MANAGEMENT SYSTEM CONSULTANCY

Service Provided: Legal, Safety, Fire, Environment, Social, Energy Audit and ISO, Automotive, NABL, NABH, CSR, Food, Medical Certification services

Govt.Reg.No.200252020048281, MSME Reg.No.UDYAM-WB-14-0014572, GST No. 19FIIPM3803A1ZH

ORGANIZATION INFORMATION:

NAME Of ORGANIZATION	**K.K. DAS COLLEGE**		
ADDRESS	**GRH-17, BAISHNABGHATA-PATULI, GARIA, KOLKATA – 700084.**		
DATE OF AUDIT		STANDARD	ISO 21001:2018, ISO 9001:2015, ISO 27001:2013
TYPE OF AUDIT	**Academic and administrative audit**		
EFFECTIVE NO. OF PERSONNEL	**50Nos.**		

CONTACT INFORMATION

CLIENT NAME	DR. RAMKRISHNA PRASAD CHAKRABORTY		
PH. NO	(+91) 033 - 24625999	EMAIL ADDRESS	kkdascollege@gmail.com

SCOPE OF CERTIFICATION:

LANGUAGE	STANDARD	SITE NAME	SCOPE OF CERTIFICATION
English	ISO 21001:2018, ISO 9001:2015, ISO 27001:2013	**K.K. DAS COLLEGE**	Teaching, Learning and Evaluation processes relating to awarding of Bachelor Degrees in Arts, Science & Commerce

EXCLUSION FROM STANDARD AND NON-APPLICABLE REQUIREMENTS	None

AUDITOR INFORMATION:

NAME	MOBILE NO	EMAIL ID
Amalesh Kumar Mandal	7595069903	managementsystemconsultancy@gmail.com

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Declaration on liability exclusion:

This audit is based on the sampling process of available information (the methods used - communication, surveillance activities, documented review of information) and in accordance with the audit plan with the application of the relevant audit criteria. Recommendations concerning certification are subject to independent review. This includes issuing, maintaining, extending, suspending, renewing or refusing to issue a certificate.

AUDIT SCOPE:

Audit Objectives

1. To confirm that the management system conforms with all the requirements of the audit standard(s);

2. To confirm that the organization has effectively implemented its planned arrangements;

3. To confirm that the management system is capable of achieving the organization's policies and objectives and evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and **Contractual requirements;**

4. If applicable to identify areas for potential improvement of the management system.

5. To confirm that the certified management system(s) conforms with requirements of to the standard, including, but not limited to:

a) Internal audits and management review,

b) A review of actions taken on nonconformities identified during the previous audit,

c) Treatment of complaints,

d) Effectiveness of the management system with regard to achieving the certified client's objectives,

e) Progress of planned activities aimed at continual improvement,

f) Continuing operational control,

g) Review of any changes, and

h) Use of marks and/or any other reference to certification.

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Details of applicable regulatory, statutory and contractual requirements and compliance status.

Details of applicable regulatory and statutory requirements: -

- Verified certificate issued by University Grants Commission, New Delhi to K.K. DAS COLLEGE OF COMMERCE is included under section 2(f) and 12(B) of the UGC Act, vide "UGC 2004, Directory of colleges under section 2(f) issued and 12(B) of the UGC Act", Serial No 73.

AUDIT PROCESS

AUDITOR NOTES / SIGNIFICANT AUDIT TRAILS:

CLAUSE	APPLIED	COMPLIANCE	AUDITORS NOTE
4. Context of the organization			
4.1 Understanding the organization and its context	Yes	OK	Identification of external & internal issues specific to ISO 21001:2018 Standard in Chapter 4 Section 4.1 of Educational Organization Management System Manual Doc. No. KKDC/QMS/XXX/QMM/001Issue No. 01 Rev. 00 dated 02.04.2023. It is at Organization level. Verified and found satisfactory.
4.2 Understanding the needs & expectations of interested parties	Yes	OK	Understanding the needs and expectation of interested parties defined & verified through Chapter No. 04 Section No. 4.2 Of Educational Organization Management System Manual Doc. No. KKDC/QMS/XXX/QMM/001 Issue No. 01 Rev. 00 dated 02.04.2023-------- Interested parties like DEI Society, Learners, Employers – for passed out students, Parents, Staff Members, Alumni & Society etc. Their needs & expectations were defined separately which have been verified and found satisfactory.
4.3 Determining the scope of the management system for educational organizations	Yes	OK	Scope is found documented and approved, mentioned in their Management system manual. Scope as per their delivery of courses.

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4.4 Management system for educational organization (EOMS)	Yes	OK	The management system's processes are found defined and documented in Management System Manual, Revision 00. Found ok.
			Auditee: DR. RAMKRISHNA PRASAD CHAKRABORTY
5.1 Leadership & commitment	Yes	OK	Mr. DR. RAMKRISHNA PRASAD CHAKRABORTY has found demonstrated the leadership in maintaining the management system by taking initiative during the implementation of the Management system as per ISO 21001 through 9001 requirements.
5.2 Policy	Yes	OK	The policy is found defined and documented in Manual, KKDC/QMS/XXX/QMM/001 revision 00. (Section 5.2) The communication of the policy is verified With the personnel working under organization. The policy is found communicated within the organization through display. Found ok.
5.3 Organizational roles, responsibilities and authorities	Yes	OK	Level wise roles, responsibilities and authorities found established.
Cl.6 Planning			Auditee: DR. RAMKRISHNA PRASAD CHAKRABORTY
6.1 Actions to address risks and opportunities	Yes	OK	Risks & opportunities for ISO 21001:2018 Standard have been verified-----Procedure has been made as Doc. No. KKDC/QMS/PRD/002 Issue No. 01 Rev. No. 00 dated 01/07/2021. It is at process level. Risk assessment criteria in Which severity and Likelihood multiplication taken as risk level. For each department, as an annexure, risks & Opportunities have been defined. Verified all and found satisfactory.
6.2 Educational organization objectives and planning to achieve them	Yes	OK	The educational organization objectives are found defined in terms of key performance Objectives. -The Key performance or significant aspects are found determined in terms and Objectives and are defined by Principal (Reference document # KKDC/QMS/FRM/001, Revision 00).

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			Targets : 1. On-time course delivery 2. Zero failure/delay in Quality delivery 3. Work Space cleanness and Statutory compliance
6.3 Planning changes	Yes	OK	Found compliant.
Cl.7 Support			Auditee: DR. RAMKRISHNA PRASAD CHAKRABORTY
7.1 Resources 7.1.1 General 7.1.2 Human resources 7.1.3 Facilities	Yes	OK	Learning resources like books, e-learning materials, Journal, You Tube link, Google class rooms etc. were evident in central library and departmental library. Needy students have been provided with books as per their requirements. E-links for learning resources have been shared by central library to all faculties and learners. For Co-curricular activities including Lab, Computer, free of cost books have been provided to students. Found satisfactory.
7.1.4 Environment for the operation of educational processes	Yes	OK	Respective Green projects taken for maintain proper work space. Adequate resource found available for classroom activities delivery.
7.1.5 Monitoring and measuring resources	Yes	OK	List of infrastructure maintained for proper monitoring.
7.1.6 Organizational knowledge	Yes	OK	Organizational knowledge has been addressed by having departmental manuals consisting of all processes for all functionaries, knowledge sharing sessions through internal seminars, lessons learned through success and failures with HOD of respective departments etc. Verified and found satisfactory.
7.2 Competence 7.2.1 General 7.2.2 Additional requirements for special needs education	Yes	OK	Seminars attended for knowledge gain, on demand and special training also organized for skill development. Exam: Green Audit requirements.
7.3 Awareness	Yes	OK	Awareness given through proper display and celebration.
7.4 Communication 7.4.1 General 7.4.2Communication purpose 7.4.3Communication arrangements	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 (Section 7.4) Internal communication is done via – Meeting, Notice, circular, mail External communication is done via – Notice, Circular, Result, Notification found ok

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7.5 Documented information	Yes	OK	Organization's overall process requirements, information related to documented information is found maintained in respective registers, soft copy also maintained for official correspondence.
Cl.8 Operation			Auditee: DR. RAMKRISHNA PRASAD CHAKRABORTY
8.1 Operational planning and control 8.1.1 General 8.1.2 Specific operational planning and control of educational products and services 8.1.3 Additional requirements for special needs education	Yes	OK	All official activities carried out as per accreditation requirements. Course delivery maintain as per standard/syllabus prescribed by accreditation requirements. *
8.2 Requirements for the educational products and services 8.2.1 Determining the requirements for the educational products and services 8.2.2 Communicating the requirements for the educational products and services 8.2.3 Changes to requirements for the educational products and services	Yes	OK	Verified Teachers feedback for teacher – Madhurima Koley, for institute – K.K. DAS COLLEGE, dated 21.11.2022 found satisfied. Verified in detail Admission process dated 18.08.2022 Ref no - KKDC/2022/001222 for student – Sahid Khan, for program – B.Com(H) Accounting and Finance , found ok. The university has a set process of admission, standardize by the West Bengal Higher Education department. The student seeking admission has to qualify the criteria laid down by college as per accreditation requirements set by University of Calcutta. Verified in detail Admission process dated 18.08.2022 Ref no - - KKDC/2022/001222 for student – Sahid Khan, for program – B.Com(H) Accounting and Finance, found ok. KKDC/2022/004074 for Student – Sumita Mukherjee, for Program- B.A (H) In Bengali, found ok. Ref no - - KKDC/2022/003012 for student – Satyajit Halder, for program – B.Sc(H) Mathematics, found ok.

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8.3 Design and development of the educational products and services 8.3.1 General 8.3.2 Design and development planning 8.3.3 Design and development inputs 8.3.4 Design and development controls 8.3.5 Design and development outputs 8.3.6 Design and development changes	Yes	OK	The institution's syllabus is designed and developed by the University of Calcutta for various educational program. Verified Educational syllabus of "University of Calcutta", dated: 26.05.2017. The course is set for B COM. Found ok. Verified Design of syllabus for "University of Calcutta", dated: 28.05.2018 of B.A/ B.Sc. programs, found ok. . These Courses are available on the internet in open source. Records are found maintained by the institution. Found ok.
8.4 Control of externally provided processes, products and services 8.4.1 General 8.4.2 Type and extent of control 8.4.3 Information for external providers	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 (Section 8.4). Verified Invoice number – INV/WBD/0922/01322 dated 21.09.2022to supplier –EBLUESYS, Product – Server Maintenance. Type and extent of control found documented in the purchase order.
8.5 Delivery of the educational products and services 8.5.1 Control of delivery of the educational products and services 8.5.2 Identification and traceability 8.5.3 Property belonging to interested parties 8.5.4 Preservation 8.5.5 Protection and transparency of learners' data 8.5.6 Control of changes in the educational products and services	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 (Section 8.5). Verified Annual calendar for Academic, Administrative and Institutional Events for Aug 2022 to July 2023 for B.A/B.Sc/B.COM from 1st Sem to 6th sem. Meeting of Academic Committee planned on 2ndweek of September2022. Teachers council meeting in 3rd week of september 2022. Verified 3rd sem B.Sc university practical exam for subject – General B.Sc in Jan 2023, found ok Verified Exam notification –dated 04.01.2023 for Computer Science department, approved. All students records is stored in soft as well as in hard Format Verified Exam evaluation record of Mr. Maitrabaruni Dhar, (B.com(H)), Admission year 2019-2022, Department:-Commerce, Institution K.K.DAS COLLEGE

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			found ok. The feedback taken form the student is also verified against "Students Feedback on Curriculum". Dated: 19.05.2023. Found ok.
8.6 Release of the educational products and services	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 Refer section 8.6 for details
8.7 Control of the educational nonconforming outputs	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 Refer section 8.7 for details
Cl.9 Performance Evaluation			Auditee: DR. RAMKRISHNA PRASAD CHAKRABORTY
9.1.1 General 9.1.2 Satisfaction of learners, other beneficiaries and staff 9.1.3 Other monitoring and measuring needs 9.1.4 Methods for monitoring, measurement, analysis and evaluation 9.1.5 Analysis and evaluation	Yes	OK	Evidences are covered in clause no. 8.2 and 8.5. The organization has established the process for monitoring, analysis and Evaluation. For satisfaction of learner & staff refer Evidences from cl. No. 8.2 and 8.5 Found ok.
9.2 Internal audit	Yes	OK	Evident that organization has a process of Conducting internal audit and management review at planned intervals (Once in a year). Evident that the internal audit and management review records are maintained for year 2022-2023, in the month May, 2023 and documented as The Annual Quality Assurance Report (AQAR) of the IQAC (For Universities) Part A and Part B. The output of the management review is found documented. Records found ok.
9.3 Management review 9.3.1 General 9.3.2 Management review inputs 9.3.3 Management review outputs	Yes	OK	Refer evidences from clause no.: 9.2. Inputs are found covered as per the requirements of clause no. 9.3.The output of the review meeting is found documented as below: Future plans of the University – 1) Starting ADD-ON Courses in the form of modules for every Department. 2) To encourage faculties to apply for training Etc.
Cl.10 Improvement			Auditee: DR. RAMKRISHNA PRASAD CHAKRABORTY

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10.1 Non-conformity and corrective action	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 (section 10.0). There was no non-conformity recorded since the implementation of the management system. Organization has established a "NC register" for documenting the incidents or events which are not complying to the requirements of management system.
10.2 Continual improvement	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 (Section 10.0). As an improvement activity organization has conducted the activities for promotion of universal values and ethics as below: - A session on "NAAC assessment submission" was conducted during the workshop on "Green Audit and certification". The evidence of which is found addressed in the management review record.
10.3 Opportunities for improvement	Yes	OK	The requirement is defined in Reference document # KKDC/QMS/XXX/QMM/001 revision 00 (Section10.0).

NON CONFORMITY REPORT

Non conformity no	Non-conformity description	Process	Clause	Issue Date	Verification of Corrective Action	Date of completion

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1						
2						
3						

SUMMARY OF AUDIT FINDINGS

No of nonconformity observed	Major	Minor

DETAILS OF CHANGES OBSERVED, IF ANY

Change in Name:	☐YES / ☒NO	
Change in Manpower	☐YES / ☒NO	
Change in Scope	☐YES / ☒NO	
Change in Address:	☒YES / ☒NO.	

2ND STAGE	
Recommended for Certification in total compliance with applied scope of certification	☒
Recommended for Certification with reduction to applied scope of certification	☐
Recommended for Certification with extension to applied scope of certification	☐
Additional Full Audit Onsite	☐
Additional Limited Onsite Audit	☐
Additional Limited Audit Off-Site	☐
SURVEILLANCE AUDIT	☐
Granted continued certification in total compliance with present scope of certification	☐
Granted Continued Certification with reduction to present scope of certification	☐
Granted Continued Certification with extension to present scope of certification	☐
Additional Full Audit Onsite	☐

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Additional Limited Onsite Audit	☐
Additional Limited Audit Off-Site	☐
RECERTIFICATION AUDIT	☐
Recommended for certification in total compliance with applied scope of certification	☐
Recommended for certification with reduction to applied scope of certification	☐
Recommended for certification with extension to applied scope of certification	☐
Additional Full Audit Onsite	☐
Additional Limited Audit On-Site	☐
Additional limited offsite audit	☐

CONCLUSION ON APPROPRIATENESS OF CERTIFICATION SCOPE:

The Client has**√**/ has not implemented and maintained effective QMS for the Certification scope as

- Educational Services in.

Teaching, Learning and Evaluation processes relating to awarding of Bachelor Degrees in Arts, Science & Commerce.

Lead Auditor singed: *Amalesh Kr. Mandal.*   Date: 22.09.2023

Academic and Administrative Audit team of K.K.DAS COLLEGE:

SL. NO.	NAME	DESIGNATION	SIGNATURE

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1	Dr. Nasima Munshi	IQAC Coordinator, K.K.DAS COLLEGE	
2	Dr. Prasenjit Das	IQAC Coordinator, Vijaygarh Jyotish Ray College	
3	Dr. Tapan Poddar	G.B Member ,K.K. Das College Calcutta University	

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