

# Audit Report (Surv. 1)

Organisation **Ashoka Education Foundation**  
Audits (ZA): **7530/2016**



Master Data of Organisation		
Name of Organisation	Ashoka Education Foundation	
Name of corporate group (in case of group certification)	Ashoka Education Foundation	
Street	Plot No 4, Ashoka Marg, Ashoka Nagar, Wadala Shiwar , Nashik-422006	
Postcode / Town / Country	422006/Nashik/India	
Contact	Dr.Wasudeo N. Bhende	
E-Mail	<a href="mailto:wasudeo.bhende@aef.edu.in">wasudeo.bhende@aef.edu.in</a>	
Phone/Fax	0253-6648620,	0253-6648620,
Language	English, Hindi, Marathi	
Scope Description	Provision of educational services for under graduate (UG) programs in the faculty of arts, commerce, science & education and post graduate (PG) programs in the faculty of management.	
	more description regarding scope in annex	
Industry / Scope (EA, TA, ...)	37.0	
Audit profile		
Standards under contract / Audit type	ISO 9001 : QMS Rev. / 2015 Surveillance 1	---
<input type="checkbox"/> Wechsel auf ISO 45001:2018	---	---
System documentation: Revision / Issue	QM, Issue 01, dated 26.03.2018	
Surveillance mode	Yearly surveillance	
Audit team leader / responsible	V.G. Patil	
Audit team	Nitin Thorat	
Technical expert		
Trainee		
Multisite-organisation	All sites are listed in: <input type="checkbox"/> Audit Reference Data Sheet <input type="checkbox"/> separate Listing <input type="checkbox"/> Audit program/ATEA <input type="checkbox"/> Multisite-certification (Sample)	
Shift operation	no shift operation	

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## Audited Standards

ISO 9001 : 2015	<b>qms</b>
Non-applicability of chapters: 8.3, 8.5.1f, 7.1.5	
Audit team leader: V.G.Patil	Audit number(ZA): 7530/2016
Certificate number: 44 100 17391242	Valid until: 22.09.21
:	
Non-applicability of chapters:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
:	
Non-applicability of chapters:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:
:	
Non-applicability of chapters:	
Audit team leader:	Audit number(ZA):
Certificate number:	Valid until:

## Audit-Details

Sites	03
Audit date	26.09.19 – 28.09.19
Audit duration	3.50 person days on site (incl. remote locations if applicable) including 0,00 person days for stage 1 audit (separate report)

## Details for Stage 1 – Audit

Stage 1 - Audit	not necessary.	
Duration Stage 1 - Audit	:	0,00 person-day (s)
	:	0,00 person-day (s)
	:	0,00 person-day (s)
	:	0,00 person-day (s)
		0,00 total
Date Stage 1 - Audit	-	

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## Distribution/Confidentiality/Rights of ownership/Limitations/Responsibilities

This report is sent to the certification body or bodies, the members of the audit team and the audit representative of the organisation. All documents (such as this report) regarding the certification procedure are treated confidentially by the audit team and the certification body. This audit report remains the property of the certification body.

An audit is a procedure based on the principle of random sampling and cannot cover each detail of the management system. Therefore nonconformities or weaknesses may still exist which were not expressly mentioned by the auditors in the final meeting or in the audit report.

The responsibility for continuous effective operation of the management system always rests solely with the audited and certified organisation.

### Salvo clause:

The audit report will be left to the organisation at the end of the audit - subject to approval by the certification body. The independent release process may cause modifications or additions. In these cases a modified revision will be sent to the audited organisation.

## Annex/Enclosures

Annex/ corresponding audit documentation	<input type="checkbox"/> Questionnaire(s) / Checklist(s)
	<input type="checkbox"/> Additional annexes, number

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## Summary of results

ISO 9001:2015			--			=			--		
Clause	Audited	Result*	Clause	Audited	Result*	Clause	Audited	Result*	Clause	Audited	Result*
4.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
4.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
5.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.1	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
6.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.2	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
7.5	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.3	<input type="checkbox"/>	na		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.4	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.5	<input checked="" type="checkbox"/>	2		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.6	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
8.7	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
9.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
9.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
9.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
10.1	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
10.2	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
10.3	<input checked="" type="checkbox"/>	1		<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>	
Additional requirements in accordance to ISO 17021:2015									Audited	Result	
a) internal audits and management review									<input checked="" type="checkbox"/>	1	
b) review of actions taken on nonconformities identified in previous audit									<input checked="" type="checkbox"/>	-	
c) responsiveness to complaints									<input checked="" type="checkbox"/>	1	
d) effectiveness of the management system with regard to fulfilment of objectives									<input checked="" type="checkbox"/>	1	
e) progress of planned activities aimed at continual improvement									<input checked="" type="checkbox"/>	1	
f) the client's management system ability and its performance regarding meeting of applicable requirements									<input checked="" type="checkbox"/>	1	
g) operational control of the client's processes									<input checked="" type="checkbox"/>	1	
h) review of any changes including system documentation									<input checked="" type="checkbox"/>	1	
i) use of marks and/or any other reference to certification									<input checked="" type="checkbox"/>	1	
audited: <input checked="" type="checkbox"/> = audited sections of the standard;											
Result: 1 = fulfilled; 2 = basically fulfilled / potential for improvement; 3 = not fulfilled / nonconformity ; - = not applicable / excluded.											
Details are listed in the section "Detailed results". Fields with a coloured background are obligatory elements in <b>every</b> audit.											

## Obligatory elements from A00VA02

a) Are temporary sites (i.e installation sites, project locations etc.) available?	yes <input type="checkbox"/>	no <input checked="" type="checkbox"/>
b) Which one are visited?	NA	

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## Organisations profile

Ashoka Education Foundation is established in the year 2002 under Bombay Public Trust Act 1950 & Society Registration Act 1860, to run, manage and control academic educational institutions. The institutes of this Ashoka Education Foundation covered in the scope of ISO 9001:2015 certification are listed in the following table.

INSTITUTES COVERED UNDER CERTIFICATION				
S. N.	Name of the Institute	Year of Establishment	Scope	Affiliating University
01	Ashoka College of Education	2008	BA B.Ed. (Integrated) B.Sc. B.Ed. (Integrated)	Savitribai Phule Pune University
02	Ashoka International Center for Educational Studies and Research	2008	B.Ed.	S.N.D.T. Women's University
03	Ashoka Center for Business and Computer Studies	2009	BBA, BCA (BBA - Comp. App.) B.Sc. Comp Sci.	Savitribai Phule Pune University
04	Ashoka Business School	2012	MBA	Savitribai Phule Pune University

This is a 1<sup>st</sup> surveillance audit covering all the above mentioned institutes of Ashoka Education Foundation for the scope mentioned as above. The location of College mentioned at sr. no. 1 has been recently changed. The changed location has been covered in this audit.

## Summary / explanations of results

This surveillance audit was performed in accordance to ISO 9001:2015. This time, the audit covered implementation of requirements of the standard, at new location of Ashoka College of Education as a result of change of location from this academic year. Other requirements (e. g.: context of an organization, understanding the needs and expectations of interested parties, risks and opportunities, actions to address risks and opportunities, management of change, contractors, outsourcing) were assessed in this audit & found to be satisfactory. **Hence issuance of new certificate incorporating new address of Ashoka College of Education as well as revoking of suspension is recommended.**

### • Legal form of the Organisation

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

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## Conclusion

Taking into account the size and structure of the organisation, the products/services supplied and the process used, the organisation has basically demonstrated that it operates its management system in order to ensure fulfilment of its own requirements, the requirements of its customers and the relevant legal requirements.

This includes in particular:

- The policies from 10.06.15, objectives and their implementation in the organisation
- The processes which exist in the management system and their interaction
- The management system documentation
- The recording system
- The resource management
- The measuring and analysis (management review from 21.09.19, audit planning from 10.08.19, audit report(s) from 16.08.19 and examples for indicators)
- The continual improvement process

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

Nonconformities, observations and the potential for improvement are described in the "Detailed Results" section.

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## Notes for the detailed results

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

Stage	Classification	Meaning
<b>NC A</b>	Major Nonconformity (Nonconformity A)	Nonconformities could be classified as major in the following circumstances: <ul style="list-style-type: none"><li>• if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;</li><li>• a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.</li></ul>
<b>NC B</b>	Minor Nonconformity (Nonconformity B)	Nonconformities could be classified as minor, if these do not affect the capability of the management system to achieve the intended results.
<b>PI</b>	Potential for improvement	Items which would allow optimisation of the management system in relation to the requirements of the relevant standard. It is recommended that the company implements these items.
<b>GP</b>	Positive aspects/ Good Practice	Positive aspects of the management system worthy of special mention (see also point 4.3 if applicable).
<b>CM</b>	Comments	Special situation and information to be traced in next audit.

Follow-up action(\*):

NC A: Action plan with follow-up Audit or action plan and submission of documents.

NC B: Action plan and if necessary submission of documents.

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## Detailed results

No.	Major Nonconformity (Nonconformity A)	Area / Process	Standard:clause	Set date
-	-	-	-	-

No.	Minor Nonconformity (Nonconformity B)	Area / Process	Standard:clause	Set date
-	-	-	-	-

No.	PI	Area / Process	Standard:clause
1	The process of determining risks & opportunities is satisfactorily implemented. However, the risks & opportunities document may be further reviewed & updated to include the changed status.	Management representative / System Coordinator	ISO 9001:2015 , CI 6.1
2	The recent changes in the documentation have been satisfactorily incorporated to integrate NAAC requirements with that of QMS. Correspondance between NAAC & QMS and vice-a-versa may be appropriately given in the quality manual.	Management representative	ISO 9001:2015 , CI 7.5
3	Evidence Noted w.r.t. HR Process however scope exists in maintenance of education & experience records of employee as defined against the required competency.	HR	ISO9001:7.2
4	Evidence Noted w.r.t. Library Process however scope exist in traceability of issued books & it's loss .	Library	ISO9001:8.5.2

No.	GP	Area / Process	Standard:clause
1	Visible top management commitment seen through out the audit. Process of establishing, monitoring & reviewing the polices & objectives were well demonstrated.	Top Management	ISO 9001:2015, Clause 5.1
2	Good infrastructure facilities to achieve students learning.	Management	ISO 9001:2015, Clause 7.1
3	Well qualified & experienced teaching staff.	Academics	ISO 9001:2015, Clause 7.1/7.2

No.	CM	Area / Process	Standard:clause
-	-	-	-



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## Management of non-conformities

- Nonconformities were not found - the procedure can continue.  
 Nonconformities were found.

### Follow-up action:

#### NC A: Action plan with follow-up Audit or action plan and the submission of documents

**Action plan and follow-up audit**

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing (Deadline: Within 6 weeks after the last audit day). Based upon the action plan the on-site review and evaluation of the introduction, implementation and effectiveness of implemented guided corrections and corrective actions take place (Deadline: Within 3 months after the last audit day).

or

**Action plan and the submission of documents**

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing (Deadline: Within 6 weeks after the last audit day). Based upon the action plan the evaluation of the effectiveness and the implementation of corrections and corrective actions take place (Deadline: Within 3 months after the last audit day).

#### NC B: Action plan and if necessary the submission of documents

**Action plan**

A scheduled plan of actions with the serial number of the findings, root cause analysis, corrections (to eliminate the non-conformity) and corrective actions (to eliminate the cause of the non-conformity) have to be submitted to the auditors for reviewing (Deadline: Within 6 weeks after the last audit day).

**Submission of documents** (if necessary)

Based upon the action plan the on-site review and evaluation of the introduction, implementation and effectiveness of implemented guided corrections and corrective actions take place (Deadline: Within 3 months after the last audit day).

**Note:** The audit team leader directs the non-conformities as needed to the responsible auditor for processing.

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## Results

Results	ISO 9001:2015	--	--	--
Fulfilled	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Open nonconformities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not fulfilled	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Follow up actions</b>				
None	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Action plan	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Document review	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Follow up audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Next audit	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Recommendations</b>				
Grant/Extension*/ <u>Renewing</u> *	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maintenance*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Suspension	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Restoring	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Refusing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Withdrawal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**\*) Grant / Extension / Renewing / Maintenance in the case of open nonconformities assumes that the nonconformities will be cleared as agreed.**

### Explanation of the terms:

Renewing: New issue of the certificate for the re-certification.

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

## Comments for next audit

In the next audit, the final evidence of effectiveness, corrections and corrective actions will be assessed for the possible nonconformities from this audit.

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

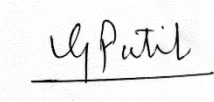
For the next audit it is preliminarily agreed: 31.08.2020

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## Signatures

<p>Date: 28.09.2019 Name: V.G.Patil</p>	 Signature Audit team leader
<p>Date: 28.09.2019 Name: Dr. Wasudeo Bhende</p>	Signature Representative of organisation