2020	22/12/20	Jan' 2021	22nd & 23rd Jan' 21	Jan' 2022		Jan 2023		Jan' 2024	
No. of Mandays	1	1	2.5	2.5	2		2		2.5	

* Site(s) [covering Temporary /Permanent]/ Department/ Functions / Processes	Stage 1		Stage 2 / Renewal		Surveillance # 1		Surveillance # 2		Renewal	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Top Management	✓	✓	✓	✓	✓		✓		✓	
MR Processes	✓	✓	✓	✓	✓		✓		✓	
Degree College - Core Process (Admission, Teaching & Learning Process & Examination)	✓	✓	✓	✓	✓		✓		✓	
Jr. College - Core Process (Admission, Teaching & Learning Process & Examination)	✓	✓	✓	✓	✓		✓		✓	
Resources (Human Resource, Facilities, Competence & Training)	✓	✓	✓	✓	✓		✓		✓	
Communication (Information & Public Relations)	✓	✓	✓	✓	✓		X		✓	
Library Process	✓	✓	✓	✓	✓		✓		✓	
Co-curricular, Extra-curricular and Extension Activities	✓	✓	✓	✓	X		✓		✓	
Placement and Higher Education	✓	✓	✓	✓	✓		X		✓	
Purchase & Externally Provided Services	✓	✓	✓	✓	X		✓		✓	
Shifts audit (at least once in a cycle, if applicable, Processes to be audited in each shift)	NA	NA	NA	NA	NA	NA	NA	NA	NA	NA

[*Sub-Division in the Department, Processes, Sub-Processes, Activities involved & audited under One Heading to be specified in the "Site(s) [covering Temporary /Permanent]/ Department/ Functions"]

NOTE:

01) Processes required for verification of applicability of the Scope of Certification shall be audited in each visit.

02) Dominant applicable clauses for respective Department/ Functions / Processes to be verified [Refer SEC B: Summary of Conformity.

03) Information required in this Audit Programme is to be updated during First Assessment of the auditee organization in a given cycle i.e. Stage-1 / Transfer / Renewal Audits / Subsequent Audit if there is any modification of Scope (reduction / extension) / Site(S) / Department/ Functions if not audited as planned. (to be discussed)

04) Information provided shall remain for guidance purpose only for the Audit Team of subsequent audits in the cycle & hence, shall not be binding w.r.t. additional functions to be audited and / or clauses to be audited in each function to confirm compliance to the respective audit criteria

34

	SEC H : Recommendation : [Please mark 'Tick - ✓' as applicable]	
01)	Based on the audit findings verified through ~~Off-site audit~~ / On-site audit & Remote audit, it is concluded that: - the audit objectives as identified under ✓9(a); ☐~~9(b)~~ ☐~~9(c)~~ ☐~~9(d)~~; have been fulfilled - the effectiveness of the management system has the capability to meet applicable requirements and expected outcomes. - Certification Scope is appropriate - Satisfactory conduct of internal audit and management review process *NOTE:*In case, if absence of objective evidence for all activities of Scope of certification", on a case to case basis conditional grant of certification or reduction of scope will be undertaken in consensus with Operations-Head/Head-IRQS (Top management), to be communicated accordingly under recommendation.* **And recommend for :** **(If a situation arise as noted under the note then the conditional recommendation to be made as given above & not recommend for Issuance / continuation of the certificate)**	YES
	a)　the issuance " Certificate of Approval" for ISO 21001:2018 / ~~ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018~~	YES
	b)　the issuance " Certificate of Approval" with continuation for ISO21001:2018 / ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018	NA
	c)　continuation for " Certificate of Approval for ISO21001:2018 / ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007 / ISO 45001:2018	NA
	d)　revocation of suspension and continuation of " Certificate of Approval" for ISO21001:2018 / ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007/ ISO 45001:2018	NA
02)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it is concluded that: - the audit objectives as identified under ☐9(a); ☐9(b); ☐9(c); ☐9(d); the effectiveness of the management system could not be evidenced for the noted non conformities, hence, recommend for :-	NA
	a)　the issuance "Certificate of Approval" for ISO21001:2018 / ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007/ ISO 45001:2018 , subject to satisfactory closure of non-conformities on or before _____	NA
	b)　the continuation for "Certificate of Approval" for ISO21001:2018 / ISO 9001:2015 / ISO 14001:2015 / OHSAS 18001:2007/ ISO 45001:2018, subject to satisfactory closure of non-conformities on or before _____.	NA
03)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it is concluded that: the audit objectives as identified under☐9(a); ☐9(b); ☐9(c); ☐9(d); effectiveness of the management system **could not be evidenced** for the noted Major / Minor non conformity(ies), **hence recommends for the**	NA
	a)　follow-up visit for closure of major NC(s)/ minor NC(s) requiring closure based on the site visit, before _____.	NA
	b)　follow-up of audit before _____.	
04)	Based on the audit findings verified through Off-site audit / On-site audit/Remote audit, it is concluded that: - the audit objectives as identified under ☐9(a); ☐9(b); ☐9(c); ☐9(d);effectiveness of the management system **could not be evidenced** for the noted Major non conformity(ies) (indicating breakdown of management system or major impact on environment or high potential of an incident which may result in injury/illness). - In case, if absence of objective evidence for all activities of Scope of certification", on a case to case basis conditional grant of certification or reduction of scope will be undertaken in consensus with Operations-Head/Head-IRQS (Top management), to be communicated accordingly under recommendation. **Hence recommends fast track review (may lead to suspension or withdrawal of certification).**	NA

Instructions for Corrective Action Plans Submission:

Responsibility: It is IRQS's client's responsibility to provide complete and timely responses to finding reports.

Non Conformance submission:

- For the date of NC the following to be completed by the client:
  - ➤ Correction, Root Cause & Extent Analysis, Evidences of Implemented Correction & Corrective Action, for Verification of effectiveness of Implemented Correction / Corrective Action.
- Time Frame of the same:
  - ➤ For Major NC – within 30 Days, for Minor NC – within 60 Days

NOTE 1 : If not submitted within the above time frame then the certificate will be intended for Suspension Process.

NOTE 2 : The Close-out of the following :
- ➤ Major NC to be completed within 60 Days from the date of audit
- ➤ Minor NC to be completed within 90 Days from the date of audit

NOTE 3 :
- ➤ Major nonconformities typically require on-site verification of corrective action unless specified by the Auditor. Follow up audit shall take place within 60 days from the last day of the audit activity to IRQS.
- ➤ All findings shall be closed before a recommendation for certification can be made.

NOTE 4: In case of issuance of any Major NC or any other situation during surveillance audit(s) and or re certification audit(s), team leader requires to recommend a fast track review by IRQS which may lead to suspension or withdrawal of certification.

Disagreement with an audit finding/s:

IRQS Appeals and Control procedure is to be used by the clients for resolving the issue.

Disclaimer:

Audit methodology was sample based. Random Samples were chosen from the areas covered in the scope. This is to assess suitability and effectiveness of Management System. Any sampling carries certain amount of uncertainty in auditing. Whenever the ICT facility used for gathering audit evidences the risk associated with poor connectivity of audio / video are taken into the account for uncertainty in auditing. Audit recommendations are subject to an independent review prior to a decision concerning the awarding, renewal of certification or follow-up / re-audit.

Confidentiality:

We assure that the information obtained during the audit will be maintained with utmost confidentiality.
Appeal: Our system has a provision of appeal with regards to audit process, difference of opinion and audit report. The client has every opportunity to appeal, dispute or complain against the decision of the auditors.

Should you wish to Contact IRQS in relation to any queries
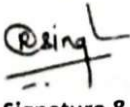
Indian Register Quality Systems
Head Office: 2nd Floor, New Building, 52 A, Adi Shankaracharya Marg,
Opp. Powai Lake, Powai, Mumbai - 400 072.
Website : www.irqs.org
Tel. No.:+91 22 30519800/ 71199800 Fax No.: + 91 22 2570 3611

Team Leader Name	Sunil Verma	Signature & Date 23/1/21
Auditee Representative Name	Dr. Ravish Singh	Signature & Date 23/1/21

Name of the Client:		Thakur Ramnarayan College of Art & Commerce		File No.: T/6415/ISO 21001:2018
Address:	HO	Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Anand Nagar, Dahisar East, Mumbai, 400068.	Date:	11/01/2021
	Site	-		
Kind Attn.:		Mr. Ravish Singh, Principal		Contact No.: 9869220596

Designation:	Org Coordinator	Fax No.:
Audit Criteria(s) [Standard(s)] (strike out the standard not under audit)	~~QMS~~ ~~(ISO 9001)~~ ~~QMS-MD~~ ~~(ISO 13485)~~ QMS-EOMS (ISO 21001) ~~EMS~~ ~~(ISO 14001)~~ ~~OHSAS~~ ~~OHS~~ ~~(ISO 45001)~~ • Applicable legal & other requirement. • Organization's procedures & documented information in line with the respective standards.	E-mail:

Type of Audit: (Delete whichever is not applicable)	~~Stage I~~ / Stage II / ~~Renewal~~/ ~~Surveillance~~ / ~~Follow-up~~ ~~Joint~~/ ~~Combined~~ / ~~Integrated~~ / On-Site & Remote	Date of Audit	From 22/01/21 To 23/01/21
Scope:	• To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai • To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune		

Audit Objectives to verify: [Delete whichever Type of Audit is not applicable]

Stage 2 / ~~Renewal~~/ ~~Surveillance~~	• Information and evidence about conformity to all requirements of the applicable management system standard or other normative document • Performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document) • The Organization's management system and performance as regards legal compliance • Operational control of the Organization's processes • Internal auditing and management review • management responsibility for the Organization's policies • Links between the normative requirements, policy, performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document), any applicable legal requirements, responsibilities, competence of personnel, operations, procedures, performance data and internal audit findings and conclusions. • Enquiries from the IRQS to the Organization on aspects of certification • Review of actions taken on nonconformities identified during the previous audit, • Handling of complaints, • the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification; • To evaluate the suitability and effectiveness of the Management System in meeting the organization's objectives and demonstration of Continual Improvement • To identify areas for potential improvement of the Management System

Audit Scope:
- To evaluate the Organisation's implemented Management System(s) for the Scope of Certification against the above identified Criteria(s).

Audit Purpose:
- To arrive at appropriate conclusion(s) based on the Audit Findings & Evidence(s) as noted during the Audit.

Auditing Methodology:
- For the current audit, the audit team is responsible for executing the plan and the processes involved for the audit.
- Audit is conducted on sampling basis, focusing on verification for compliances against the audit criteria's based on the evidences gathered.

- Verification of the status of the previous audit findings.
- Due diligence for selection (i.e. number, type) of samples based on criticality of processes, competency, non conformities etc shall be taken into consideration due to the adoption of sampling methodology, since sampling methodology has its own element of uncertainty, advantages and disadvantages.
- To verify the audit evidences utilizing the computer-assisted techniques such as MS Team, Skype, Video conferencing, webinar, information available in soft etc would be applied as applicable.

Audit Team Details:

Team Leader:	Mr. Sunil Verma	Mobile No.:	+91 9820069234
Auditor A: (Remote)	Cdr. Shrinivas Nilkund	Mobile No.:	+91 8080551717
NABCB Team (Remote)	Mr. Karun Sharma	Mobile No.:	+91 9167087465 / 9818550095

Audit Schedule Details

Date	22/01/2021	
Time	Team Leader	Auditor A (Remote)
0930 - 1000	Opening Meeting	
1000 - 1030	Tour of the College premises / facilities	
10.30 - 1100	Top management (4, 5, & 6)	
1100 - 1300	Management Processes (Document Review, Legal, Context of Org, Risk & Opportunity, Objectives Analysis, Internal Audit, MRM, Out-Sourced activities, Continual Improvements) (Cl.4.1, 4.2, 4.3, 4.4, 5.2, 6.1, 6.2, 6.3, 7.1.6, 7.2, 7.3, 7.4, 7.5.1, 7.5.2, 7.5.3, 9, 10)	Junior College - Teaching - Learning Process including Special education requirements (Cl. 5.1.3, 8.3, 8.5, 8.6, 8.7, 9.1, 10)
1300 - 1330	Lunch Break	
1330 - 1430	Communication; Information, Public Relations (Cl. 7.4.1, 7.4.2, 7.4.3 & Annex D)	Junior College - Examination Process Special education requirements (Cl. 5.1.3, 8.5, 9 & 10)
1430 - 1530	Resources - Human resources; Facilities; Competence/ Training (Cl. 7.1.1 to 7.1.3, 7.1.3.2, 7.1.3.3, 7.1.4, 7.1.5, 7.1.6, 7.2 & 7.3, & 8.4)	Junior College - Admission Process Cl. 8.1, 8.1.1.2, 8.2, 8.2.1, 8.5, 8.6, 8.7, 9.1, 10)
1530 - 1630	Co-curricular, Extra-curricular and Extension Activities Cl. 8.1, 8.2, 8.4 & 8.5)	Library Process including Special education requirements Cl. 5.1.3, 7.1.6 & 8.5)
1630 - 1730	Placement and Higher Education (Cl. 8.1, 8.2, 8.4 & 8.5)	Purchase & Externally Provided Services (Cl. 8.4)
1730 -1800	Day 1 - Debriefing	
Date	23/01/2021	
Time	Team Leader	
0930 - 1300	Degree College - Core process - Admission, Teaching-Learning & Examination including Special education requirements (Cl. 5.1.3, 8.1, 8.1.1.2, 8.2, 8.2.1, 8.3, 8.5, 8.6, 8.7, 9.1, 10)	
1300 - 1330	Lunch Break	
1330 - 1400	Report Preparation	
1400 - 1430	Closing Meeting	
Shift Audit	Date, Time, Process / Functions to be audited	
	If not audited / applicable, Please justify. **Single day-shift only**	

We trust the proposed schedule and audit team is acceptable to you.

In the event of any objection regarding participation of any team member, you are requested to formally register the non-acceptance (stating reasons) immediately on receipt of the Audit Schedule. If no objections are received within 2 working days of receipt of this Audit Schedule the audit team composition will be considered as deemed accepted.

Should you require any further information about the audit team and audit schedule, please feel free to contact undersigned.

For **Indian Register Quality Systems**
Thanking you.

Sunil Verma

Name of The Team Leader

38

THAKUR Educational Trust's (Regd.)
THAKUR RAMNARAYAN
COLLEGE OF ARTS & COMMERCE
ISO 21001:2018 Certified

THAKUR TRUSTS

Thakur Ramnarayan Educational Campus, S. V. Road,
Dahisar (East), Mumbai - 400 068
Mob.: +91 902 902 6799 • Fax : 022 - 2828 1300
E-mail : admin@trcac.org.in • Website : www.trcac.org.in

trcac

ISO Clause	ISO 21001 Elements	Department/Section /Process to be Audited							
		Management Functions	Admission	Teaching Learning	Examination	Library	Purchase	Co-curricular, Extra-Curricular and Extension Activities	Placement & Higher Education
4	**Context of the Organization**								
4.1	Understanding the organization and its context	√							
4.2	Understanding the needs and expectations of interested parties	√							
4.3	Determining the scope of the management system for educational organizations	√							
4.4	Management system for educational organizations (EOMS)	√							
5	**Leadership**								
5.1	Leadership and Commitment	√							
5.2	Policy	√							
5.3	Organizational roles, responsibilities, and authorities	√							
6	**Planning**								
6.1	Actions to address risks and opportunities	√	√	√	√	√	√	√	√
6.2	Educational organization objectives and planning to achieve them	√	√	√	√	√	√	√	√
6.3	Planning of changes								
7	**Support**								
7.1	Resources	√							
7.2	Competence	√							
7.3	Awareness	√							
7.4	Communication	√	√	√	√	√	√	√	√
7.5	Documented information	√	√	√	√	√	√	√	√
8	**Operation**								
8.1	Operational planning and control		√	√	√	√	√	√	√
8.2	Requirements for the educational products and services		√	√	√	√	√	√	√
8.3	Design and development of the educational products and services			√					
8.4	Control of externally provided processes, products and services						√		
8.5	Delivery of the educational products and services		√	√	√	√	√	√	√
8.6	Release of the educational products and services								
8.7	Control of the educational		√	√	√	√	√	√	√

1

THAKUR
TRUSTS

Thakur Educational Trust's (Regd.)
THAKUR RAMNARAYAN
COLLEGE OF ARTS & COMMERCE
ISO 21001:2018 Certified

Thakur Ramnarayan Educational Campus, S. V. Road,
Dahisar (East), Mumbai - 400 068
Mob.: +91 902 902 6799 • Fax : 022 - 2828 1300
E-mail : admin@trcac.org.in • Website : www.trcac.org.in

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	nonconforming outputs								
9	**Performance evaluation**								
9.1	Monitoring, measurement, analysis and evaluation	√	√	√	√	√	√	√	√
9.2	Internal audit	√	√	√	√	√	√	√	√
9.3	Management review	√	√	√	√	√	√	√	√
10	**Improvement**								
10.1	Nonconformity and corrective action	√	√	√	√	√	√	√	√
10.2	Continual improvement	√	√	√	√	√	√	√	√
10.3	Opportunities for improvement	√	√	√	√	√	√	√	√

Auditors/Auditees Name, Date and Timing of Audit are given below:				
Sr. No.	Auditor's Name	Process/Auditee's Name	Date	Time
1	Ms. Sarwari Rangila Ms. Daksha Chaudhary Ms. Sheetal Dixit	Management Process Dr. Ravish R Singh	10-09-2022	11:00 a.m.- 12:00 p.m.
2	Mr.Vinit Kumar Dubey Ms. Mahima Yogeeswarar Ms. Aniushka Joshi	Admission Process Administrative officer	10-09-2022	11:00 a.m. - 12:00 p.m
3	Ms. Sujata Debnath Ms. Soni Sharma Ms. Sandhya Shukla	Teaching Learning Process (DC) All Faculty Members	10-09-2022	12:00 p.m. -1:00 p.m.
	Ms. Ranjani Shukla Ms. Hridya Nair Ms. Komal Jambhale	Teaching Learning Process (JC) All Faculty Members	10-09-2022	11:00 a.m.- 12:00 p.m.
4	Ms. Sayali Pereira Ms. Reetu Pahuja Ms. Aanchal Singh	Examination Process (DC) Examination Committee Members	10-09-2022	1:30 p.m. - 2:30 pm
	Dr. Mukul Bhatt Ms. Sonali Devadiya Mr. Kailash Kalghutkar	Examination Process (JC) Examination Committee Members	10-09-2022	11.:00 a.m. – 12.00 p.m.
5	Mr.Vishal Sharma Mr. Rashid Shaikh Ms. Khushboo Bidawatka	Library Process Librarian	10-09-2022	1:30 p.m.- 2:30 p.m.
6	Mr. Jayantilal Suthar Ms. Advitya Shrivastav Mr. Prashant Kamble	Purchase Process Accountant	10-09-2022	1:30 p.m.- 2:30 p.m.
7	Mr.Dhananjay singh Ms. Vaidehi Kapadia Ms.Khushali Sanghvi	Co-curricular, Extra-Curricular and Extension Activities Process (DC) Co-curricular, Extra-Curricular and Extension Activities Committee Members	10-09-2022	11.00 a.m. - 12:00 p.m.
	Ms. Prachi Singh Ms. Shweta Singh Ms. Sachin Bande	Co-curricular, Extra-Curricular and Extension Activities Process (JC) Co-curricular, Extra-Curricular and Extension Activities Committee Members	10-09-2022	1:30 p.m. - 2:30 p.m.
8	Mr .Hardik Goradiya Mr. Madhusudan Valakati Ms. Shaheen Shaikh	Placement and Higher Education Process Placement Committee Members	10-09-2022	12.00 p.m – 01:00 p.m.

Issued By

Principal

THAKUR
THAKUR TRUSTS

Thakur Educational Trust's (Regd.)
THAKUR RAMNARAYAN COLLEGE OF ARTS & COMMERCE
ISO 21001:2018 Certified

Thakur Ramnarayan Educational Campus, S. V. Road,
Dahisar (East), Mumbai - 400 068
Mob : +91 902 902 6799 • Fax : 022 - 2828 1300
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TRCAC/MP/06/FRM/02			Revision: A

Internal Audit Findings

Department/Section/Process: Admission Process

Internal Audit No. 0205   Date: 10/09/2022

Sr. No.	ISO Clause No.	Details of Nonconformities/Observations	Mnc / mnc/ ofi
1.	6.1.2	Risk was identified about misplaced student eligibility records. It was mitigated through Admission form TRCAC/IP/01/FRM/02 of Hiral Bhanushali, form no. 470, FYBMS with documents university form, xerox copy of 12th marksheet, Aadhar card, LC,insurance form TRCAC/IP/01/FRM/03, minority form TRCAC/IP/01/FRM/04 verified by Administrative staff was found maintained in file no. TRCAC/ADMIN/107	-
2.	6.2.1	EOMS objective was checked from Apex Manual page no. 40 . Norms of admission were followed by regulatory bodies i.e MSBSHSE. It's way to achieve by verifying Admisssion form TRCAC/IP/01/FRM/01 Tanisha Modi Form no. 702 , Date:02/07/2022 ,FYJC C1(IT/Maths) , 10th marksheet, LC(original), Aadhar card, MSBSHSE form part 1 & 2, TRCAC/IP/01/FRM/03 Insurance form, TRCAC/IP/01/FRM/04 Minority form checked by Administrative staff was found maintained in file no. TRCAC/ADMIN/107.	-
3.	7.4.2	Prospectus TRCAC/IP/01/INT/01 , website link www.trcac.org.in has been shared to interested parties about courses offered under regulatory bodies. MU - BMS, BAF, B.SC IT, B.COM, B.SC CS, BAMMC, BA MSBSHSE - Commerce and arts	-
4.	7.4.3	Sales of forms have been verified about enquiries of Customer/ Interested parties. Total 810 enquiries for commerce 11th std and 230 enquiries for arts 11th std was found maintained in Excel Sheet from date 6/8/2022 to 20/9/2022.	-
5.	7.5.3.2	Fee receipt TRCAC/IP/01/FRM/05 with Qfix rf no.- IF7EHGFS1753594 for FYBAMMC fees and Qfix rf no. 225115772552 for 11th arts fees was found and maintained of Muskan Patwa	-
6.	8.1.1	Admission committee of 7 members in DC and 9 members in JC was found and maintained with Duty Chart	-
7.	8.1.3	For special needs students ,circular no. SOI.cell/ICC/2021-22/02 , date 30th august ,2021- 3% benefit in DC admission and as per online booklet of MSBSHSE 4% benefit in JC admission	—
8.	8.2.2	Scholarship and Freeship options offered to students under the DBT and NSP Schemes of the government. The application of Ajay Mane, a student of S.Y.B.Com which is in process was checked and verified.	—

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9.	8.3.2	Subject change form no. TRCAC/IP/01/FRM/12 of Palak Maru SYJC C2, Roll No 21C2031 from Maths to SP was checked and verified with signature of existing subject teacher(Maths) Mr Vinitkumar Dubey to signature of current subject teacher (SP) Ms Vaidehi Kapadiya	—
10	8.3.4	Transcripts are provided to students that seek them for higher education purposes. The transcript of Kashyap Joshi student of TYBAF by number of TRCAC/489/2022-23 was checked and verified.	—
11.	8.4.1	Eligibility criteria for JC admission Arts with IT -60% and above, commerce with IT/Maths- 75% & above, Hindi/Maths & Hindi/SP-60% and above was verified and maintained in Admin/JC/009/2022-23 dated 17/7/2022 Eligibility criteria for DC admission BMS-65% and above (Arts,Commerce,Science), BSc.IT (Maths Marks 35) B.A (ALL), B.Com(ALL), BAF(50% and above), BAMMC (ALL) and B.Sc..CS (With Maths Marks 35) was verified and maintained in Admin/DC/14/2022-23 dated 06/7/2022	—
12	8.5.1	Cancellation of admission Form No.TRCAC/IP/01/FRM/04 of Anuj Dahiya, FY.B.Sc.CS 2022-23 with application was found and verified. 30% of fees has been deducted from total amount paid.	-
13	8.5.2	General register TRCAC/IP/01/REG/01 of Junior college was and Ashish Pal of FYJC C2 commerce was found General Register TRCAC/IP/01/REG/01 of degree was maintained andmaintained Kimaya Khond of FY.B.Sc.CS was found	-
14	8.5.4	Preserving and Protection of documents was done by creating a separate official Admin cupboard No-01.02 for DC and Admin cupboard-03,04,05 for JC	-
15	9.2.2	internal audit findings TRCAC/MP/10/FRM/02 was checked for previous internal audit 01/03 dated 25/11/2021 and no non conformities were found	-

Name: Mr. Rupesh Daur(JC), Mr Tushar (DC)
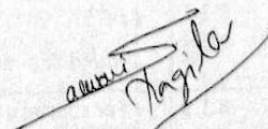
Designation of Auditee: Administrative staff

Date: 10/09/2022

Signature

Name: Ms. Sarwari Rangila

Designation of Auditor: Assistant Teacher

Date: 10/09/2022

Signature

Legend: Mnc-Major Nonconformity, mnc – Minor Nonconformity, ofi-Opportunity for Improvement

2   42

TRCAC/MP/06/FRM/02			**Revision: A**
	Internal Audit Findings		
	Department/Section/Process: Teaching Learning Process		
Internal Audit: 03/05			**Date: 10/09/2022**
Sr. No.	**ISO Clause No.**	**Details of Nonconformities/Observations**	**Mnc / mnc/ ofi**
1	6.2	Academic Calendar TRCAC/IP/02/FRM/01 for the Academic year 2022-23 was checked and found updated.	
2	7.2.2	Special needs learners identified for the Academic Year 2022-23 bearing notice no. Admin/DC/032/2022-23 dated 10/09/2022 was checked.	
3	7.3	Auditee Ms. Sonali Devadiga was aware about Educational Organizational Objectives and risks related to Teaching Learning Process.	
4	7.5.1	Cumulative Monthly Syllabus Coverage Report TRCAC/IP/02/FRM/08 for the subject of Commerce-I in FY B.Com taught by Ms. Khushboo Bidawatka for the month of August, 2022 was checked and found to be 88.47% as 17 lectures were conducted out of 19 planned lectures. Deviations were found due to non-instructional day and one casual leave.	
5	8.1.1	Identification of resources for the academic year 2022-23 bearing form no. TRCAC/MP/02/FRM/08 which included faculty members, projectors, classrooms was maintained to meet the requirements of the teaching learning process.	
6	8.1.2	One of the risks identified in the teaching learning process is the resignation of faculty during term/semester which was mitigated by appointment of Mr. Rahul Khuswaha for BMS department in replacement of Mr. Rahil Dosani as biodatas were kept ready by the admin department.	
7	8.3	Student Mentoring Handbook TRCAC/IP/02/INT/02 was prepared and maintained by Mr. Vaqar Bubere for 30 students of TYBMS for Semester V. Record of student details, academic record, co-curricular activities, extra-curricular activities was checked.	

8	8.3	Programme Outcomes, Course Outcomes, Learning Outcomes and Teaching Plan were prepared by the faculty members and the related documents of Ms. Sonali Devadiga and Ms. Apoorva Ghadsi were checked and maintained as TRCAC/IP/02/INT/01.	
9	8.5.5.1	E-Contents like PPT by Ms. Riddhi Pandya for the subject of FY B.Sc(CS) and Notes prepared by Ms. Ranjani Shukla for the subject of Economics was checked.	
10	9.1.5	Student's Feedback about Faculty TRCAC/MP/05/FRM/02 dated 10/09/2022 was checked. Faculty member Ms. Claret Chande attained 80.75 % of student satisfaction in the class of FY B.Com for the first term for the subject Business Communication – I.	
11	9.1.5	Overall passing percentage should be atleast 70% which is a measuring indicator for academic results mentioned as per EOMS Objectives. Result Analysis TRCAC/IP/02/FRM/12 for Semester IV (Regular) of April 2022 for B.Com (Accounting & Finance) was checked. An overall passing percentage of 98.72% was achieved.	
12	9.2.2	Internal Audit 04 was conducted in the month of May 2022. The internal audit findings report bearing reference no. TRCAC/MP/06/FRM/02 dated 14/05/2022 was provided as the documented evidence. No mnc/Mnc/ofi were found.	

Name: All faculty members

Designation of Auditee: Assistant professor

Date: 13/09/2022

Signature

Name: Ms. Sayali Pereira

Designation of Auditor: Asst. Teacher

Date: 13/09/2022

Signature

Legend: Mnc-Major Nonconformity, mnc – Minor Nonconformity, ofi-Opportunity for   Improvement

TRCAC/MP/06/FRM/02			Revision: A
Internal Audit Findings			
Department/Section/Process: Examination Process			
Internal Audit 04/05			Date: 10/09/2022
Sr. No.	ISO Clause No.	Details of Nonconformities/Observations	Mnc / mnc / ofi
1	6.1.2	Awareness is an important attribute for efficient implementation of EOMS Manual. Auditees were aware about the risk identified in their process. TRCAC/ IP/ 03/ FRM / 13 for Grade card distribution was checked for May 2022 Sem II examination (BAF). In which the record of one Student named Dodhiya Palak Nilesh Beenu was checked for collection of grade card dated 08/07/2022	-
2	8.5.1	Details about the conduct of examination are communicated by the university to the institute. A Notice issued by University of Mumbai No. UG/112 of 2015 (clause 0.229) which speaks about giving 10 garde marks to the students of NSS or DLLE was checked.	-
3	9.1	The transparency and accountability of learners data is assured by granting access of the Examination Process google drive on to the Examination Committee, the hard copy of learners data is stored in the examination cupboard and kept in lock and key .	-
4	6.2.2	To achieve EOMS objective of Zero error or lapse in the examination process vigilance squad for Sem II F.Y.BA from 02/05/2022 to 10/05/2022 was made. Documented information with reference no. TRCAC/Exam/018 of 2021 - 22 dated 29/04/2022 was verified.	-
5	7.1.1.2	Mark Sheets of the learners are made through external provider Mr. Suni Patil and correspondence on mail for the same was verified dated 17/05/2022 with reference no. TRCAC/IP/02/FRM/10 for F.Y.BMS Sem II.	-
6	7.5	Auditees were aware about the processes linked and were able to explain the link between TLP and examination process.	-
7	8.1	To ensure smooth and fair conduct of examination awareness about the conduct of examination is essential. Document showing roles and responsibilities of junior supervisors was checked.	-

8	9.1	Grade card is the indicator that helps to understand whether the learning outcomes are achieved or not. For record grade card of one of the student Siddiqui Amaan Moizurrehman Karimunnisa of B.Com(A &F) who achieved grade "o" dated March 2022 was checked.	-
9	7.5	Auditee Ms. Advitya was aware about the controlled document used i.e. EOMS Manual which specifies measuring indicator for smooth conduct of examination.	-
10	9.1.1	Proceedings of the examination are conveyed to the Principal through Exam Process Review Report. The process review report for A.Y. 2021 - 2022 for even semester examination TRCAC/MP/07/FRM/04 was checked.	-
11	8.3.3.4	Assessment criteria has been identified as one of the major indicators showing the learning outcome. The syllabus for S.Y.BSC(CS) for the A.Y. 2022 - 2023 provided by Mumbai university specifying the criteria for evaluation was checked.	-
12	10	Internal Audit findings for Internal Audit 03/04 bearing reference number TRCAC/MP/06/FRM/02 dated 14/05/2022 was provided as the documented evidence. No Mnc/ mnc / ofi was found and signed by both Auditor as well as Auditee.	-

Name: Examination Committee (DC)

Designation of Auditee: Assistant professor
Ms. Advitya
Date: 10/09/2022

Signature
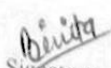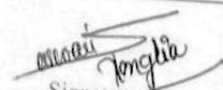
Name: Ms. Sayali Pereira

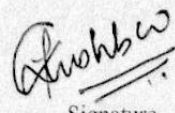Designation of Auditor: Asst. Teacher

Date: 10/09/2022

Signature

Legend: Mnc-Major Nonconformity, mnc – Minor Nonconformity, ofi-Opportunity for Improvement

Thakur Educational Trust's (Regd.)
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TRCAC/MP/06/FRM/02			Revision: A

Internal Audit Findings

Department/Function/Process	Library Process

Internal Audit No.: 05 / 05	Date: 12/09/2022

Sr. No.	ISO Clause No.	Details of Nonconformities/Observations	Mne / mne/ ofi
1.	7.3	The Auditee was aware of Educational Organisation Objective related to Library Process.	-
2.	9.2	The NCR of Internal Audit 03/05 dated 26/11/2021 was checked & No NC's/OFI were found.	-
3.	7.5.1	List of files was checked which included- 1. Bills (TRCAC/LIB/201), Invoice no: 13653/2022-23, Dated:05/07/2022 2. Internal Communication (TRCAC/LIST/01),Dated: 25/11/2021.	-
4	7.2.2	Special arrangements are checked which included- 1. 3 days grace given for returning of books. 2. 10 seats reserved 3. classmates can sign on behalf of them. A facility of special needs students dated 05/01/2022 was checked on the register.(TRCAC/DC/LIB/03) of 2021-22	-
5	8.4.1	Access register of teachers was checked in TRCAC/IP/04/REG/06 to maintain records of teachers And Library usage register was checked in TRCAC/IP/04/REG/05 for students.	-
6	8.4.1	Periodical Suggestion Book checked for suggestion and requirement of faculty books. (TRCAC/IP/04/FRM01)	-
7	7.1.6.2	Annual stock verification report dated 31/08/22 checked for maintaining annual stock (TRCAC/IP/04/FRM/04)	-
8	7.1.6.2	The budget allotted for the library was 598400/- dated 25/07/2022.	-
9	7.1.3	Computer for access to E- resources was available to students in the computer laboratories which is mentioned in the Procedure manual. Remote access of E-resources available to students from personal mobile phones / personal computers in case of non availability of computers.	-
10	6.1.1	Penalty of Rs. 5 per day from the students. Receipt No. 1956 dated 06/09/2022 for Rupees 185/- from Mailisha, Student of S.Y.B.A. was checked in the Penalty Receipt Book.	-
11	8.4.1	Library usage register for students and faculty was checked in TRCAC/IP/04/REG/06	-
12	7.5.3.2	Books are preserved in register and periodicals are preserved in register TRCAC/IP/04/REG/02 as well as in Integrated Library Management System : KOHA	-
13	6.1.2	Recently , no risk was identified	-
14	7.3	No, there are no latest notification from university or boards	-
15	7.5.3	Weed out register was checked, and nothing has been weeded out till 10th September 2022.	-

Name- Binita Jha
Designation of Auditee- Librarian
Date – 10/09/2022

Name- Ms. Sarwari Rangila
Designation of Auditor: Asst. Teacher
Date- 10/09/2022

Signature

Signature

Legend: Mnc-Major Nonconformity, mnc – Minor Nonconformity, ofi-Opportunity for Improvement

Revision: A

TRCAC/MP/06/FRM/02		Internal Audit Findings	

Department/Section/Process: CEEP Process

Date: 10/09/2022

Internal Audit No.: 07/05

Sr. No.	ISO Clause No.	Details of Nonconformities/Observations	Mnc / mnc/ ofi
1.	6.2	Auditees Ms. Khusbhoo Bhidwakta, Ms. Advitya Srivastav were aware of the Educational Organisation Objective and the measuring indicators derived from EOMS Objective related to Co-curricular, Extra-curricular & Extension Activities was achieved for which the document for the event "Yoga for Humanity" Notice (DC) - TRCAC/DC/CEEP/023/2022-2023 dated 21/05/2022 was shown.	-
2.	7.4.1	Fresher's Party Notice TRCAC/DC/CEEP/045/2022-2023 dated 21/08/2022 was communicated to the students.	-
3.	7.4.2	External Providers "Light Craft and Sound Pvt. Ltd for Freshers Party event was found Bill no. P-939 Dated 29/08/2022 Bearing Amount 28300/- was checked and maintained.	-
4.	7.5.1	Activity report bearing TRCAC/IP/06/FRM/07 for "Entrepreneurial Ecosystem -Opportunities by young Entrepreneurs" dated by BMS Dept was found maintained.	-
5.	8.1.2	Duty chart TRCAC/IP/06/FRM/01 of event Mental health in the post Pandemic Era held on 26/07/2022 was checked and total 10 participants were allotted duty for the event.	
6.	8.3.1	Provision for students Siddhant baseen – from B.Sc.(IT) division "A" – roll number 2206002 – was identify the special need and document bearing notice was check	-
7.	8.5.5	Protection & Preservation of CEEP documents is done by creating official CEEP Gmail account.	-
8.	9.1.3	Students Satisfaction level for the event Friendship Day was assessed by taking the students feedback TRCAC/MP/05/FRM/03 dated 08/08/2022 were 315 students response was recorded with the percentage of 78.08%	-
9.	9.1.3	Provision made for students attendance benefit TRCAC/IP/06/FRM/06 dated 30/08/2022 was found. No data was recorded as there was zero academic laws for learners	
10.	9.2.2	Internal Audit Findings TRCAC/MP/06/FRM/02 was checked for the previous Internal Audit 04 and no Non-Conformities were found.	-

Name: Ms. Khushboo Bhadiwakta, Ms. Advitya Srivastav, Ms. Prachi Singh

Designation of Auditee: Assistant Professor.

Date: 28/09/2022

Signature

Name: Ms.Sayali Pereira

Designation of Auditor: Assistant Teacher

Date: 10/09/2022

Signature

Legend: Mnc-Major Nonconformity, mnc – Minor Nonconformity, ofi-Opportunity for Improvement

TRCAC/MP/06/FRM/02			Revision: A

Internal Audit Findings

Department/Function/Process: Placement and Higher Education

Internal Audit No.: 08/05			Date: 10/09/2022

Sr. No.	ISO Clause No.	Details of Nonconformities/Observations	Mnc / mnc/ ofi
1	6.1.1	Risk was identified regarding Students' academic loss due to placement activities mitigation steps were taken by planning training placement activities in winter vacation which was verified by checking registration form of Aptitude training planned during 4th December 2021 to 29th April 2022. The training was conducted under notice DC/PHE/085A/2021-22.	-
2	7.1	Notice for Committee Formation numbered TRCAC/Admin/DC/19/2022-23 dated 30/06/2022 was checked.	-
3	7.3	Auditees were aware of Educational Organization Objective related to Placement Process and about PHE Process, PHE Rules and Regulations were prepared and maintained by committee members of PHE.	-
4	7.4	Placement Registration form TRCAC/IP/07/FRM/04 was circulated in all the programs where 64 students gave their consent for placement. Data provided by Mr.Prashant Kamble, records of student of TYBA (Psychology) was checked.	-
5	7.5	Student attendance TRCAC/IP/02/FRM/10 and report TRCAC/IP/06/FRM/07 for Pre-Placement Training of SYBSc (IT) was checked, Training was undertaken by Ms. Prachi Singh.	-
6	7.5.1	Mail from the company Acty System India Pvt. Ltd. dated 6th September, 2022 was checked, 01 Student was selected from 2022-23. And Saffire Tech. dated 5th September, 2022 was checked, 01 Student was selected from 2022-23.	-
7	8.1.1	Resources were identified before the commencement of Academic year 2022-23 under notice TRCAC/MP/02/FRM/08 dated on 13th July 2022.	-
8	8.3/8.5	5 day Student Development Program (SDP) was conducted in association with BSE Brokers Forum, on "Overview of Capital Market" was organised by PHE , Notice No. DC/PHE/021/2022-23 dated 14th July 2022 was checked and verified..	-
9	9.1	The Feedback Analysis TRCAC/MP/05/FRM/03 related to Pre-Placement Training program dated 8/11/2021 - 11/11/2021 was checked where 111 students given their feedback.	-
10	9.2.2	Internal Audit Finding Report TRCAC/MP/06/FRM/02 dated 14/5/2022 was checked & No NC's/OFI were found.	-

Name- Ms. Sumeet Rathod, Asst. Professor
Mr. Prashant Kamble, Asst. Professor
Ms. Daksha Chaudhary Asst. Professor

Date -10/09/2022

Signature

Name- Dr. Mukul Bhatt
Designation of Auditor: Asst. Professor

Date- 10/09/2022

Signature

Legend: Mnc-Major Nonconformity, mnc – Minor Nonconformity, ofi-Opportunity for Improvement

IRCLASS
SYSTEMS AND SOLUTIONS PRIVATE LIMITED

CERTIFICATE OF APPROVAL
Issued by Indian Register Quality Systems
(A Division of IRCLASS Systems and Solutions Private Limited)

This is to certify that the Educational Organizations Management Systems of

Organisation: Thakur Ramnarayan College of Art & Commerce

Address: Thakur Ramnarayan Educational Campus, Swami Vivekananda Marg, Dahisar East, Mumbai- 400068

has been assessed and found conforming to the following requirement

Standard: ISO 21001:2018

Scope: ●To Provide Undergraduate Education in Faculty of Arts, Commerce and Science as per Norms and Standards of University of Mumbai
●To Provide Higher Secondary Education in Arts and Commerce Stream as per Curriculum of Maharashtra State Board of Secondary and Higher Secondary Education, Pune

Certificate No.: IRQS/213100191

Original Certification Date: 06/02/2021

Current Date of Granting: 03/03/2021

Expiry Date: 05/02/2024

Shashi Nath Mishra
Head IRQS

Indian Register Quality Systems

NABCB
QM 006

This approval is subject to continued satisfactory maintenance of the Quality Management Systems for Educational organizations Management systems for educational organizations, requirements with guidance for use of the organization to the above standard which will be monitored by IRQS. The use of the Accreditation Mark indicates accreditation with respect to activities covered by the certificate with accreditation no. QM 006. Condition Overleaf   COA/IRQS/NABCB/QMS-EOMS/Rev 00

Head Office: 52A, Adi Shankaracharya Marg, Opp.Powai Lake, Powai, Mumbai - 400 072, India.

BUREAU VERITAS
Certification

THAKUR RAMNARAYAN COLLEGE OF ARTS & COMMERCE

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Estd. 2016

THAKUR RAMNARAYAN EDUCATIONAL CAMPUS,
SWAMI VIVEKANAND ROAD, DAHISAR (EAST), MUMBAI – 400 068, MAHARASHTRA, INDIA

*Bureau Veritas Certification Holding SAS – UK Branch certifies that the Management System
of the above organization has been audited and found to be in accordance with the
requirements of the Management System standard detailed below.*

Standard

ISO 9001:2015

Scope of certification

**DELIVERING UNDERGRADUATE DEGREE PROGRAMMES IN FACULTY OF
ARTS, SCIENCE AND COMMERCE AS PER NORMS AND STANDARDS OF
UNIVERSITY OF MUMBAI**

**PROVIDING EDUCATION FOR JUNIOR COLLEGE OF ARTS AND COMMERCE AS PER
CURRICULUM OF MAHARASHTRA STATE BOARD OF SECONDARY AND HIGHER
SECONDARY EDUCATION, PUNE**

Original cycle start date:	**01 February 2018**
Expiry date of previous cycle:	**Not Applicable**
Recertification Audit date:	**25 January 2018**
Recertification cycle start date:	**01 February 2018**

Subject to the continued satisfactory operation of the organization's Management
System, this certificate expires on: **31 January 2021**

Certificate No. **IND18.7090U/Q**   Version: **2**   Revision date: **25 March 2019**

Signed on behalf of BVCH SAS UK Branch
Jagdheesh N. MANIAN
Head – CERTIFICATION, South Asia
Commodities, Industry & Facilities Division

UKAS
MANAGEMENT
SYSTEMS
0008

Certification body   5th Floor, 66 Prescot Street, London, E1 8HG, United Kingdom.
address:

Local office: Bureau Veritas (India) Private Limited (Certification Business)
72 Business Park, Marol Industrial Area, MIDC Cross Road "C",
Andheri (East), Mumbai – 400 093, India.

Further clarifications regarding the scope of this certificate and the applicability of
the management system requirements may be obtained by consulting the organization.
To check this certificate validity please call **+91 22 6274 2000.**

Government of India

Ministry of Education

Department of Higher Education

Statistics Division

New Delhi

Certificate

Reference No. C-59916-2021

This is to certify that MRS TEJASVINI JAYANT KARANDE of Thakur Ramnarayan College of Arts and Commerce has successfully uploaded the data of All India Survey on Higher Education(AISHE) 2021-2022.

R Rajesh

(Shri R. Rajesh)

Deputy Director General

Dated: 27/12/2022