Audit Plan

Order no.: 4153719981 Client no.: 250844-01
Client: JANSONS INSTITUTE OF TECHNOLOGY

Management Service

Audit type (standard / Revision):	6. Surveillance Audit (ISO 9001:2015)
Audit date (on site):	2024-08-22 - 2024-08-22 [2024-08-21]
Company / customer:	JANSONS INSTITUTE OF TECHNOLOGY
Street / P.O. box:	Karumathampatti,
Zip-Code / state / city:	IN - 641659 Coimbatore, Tamilnadu
Audit representative:	Mr. Karthikeyan
Lead auditor/ auditor:	Selvakumar Maruthachalam / Arasakumar Palanisamy
Auditor Reg. No.: (Mainland China only)	NA
Technical expert/ trainee:	-/ -
Interpreter:	--
Observer:	--
Audit language:	English, TAMIL
Scope of certification:	Providing Educational Services Leading to Under Graduate Engineering Degree Programmes
Branch scope (EA/NACE Code):	EA 37

Audit time on site (per standard):

Site	Certification Area (Audit Time / Number of shifts)
JANSONS INSTITUTE OF TECHNOLOGY Karumathampatti, IN - 641659 Coimbatore, Tamilnadu	ISO 9001 (16 h / 1)

Audit plan agreed:

21ST AUG 2024 — Date:

SELVAKUMAR MARUTHACHALAM — Lead Auditor(s)

Audit performed according to plan (Please add participants of the Closing Meeting):

22ND AUG 2024 — Date:

SELVAKUMAR MARUTHACHALAM — Lead Auditor(s)

1 General information

1.1 Certification scheme

The audit in question has been conducted within:

- ☒ Single-site certification
- ☐ Multi-site certification (see Multi-site plan)
- ☐ Matrix or multi-site certification based on sampling (see Multi-site plan)
- ☐ Certificate transfer
- ☐ Combined / integrated certification
- ☐ Special audit
- ☐ Migration/ Transition/ Conversion Audit
- ☐ Others (please add) _____

1.2 Audit objectives

Based on audit criteria, the requirements of the Standard under certification/ audit, the company´s internal documented information and the regulations of the certification body, the following audit objectives shall be considered:

- Determination of the extent of conformity of the management system, or those parts applicable of it, with audit criteria.
- Evaluation of the capability of the management system to ensure compliance with applicable statutory, regulatory and contractual requirements.
- Evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives.
- Identification of areas for potential improvement of the management system.
- Evaluation of the management´s responsibility for the company´s policies.
- Evaluation of the links between the standard requirements and the management system requirements.
- Evaluation of the operational control of processes, including internal audits and management review.

1.3 Data processing information:

As course of the audit personal data will be processed. Further details can be found in our "Data proceccing information for employees of customers and other contractual partners of TÜV SÜD Management Service GmbH" (www.tuv-sud.com/ms/gtc-tcr). Please make this data protection information available to all persons involved in the audit before the start of the audit.

2 Audit Plan

Date (dd/mm/yy)	**Time** (hour)	**Process*) / Location / Organizational unit**	**Process owner / company´s resp./ individual(s) involved**	**Audit criteria / clause(s)**	**Auditor**
No of auditors – 2, Arasakumar Palanisamy (AP) / Selvakumar Maruthachalam (SK)					
22.08.2024	09.00 – 09.15	Opening meeting	All Department Heads	Self Introduction, About Audit, procedure	AP/ SK
	09.15 – 09.30	Top Management	HOD	4.1, 4.2, 4.3, 4.4, 5.1, 5.2,5.3, 6.1, 6.2, 6.3, 7.1, 7.4, 8.2.1, 10.2, 10.3	AP/SK
	09.30 – 10.00	Site tour	HOD	7.1, 7.3, 8.1, 8.5.1	SK
	09.30 - 13.00 13.30 – 14.30	Teaching and Examination process – UG prog	HOD	4.1,4.2,4.3,4.4,5.1,5.2,5.3,6.1,6.2,6.3 ,7.3,7.4, 7.5,8.1,8.2,8.5,8.6,8.7,9. 1,9.1.2,9.1.3,10	AP
	10.00 - 11.00	Admission and Adminstration	HOD	4.1,4.2,4.3,4.4,5.1,5.2, 5.3,6.1,6.2,6.3,7.3,7.4, 7.5,8.1,8.2,8.5,8.6,8.7,9. 1,9.1.2,9.1.3,10	SK
	11.00 - 12.00	Infrastructure , Maintenance Calibration	HOD	6.1, 7.1.3, 7.1.4, 7.1.5, 9.1.3, 10.2, 10.3	SK
	12.00 - 13.00	Quality management system (QMS)	HOD	4.1, 4.2, 4.3, 4.4, 6.1, 6.2, 6.3, 7.4, 7.5, 9.1.3, 9.2, 9.3, 10.2, 10.3	SK
	13.00 - 13.30	LUNCH			AP / SK
	13.30 – 15.00	Placement /Entrepreneur Cell	HOD	6.1,8.1,8.4, 8.7, 9.1.3, 10.2, 10.3	SK
	15.00 – 17.00	Library and Purchase	HOD	6.1.1, 6.1.2, 7.4,8.1.4.1,8.1.4.2,8.1.4. 3,9.1.1,10	SK
	14.30 – 16.00	Examination cell	HOD	6.1, 6.2, 7.1.1, 7.1.2, 7.1.6, 7.2, 7.3, 7.4 9.1,10.0	AP
	16.00 -17.00	HR & Training	HOD	6.1, 7.1.1, 7.1.2, 7.1.5, 7.1.6, 7.2, 7.3, 9.1, 10.2, 10.3	AP
	17.00 - 17.15	Auditors time for consolidation of findings			AP/SK
	17.15 – 17.30	Closing meeting	All Department Heads	Briefing of Audit findings	AP/SK
Total Audit hours – 16 Hrs (KS – 8 hrs , SK - 8 hrs)					

*) Processes shall reflect the client's current management-system;
ISO 50001: A process related to the activities of an organization may be: physical (e. g. energy-using process, such as production process; significant energy uses) or business or service related (e. g. order fulfillment).
Note 1: If Information and Communication Technology (ICT)/remote-Audit techniques are scheduled in the audit plan, the use of ICT/remote-Audit techniques are agreed upon with acceptance of the audit plan.
Note 2: This plan is to be used for every audit after stage 1
Note 3: Annual surveillances shall cover at a minimum: Internal audits (e.g. 9.2) and management review (e.g. 9.3),A review of actions taken on nonconformities identified during the previous audit, Handling of customer / external complaints, Effectiveness of the management system with regard to achieving the certified client's objectives and intended results of the management system. Progress of planned activities aimed at continual improvement (e.g. 10.3) Continuing operational control, Review of any changes, use of marks and/or any other reference to certification, including a review of the company's web site. In addition, for ISO 14001:2015, ISO 45001:2018 any regulatory recorded violations.
Note 4: In each audit (CA, SA, RA, expansion audit), one section of ISO 50001 audit must address the customer's evidence of the energy performance improvement of the entire organization and the plausibility check of the presented data **- mandatory requirement**. The audit participants and interviewed employees at the respective audit time are to be documented with name and function in the audit plan (short cuts of the function can be applied).

3 Hints

The client shall notify the (Lead) Auditor of any significant organizational / headcount changes since the last audit.

3.1 Hints for the auditor(s)

If manufacturing is carried out continuously by means of shift work (e.g. in the chemical industry, metal working, energy production), the change-over of shifts should be covered within the audit. For OH&SMS, at least one of the shifts inside and one outside of regular office hours shall be audited during the first cycle of certification.

Time should be allocated in the plan to discuss the previous audit findings (if applicable).

If performing an integrated audit that includes more than one audit criteria (ISO 9001, ISO 14001, OH&SMS, ISO 50001), the audit plan must clearly show those areas / processes where multiple criteria are being covered at the same time. The time spent auditing each specific criterion also needs to be recorded on the audit plan.

3.2 Hints for the auditor(s) and for the customer

The audit results of the previous two audits must be considered when determining the recent audit topics (e.g. during interview with the responsible personnel for the management system).

Note for OH&S MS Audits – Lead auditor shall ensure:

Management representative shall invite “legally responsible for occupational health and safety “(e.g. Safety officer, Occupier as per factory act, etc.), personnel responsible for monitoring employees’ health (e.g. Doctor, Nurse, EHS rep, etc.) for Closing meeting mandatory. Reason in case of absence shall be documented (in list of participants or audit plan) by Lead auditor.

Name of personnel interviewed shall be mentioned in audit question list or audit plan, which shall include at least one member from managers, temporary & permanent employees, contractor’s employee, personnel responsible for health & safety (doctor, nurse) (reason in case of remote auditing shall be documented), employee ‘s representative, management with legal responsibility for OH&S (e.g. Safety officer, Occupier, etc.).

Note for ISO 9k 14k OH&S MS 50k audits:

The owners of the relevant processes must be entered in the audit plan, so that the auditor can assume that the responsible contact persons will be available at the relevant time during the audit. Interviewing “only” the management representative and top management in the audit is not generally sufficient. The same applies to remote audits.
To ensure arrival at a qualified recommendation for certification, the audit must ensure appropriate sampling - in this case with reference to the audited personnel.

The audit records (audit plan, list of participants) must document, in a clear and traceable manner, the attendees of the opening and closing meetings and the participation of the owners of the audited processes in the (on-site or remote) audit.

3.3 Hints for the customer

Inform the certification body if any additional processes or activities should be included in this audit plan.

The audit team should be provided with the following resources and facilities needed to conduct an effective audit:

- A room where it can hold meetings and lead discussions
- Special personal protection equipment which goes beyond the auditors' basic equipment (e.g. helmet, safety shoes, safety goggles) must be provided by the client organization.
- Well in advance of the audit, the client organization and the (lead) auditor must agree on any personal protection equipment, emergency response and safety procedures that may be necessary for the audit.
- An audit representative or attendant, if agreed, to accompany the auditors throughout the entire audit
- The company is required to show evidence to demonstrate compliance to objectives mentioned above.
- The company shall notify the Lead Auditor of any significant organizational / headcount changes since the last audit.
- The company shall notify if the audit team should modify the audit plan.
- TÜV SÜD Code of Ethics is available on:
- www.tuvsud.com/en/about-us/code-of-ethicss

Observers:

Observers may be members of the client organization, consultants, witness auditors of the accreditation body, senior auditors of the certification body in charge of monitoring, staff of regulatory authorities or other authorized persons.

The presence of and the reasons for observers during the audit must be approved by the certification body and the client before the start of the audit.

The audit team must ensure that the observers will not disrupt the audit process or influence the audit result.

Attendant(s):

Unless agreed otherwise between the (lead) auditor and the client, every auditor must be accompanied by an attendant to support the audit. The audit team must ensure that the attendants will not disrupt the audit process or influence the audit result.

The responsibilities of an attendant include but are not limited to:

- Establishing the contacts and scheduling interviews
- Organizing visits to specific parts of the site or the organization
- Witnessing audits on behalf of the client
- Providing information to clarify questions on the auditors' request

Copies of the Audit Plan go to:
Audit team members
Certification body
Client