

Self-Study Report
1st Cycle (Re-Assessment)

Matrix 7.1.6
Environment Audit Report (with certification)

Self-Study Report
1st Cycle (Re-Assessment)

Matrix 7.1.6
Environment Audit
ISO 14001:2015
By- IR CLASS Systems & Solutions Pvt. Ltd
Dated -21.09.2022

CERTIFICATE OF APPROVAL

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

This is to certify that the Environmental Management Systems of

Organisation: RNB Global University

Address: RNB Global City, Ganganagar Road,
Bikaner, Rajasthan - 334601

has been assessed and found conforming to the following requirement

Standard: ISO 14001:2015

Scope: Development and Delivery of Educational
Programs fulfilling requirements of the
Award of Bachelor's, Master's and
Doctoral Degrees in Commerce,
Management, Law, Basic Sciences
and Agriculture

Certificate No.: IRQS/220300965

Initial Certification Date : 21/09/2022

Current Date of Granting : 21/09/2022

Expiry Date : 20/09/2025



Shashi Nath Mishra
Head IRQS

This approval is subject to continued satisfactory maintenance of the Environmental Management Systems 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. EM 005. Condition Overleaf

COA/IRQS/NABCB/EMS/Rev 01

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

Indian Register Quality Systems
(A Division of IRCLASS Systems and Solutions Pvt. Ltd.)

52A, Adi Shankaracharya Marg, Opp. Powai Lake. Powai, Mumbai - 400 072. Phone No.: +91 22 71199800 Fax: +91 22 71199826
CIN: U74120MH2014PTC254091 Email: irqs@irclass.org Website: www.irqs.co.in

31 AUGUST 2022

TO WHOM IT MAY CONCERN

This is to declare that M/s "RNB Global University" located at "RNB Global City, Ganganagar Road, Bikaner, Rajasthan – 334 601" has successfully undergone Certification Audit held recently from 24 – 25/08/2022 and recommended for issuance of Certificate for ISO 14001:2015 Standard with the following Scope of Certification:

"Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture".

The above said Certificates are under process and shall be issued soon.

This declaration is being issued at the request of "RNB Global University".



Aftab Alam

Zonal Head – North, IRQS.

Add: 104, Copia Corporate Suites, District Centre Jasola,
New Delhi – 110 025.

Mob: 98187 86777.



Indian Register Quality Systems
(A Division of IRCLASS Systems and Solutions Pvt. Ltd.)

52A, Adi Shankaracharya Marg, Opp. Powai Lake. Powai, Mumbai - 400 072. Phone No.: +91 22 71199800 Fax: +91 22 71199826
CIN: U74120MH2014PTC254091 Email: irqs@irclass.org Website: www.irqs.co.in

Our Ref: IRQS/R/7472

Date : 20th July 2023

M/s. RNB Global University
RNB Global City, Ganganagar Road,
Bikaner, Rajasthan – 334601

Kind Attn: Mr. Shailendra Barath

Dear Sir,

Sub: "Certificate of Approval" to ISO 14001:2015 Standard

Please refer to the Certification Audit carried out at your organization from 25th to 26th August 2022.

We are pleased to enclose herewith the "Certificate of Approval" (IRQS/220300965) in Two originals. The Logo and the procedure of Usage of Mark/ Logo is forwarded through E-mail ID : registrar@rnbglobal.edu.in

We request you to maintain a record of usage of all the Original Certificates, which are being now sent to you. It will also be necessary to maintain a record of all reproductions you make of this certificate e.g. in advertisements, in commercial brochures. This information will be verified by IRQS auditors at the time of Surveillance Audits.

You are required to promptly notify IRQS of any changes (intended or already affected) to your quality management systems or any other changes which may affect conformity to the quality management systems as certified including stoppage of production (related to the certified scope) either wholly or partly.

Please note that the submitted logo through e-mail dated 20th July 2023 shall be used only up to the Expiry date mentioned on the Certificate of Approval or until such time that the Certificate is renewed for a further period. Details of your Certificate along with the scope and Expiry date will be made available to anybody on request.

Kindly note that the Logo shall not be used if the Certification is placed under suspension or is withdrawn. The Status of Suspension or Withdrawal will be updated in Website and made available to anybody on request.

It is a responsibility of client organization to immediately inform IRQS, in case of any major incident related to product or service failure / Environmental / Health and Safety / breach of Information security / on the receipt of any legal notice or show cause notice from any statutory or regulatory authority or under legal requirement.

- 1 -



-: 2 :-

Based on the receipt of any of the above information from authorized personnel of organization or any other source, IRQS may be required to carry out a 'Special Audit' to verify the corrective action taken.

Kindly refer our Website www.irqs.co.in for the Certification Scheme, which shall be applicable during the period of validity of this Certificate of Approval.

Three Year Audit Plan:

- Surveillance audits shall be conducted at least once in a calendar year.
- The date of the first surveillance audit following initial certification shall not be more than 12 months from the certification decision date of Stage 2/ Recertification audit.

Annual second surveillance audits shall be completed between 21-25 months from certification decision date of Stage 2 / Recertification audit.

[NOTE: If organization has opted & agreed upon for more than 2 Surveillance Audits then the Surveillance Audits shall be planned & conducted as per the Order acceptance.

Please note, if the surveillance audits are not undertaken within the stipulated time period, the certificate will be automatically suspended. Revocation of suspension would be subject to satisfactory completion of audit process, which may involve additional man-day of audit and additional charges as per prevailing manday rates.

You are advised to undertake the Renewal Audit at least 3 months prior to the expiry date of certification to maintain continuity of the Certificate.

In case of any further clarification, please feel free to revert on irqs@irclass.org

Kindly acknowledge receipt.

Thanking you.

Yours faithfully,
For INDIAN REGISTER QUALITY SYSTEMS


(S.N. Mishra)
HEAD - IRQS

Encl: Certificate of Approval (Two Originals)

 © INDIAN REGISTER OF SHIPPING 1993	Indian Register Quality Systems (A Division of IRCLASS Systems and Solutions Pvt. Ltd.)		IV IRQS:FORM:93:12	
	Stage I Audit Report for QMS/EMS / OHS / IMS Scheme(s)		Eff. Date	: 16-03-2022
			Developed by	: NR
		Approved by		: HEAD-IRQS

01)	Name of the Client	RNB Global University		
02)	Address of HO & Site(s)	RNB Global City, Ganganagar Road, Bikaner, Rajasthan – 334601.		
03)	File Number	IRQS/ R / 7472 / E		
04)	Name of Organization Representative coordinating with CB	Mr. Shailendra Barath		
05)	Date of Audit	13/08/2022		
06)	Type of Audit	Stage I		
		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)	EMS (ISO 14001)	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"	Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture.		
	Scope of Head Office	Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture.		
	Scope of Customer Site(Temporary)	--		
	Scope Support Office(s) / Location(s), if any	--		
10)	Non-Applicability of Clauses & Justification			
➔	None			
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	Rule	
		Sanjay Singh	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	13/08/2022	Same as given in Audit Schedule
	Permanent site(s)	--		
	Temporary site(s)	--		
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) :-			
➔	No deviations. No adverse conditions observed.			
14)	Verification of the Questionnaire Information:			
	Particulars	Information provided in Questionnaire	Verification of provided information	
	Number of sites	01	Ok	
	Number of employees	Same as in questionnaire	Ok	
	Language of audit	English & Hindi	Ok	
	Current certification & its validity	None	Ok	
	Working in shifts – Shift pattern	G only	Ok	
	Products and Services	Educational Programs	Ok	
	Design & development	NA	Ok	
	Scope	Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture.	Ok	
	Externally provided processes, products and services (Outsourced)	Housekeeping, Security etc.	Ok	

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	
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/ISO 45001:2018 and IV IRQS:FORM:57 for ISO 45001)	
➔	Found satisfactory.	
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)	
➔	LIST OF SOME OF THE COURSES UNDERTAKEN IN RNB GLOBAL UNIVERSITY - MA (English) 2 Years - Ph.D (Full Time/Part Time) 3/4 Years	



- B.Com. Class Till 1:00PM 3 Years
- B.Com. (Hons) 3 Years
- Ph.D (Full Time/Part Time) 3/4 Years
- B.Sc. with Biotechnology 3 Years
- B.Sc. (ZCB) Class Till 1:00PM 3 Years
- M.Sc. Ph.D Dual Degree (Biotechnology) 5 Years
- School of Arts and Social Sciences
- MA (Economics) 2 Years
- BBA (Marketing) 3 Years
- BBA (HRM) 3 Years
- BBA (Finance) 3 Years
- BBA (Digital & Social Media Marketing) 3 Years
- BBA (Foreign Trade) 3 Years
- MBA (Marketing) 2 Years
- MBA (HRM) 2 Years
- MBA (Finance) 2 Years
- MBA (International Business) 2 Years
- MBA (Digital Marketing & E-Business) 2 Years
- MBA (Family Business & Entrepreneurship) 2 Years
- MBA (Agri. Business Management) 2 Years
- M.Sc. (Biotechnology) 2 Years
- Ph.D (Full Time/Part Time) 3/4 Years
- School of Basic and Applied Sciences
- BCA (Bachelors of Computer Application) 3 Years
- BCA-MCA Dual Degree 5 Years
- MCA (Master of Computer Applications) 2 Years
- B.Tech. (Computer Science Engineering)-CSE 4 Years
- B.Tech. (Computer Science Engineering) - CSE (Spl in AI & Machine Learning, Cyber Security & Forensics, Big Data Analytics)
- M.Sc. (Information Technology) 2 Years
- M.Tech. (Computer Science Engineering) 2 Years
- Ph.D (Full Time/Part Time) 3/4 Years



- MBA (Agri Business Management) 2 Years
- M.Sc. (Agronomy) 2 Years
- M.Sc. (Genetics & Plant Breeding) 2 Years
- Integrated BA + LL.B. 5 Years
- Integrated BBA + LL.B. 5 Years
- LLM* 2 Years
- Integrated LLM Ph.D Dual Degree 4 Years
- Ph.D (Full Time/Part Time) 3/4 Years

OPERATION CONTROL, LEGAL AND EMERGENCY PROVISION, PREPARATION AND RESPONSE AS PART OF ENVIRONMENT AND SUSTAINABILITY:

S No.	Name of Operation/projects	Project Attributes (Completion date, Budget, ROr)	Responsibility	Reference of SOP if any/ performed by licensed contractor/ technicians	Accounting: Record, Data to collect and frequency of Report
01	Controlled disposal of electronic waste for authorized recyclers.		Facility Head	Agreement to be made with Service provider for future, since the amount of e waste generated till date is low.	E- waste is deposited in the Store
02	Ban on plastic. No smoking. Zero tolerance for tobacco and alcohol uses.		Security Head	See Policy of Conduct and Discipline in students, faculty and employee	Daily Monitoring Record keeping not necessary
03	Composting of Kitchen waste and plant waste to reuse nutritional value.		Facility Head		Daily Monitoring Record keeping not necessary.
04	Awareness, identification, segregation/separation, collection, treatment, recycle for different types of waste and controlled disposal		Facility Head	Housekeeping staff - training in work and use of equipment	Attendance Record of training of Staff and students on environment policy and methods.
05	Noise to be below legal limit for institution,		Facility Head	Noise monitoring – staff can use mobile phone application for noise monitoring	Daily Monitoring Record keeping not necessary
06	Ambient air quality in class room is at safe level and air conditioning		Facility Head	Air Conditioning	Annual Monitoring of ambient air quality.



	(toxins, temperature and humidity)				
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.,)				
→	RISK ASPECTS & IMPACTS Identified Aspects of Activity/Process that have Impacts to Environment. Aspects of environment includes noise in machine. operation, misuse of electricity [release of carbon emission to environment]), water and other natural resources, violation of prescribed limits of regulatory requirement of Safety and Environment e.g., fitness of lift, hoists, compressors and fire audits by public safety agencies of the government etc. Impact on QM, OHS and EM by each of the said hazards and environmental aspects are studied. Examples of Environmental Impact are electrical shock, burn, permanently disabled, death, injury to eye/bones etc.. Examples of EM Impact are: air pollution, noise pollution, pollution to the earth, water and flora and fauna. Impact evaluated by the policy/commitment. This evaluation will suggest if, in the management's point of view, the impact is significant or not significant, according to its stated policy/commitments. Risk Assessment and Classification of Risk. Control of the Process to avoid Risk. Safety provisions are examples of Process Control. Here, examples of OHS Objectives of Process Control to limit Risks are fire safety, security, electrical safety, safe housekeeping, health check; insurance cover for workers and property, emergency preparation[evacuation, first aid, hospitalization, and rehabilitation) etc.				
d)	Applicable statutory and regulatory requirements. (QMS – Product related, EMS – Environmental Legal & other requirements, OHS - OH&S Legal and other requirements)				
→	RNB Global University Bikaner was approved as per Rajasthan Gazette Extraordinary dated 29th April, 2015 Sr. No. 2(20)Vidhi / 2/2015 approved by Governor of Rajasthan on 24th April, 2015 and Circulated. Details given below with Infrastructure and courses : THE RNB GLOBAL UNIVERSITY, BIKANER ACT' 2015 (Act No. 20 of 2015) [Received the assent of the Governor on the 24th day of April, 2015] An Act to provide for established and Incorporation of the RNB Global University, Bikaner in the State of Rajasthan and matters connected therein and incidental thereto'. Infrastructure Land : 30 Acres of land comprising in Khasra Nos 249, 250, 251 and 252 of Village Khara, Tehsil Bikaner, District Bikaner. (Rajasthan). Buildings: (i) Administrative Block : (a) Number and Category of Units : 69 S. No. Category of Units No. of Units 1. Office of Chairperson 2. Office of President 3. President's Secretariat 4. Office of Registrar 5. Office of Deputy Registrar 6. Office of Controller of Examination 7. Office of Chief Finance and Accounts Officer 8. Conference Rooms 3, 9. Seminar Hall I, 10. Waiting Lounges 2, 11. VIP waiting Lounge I, 12. Server Room I, 13. Uninterruptible Power Supply (UPS) Room 14. Security Monitoring Room I. 15 Multi-purpose Halls 2 16. Rooms and Cabins for Executives 2, 17 Lill Lobby 2 18 Facilities (Washrooms) 17, 19. Pantries 3, 20. Multi-purpose Rooms/Stores 5, 21 Library I, 22. Reading Room I Total 69 (b) Covered area : 5,741 38 Sq Mtrs (ii) Academic Block : (a) Number and Category of Units: 82				



	Class Rooms 32 ,2. Moot Coun , 3. Faculty Room I , 4 Professor Cabins 16, 5 Computer Laboratory b. Arts Laboratory .1. Physics Laboratories 2, 8 Biotech Laboratory, 9. Chemistry Laboratory, 10. Fashion Technology Laboratory II Management Laboratory t2. Server Room t3 Uninterruptible Power Supply (UPS) Room I t4 Girls Common Room 15. Boys Common Room I t6 Hall for Indoor Games I I'7. Hall for Canteen I 18. Multi-purpose Rooms/Stores 19. Lili Lobby 20. Facilities (washrooms) I4 2I Pantries and Kitchen 4 Total 82 rb) Measurement of total covered area :9,519 62 Sq Mtrs' Total built up area : 15,261.00 Sq. Mtrs' Faculties : Shall be appointed as per UGC guidelines Academic Facilities: (i) Library s. No. Br/nch Titles Books Encyclopedias General 282 285 82 2. Commerce and Management 172 676 3. 351 1,053 4. Ans 44 t46 5. Journalism and Mass Communication tf 40 66 2 4 5 6. Computer Science 165 650 7. Fashion Technology 82 129 Total 1,111 2,979 E2 (iii) (iv) Laboratory: 8 Reading Room : 0I (Along with Library) Journals r Branch Journals Law '1 Facilities for Co-curricular activities : Indoor facilities: Carrom Chess Snooker Table Tennis Outdoor facilities: Athletics Basketball Cricket Football Hockey Lawn Tennis Volleyball Yoga and Meditation University Grant commission (UGC), New Delhi letter No. F 4-2/2015(CPP-1/PU) dated 6.11.2015 as per right of information provided following information: RNB Global University, Bikaner 334601, Rajasthan has been established by an Act of State Legislature of Rajasthan as a Private University and is empowered to award degrees as specified under Section 22 of the UGC Act through its main campus at regular mode with the approval of Statutory Bodies/Councils, wherever its required. RNB Global University is not authorized to open study centre/ off campus centre beyond the territorial jurisdiction of the state as per the judgment of Hon'ble Supreme Court of India in case of Prof. yashpal Vs. State of Chhattisgarh. The University cannot open its centre(s) even within the state as per the provision of UOC (Establishment of and Maintenance of Standards in Private Universities) Regulations, 2003 without the approval of UGC' The UGC has not granted any approval to the University to open off campus/study centre For information related to Distance Education you are requested to approach directly to the Distance Education Bureau of UGC, 35 Ferozeshah Road, New Delhi-110001' BAR COUNCIL OF INDIA, NEW DELHI APPROVAL Bar Council of India, New Delhi Approval No. BC1:d.646/2022 (le/App/Afflin dated 14.07.2022 for five year BA LL.B and BBA LL.B Courses for academic year 2022-23 for intake of 60 students.
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) Frequency of Internal Audit and MRM is once every year. Internal Audit Plan and Schedule verified. Last Internal Audit held on 03/06/2022 verified and found satisfactory. Last MRM held on 10/06/2022 verified. All points have been suitably recorded as per the requirement of the Standards verified.
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. Client is ready for Stage 2 Audit in Aug'22.
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). Client is ready for Stage 2 Audit in Aug'22. Audit Team is competent enough. Mandays provided for Stage2 are sufficient.
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, Mondays, Competence of the Audit Team required to conduct stage 2, etc.) Client is ready for Stage 2 Audit in Aug'22. Audit Team is competent enough. Mandays provided for Stage2 are sufficient.



i)	Comments on the process of Organization's Management of Change		
→	All changes need to be approved by the Top Management beforehand.		
SEC C : Current Areas of Concern.			
a)	AOC No.	Clause No.	Statement(s)
b)	No. of AOCs raised	Nil	
SEC D : Any Unresolved Issues			
→	None.		





SEC F : 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 AOC
Demonstration of Leadership commitment	✓		
Determination of External & Internal issues	✓		
Needs and expectation of Interested parties	✓		
Access to Legal & other requirements and their compliance	✓		
Process of Setting of objectives and achievements.	✓		
For Operational control	✓		
Process of Performance monitoring and continual improvement.	✓		
Effective conduct of Internal audit and Management review.	✓		
Process of addressing any changes, Management of change.	✓		

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).	Used to gather objective evidences.	Effectiveness	
		Achieved for	Not achieved or Not fully achieved: for
Micro Soft Team Meeting ZOOM Go-To Meetings Video conferencing WhatsApp Video call Skype. Use of Drone	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	Yes	
	Uninterrupted connectivity throughout audit duration.	Yes	
	Overall Audio / Video clarity.	Good	
	Sharing of photos	Yes	
	Documents through mails in time.	Yes	
	Maintain Integrity of the audit / assessment process.	Yes	
	Usage of Drone	No	
	Objectives of Current Type of audit as noted above under Section 9 of this report.	✓	
	Any other additional information from FORM 52 A / observations.	No	

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 ✓



SEC G :		
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 verified through off-site audit/ on-site audit /remote audit. The audit team conclude and recommend for :		
01)	Can proceed for Stage-2 Audit	Yes
02)	Can Proceed for Stage-2 Audit subject to the acceptance of actions taken for the noted "Areas of Concern(s)"	
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 verified through off-site audit/ on-site audit /remote audit. The audit team conclude and recommend for :		
Stage – 1 Audit to be repeated		

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

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Opp. Powai Lake, Powai, Mumbai - 400 072.

Tel. No.: +91 22 30519800/ 71199800 Fax No.: + 91 22 2570 3611

Team Leader Name	Sanjay Singh	Signature & Date	<i>Sanjay Singh</i>
Auditee Representative Name	Mr. Shailendra Barath	Signature & Date	<i>Sanjay Singh</i> 12/08/2022



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			Eff. Date	: 16-03-2022
	Audit Report For QMS / EMS / OHS / IMS Scheme(s)		Developed by	: NR
			Approved by	: HEAD-IRQS

01)	Name of the Client	RNB Global University		
02)	Address of HO & Site(s)	RNB Global City, Ganganagar Road, Bikaner, Rajasthan – 334601.		
03)	File Number	IRQS/ R / 7472		
04)	Name of "Head of Organization" / Unit	Dr. Dipali Gupta, Registrar		
05)	Name of Organization Representative coordinating with CB	Mr. Shailendra Barath		
	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)	--		
06)	Audit Criteria (strike out the standard not under audit)	QMS (ISO 9001)	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	24 - 25/08/2022		
08)	Type of Audit	Stage 2 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"																				
➡	No change.																				
11)	Comment on the confirmation of the information provided (by the organization, including "Pre-audit Information"/Auditor Allocation Form)																				
➡	<table border="1"> <tr> <td>Scope of Certification</td><td>Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture.</td></tr> <tr> <td>Number of sites</td><td>01</td></tr> <tr> <td>Travel Time between the sites</td><td>NA</td></tr> <tr> <td>Number of employees associated with scope of certification (For Effective Number of Employees)</td><td>Same as in questionnaire.</td></tr> <tr> <td>Current certification & its validity</td><td>None</td></tr> <tr> <td>Design & development</td><td>Applicable</td></tr> <tr> <td>Working in shifts Regular working hours.</td><td>G only.</td></tr> <tr> <td>Externally provided processes, products and services (Outsourced)</td><td>Inbound and Outbound travel of Students, Security etc..</td></tr> <tr> <td>Pre-audit information</td><td>Found satisfactory.</td></tr> </table>	Scope of Certification	Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture.	Number of sites	01	Travel Time between the sites	NA	Number of employees associated with scope of certification (For Effective Number of Employees)	Same as in questionnaire.	Current certification & its validity	None	Design & development	Applicable	Working in shifts Regular working hours.	G only.	Externally provided processes, products and services (Outsourced)	Inbound and Outbound travel of Students, Security etc..	Pre-audit information	Found satisfactory.		
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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	24 - 25/08/2022	Same as in Audit Schedule.																		
Permanent site(s)	--																				
Temporary site(s)	--																				
14)	To comment: a) Any deviation from audit plan and their reasons (if yes, please justify)																				



➡	No deviations observed.
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).
➡	No adverse conditions faced.

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

No. of Previous audit NCs:	NA	No. of Areas of Concerns raised during Stage 1:	Nil
<u>Scheme & Clause No.</u>	<u>Findings</u>	<u>Comments on the effectiveness for the closure</u>	

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"	Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture.	
	Scope of Head Office:	Development and Delivery of Educational Programs fulfilling requirements of the Award of Bachelor's, Master's, and Doctoral Degrees in Commerce, Management, Law, Basic Sciences, and Agriculture.	
	Scope of Temporary Site	--	
	Scope Support Office(s) / Location(s), if any	--	
	Non-Applicability of Clauses & Justification for the same	--	
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.			

LIST OF SOME OF THE COURSES UNDERTAKEN IN RNB GLOBAL UNIVERSITY

- MA (English) 2 Years
- Ph.D (Full Time/Part Time) 3/4 Years
- B.Com. Class Till 1:00PM 3 Years
- B.Com. (Hons) 3 Years
- Ph.D (Full Time/Part Time) 3/4 Years
- B.Sc. with Biotechnology 3 Years
- B.Sc. (ZCB) Class Till 1:00PM 3 Years
- M.Sc. Ph.D Dual Degree (Biotechnology) 5 Years
- School of Arts and Social Sciences
- MA (Economics) 2 Years



- BBA (Marketing) 3 Years
- BBA (HRM) 3 Years
- BBA (Finance) 3 Years
- BBA (Digital & Social Media Marketing) 3 Years
- BBA (Foreign Trade) 3 Years
- MBA (Marketing) 2 Years
- MBA (HRM) 2 Years
- MBA (Finance) 2 Years
- MBA (International Business) 2 Years
- MBA (Digital Marketing & E-Business) 2 Years
- MBA (Family Business & Entrepreneurship) 2 Years
- MBA (Agri. Business Management) 2 Years
- M.Sc. (Biotechnology) 2 Years
- Ph.D (Full Time/Part Time) 3/4 Years
- School of Basic and Applied Sciences
- BCA (Bachelors of Computer Application) 3 Years
- BCA-MCA Dual Degree 5 Years
- MCA (Master of Computer Applications) 2 Years
- B.Tech. (Computer Science Engineering)-CSE 4 Years
- B.Tech. (Computer Science Engineering) - CSE (Spl in AI & Machine Learning, Cyber Security & Forensics, Big Data Analytics)
- M.Sc. (Information Technology) 2 Years
- M.Tech. (Computer Science Engineering) 2 Years
- Ph.D (Full Time/Part Time) 3/4 Years
- MBA (Agri Business Management) 2 Years
- M.Sc. (Agronomy) 2 Years
- M.Sc. (Genetics & Plant Breeding) 2 Years
- Integrated BA + LL.B. 5 Years
- Integrated BBA + LL.B. 5 Years
- LLM* 2 Years
- Integrated LLM Ph.D Dual Degree 4 Years
- Ph.D (Full Time/Part Time) 3/4 Years



Admissions.-

Admission in the University are being done strictly on the basis of merit

(1) Merit for admission in the University may be determined either on the basis of marks or grade obtained in the qualifying examination and achievements in co-curricular and extra-curricular activities or on the basis of marks or grade obtained in the entrance test conducted at the State level either by an association of the universities conducting similar courses or by any agency of the State: Provided that admission in professional and technical courses shall be made only through entrance test.

(2) Reservation in admission to the University for scheduled castes, scheduled tribes, backward classes, special 5,7 backward classes, women and handicapped persons be time, prepare its fees structure and send it for approval of the committee constituted for the purpose

(2) The committee considers the fees structure prepared by the University and if it is satisfied that the proposed fees is - (a) sufficient for - (i) generating resources for meeting the recurring expenditure of the University; and (ii) the savings required for the further development of the University; and (b) not unreasonably excessive' it may approve the fees structure.

(4) The fees structure approved by the committee under sub-section (2) remains in force for three years and the University is entitled to charge fees in accordance with such fees structure.

(5) The University does not charge any fees, by whatever name called, other than that for which it is entitled under sub section (3). 34.

Examinations.-

At the beginning of each academic session and in any case not later than 30th of August of every calendar year, the University prepares and publishes a schedule of examinations for each and every course conducted by it and strictly adheres to the schedule. Explanation.- "schedule of Examination" means a table also includes the details about the practical examinations: Provided that if, for any reason whatsoever, the University has been unable to follow this schedule' it shall, as soon as practicable, submit a report to the State Government incorporating)6 the reasons for making a departure from the published schedule' The State Government may, thereon, issue such directions as it may deem fit for the compliance of the schedule 35.

Declaration of results -

The University strives to declare the results of every examination conducted by it within thirty days from the last date of the examination for that particular course and in any case declare the results latest within forty five days from such date: Provided that if, for any reason whatsoever' thl- University is unable to finally declare the results of any examination within the aforesaid period of forty-five days, it submits a report incorporating the reasons for such delay to the State Government The State Government may, thereon, issue such directions as it may deem fit.

LABORATORY FACILITIES

S. No.	Name of Laboratory	No. of Units
1	Computer Laboratory	1
2	Arts Laboratory	1
3	Physics Laboratory	2
4	Biotech Laboratory	1
5	Chemistry Laboratory	1
6	Fashion Technology Laboratory	1
7	Management Laboratory	1
	TOTAL	8



Students Enrolled and appeared in exams		
Year	Program	Count
2020	B Sc	21
	LLB	22
	MBA	5
	BBA	31
2021	BBA	15
	BA	4
	LLB	15
	B Com	10
	MBA	6
	B Sc (Agri)	4

OPERATION CONTROL, LEGAL AND EMERGENCY PROVISION, PREPARATION AND RESPONSE AS PART OF ENVIRONMENT AND SUSTAINABILITY:

S No.	Name of Operation/projects	Project Attributes (Completion date, Budget, ROr)	Responsibility	Reference of SOP if any/ performed by licensed contractor/ technicians	Accounting: Record, Data to collect and frequency of Report
01	Controlled disposal of electronic waste for authorized recyclers.		Facility Head	Agreement to be made with Service provider for future, since the amount of e waste generated till date is low.	E- waste is deposited in the IT Cell of University.
02	Ban on plastic. No smoking. Zero tolerance for tobacco and alcohol uses.		Security Head	See Policy of Conduct and Discipline in students, faculty and employee	Daily Monitoring Record keeping not necessary
03	Composting of Kitchen waste and plant waste to reuse nutritional value.		Facility Head		Daily Monitoring Record keeping not necessary.



04	Awareness, identification, segregation/separation, collection, treatment, recycle for different types of waste and controlled disposal		Facility Head	Housekeeping staff - training in work and use of equipment	Attendance Record of training of Staff and students on environment policy and methods.
05	Noise to be below legal limit for institution,		Facility Head	Noise monitoring -staff can use mobile phone application for noise monitoring	Daily Monitoring Record keeping not necessary.
06	Ambient air quality in class room is at safe level and air conditioning (toxins, temperature and humidity)		Facility Head	Air Conditioning	Annual Monitoring of ambient air quality.
07	Ergonomic design of furniture and sound system of class room so that students can easily interact and read the black board/ screen. Building and staircases of University are suitable for use by differently abled people.		Facility Head	Suitable Infrastructure	Annual or complaints based for Ergonomic controls. CCTV records for annual verifications of facilities.
08	For in-campus movement of staff and students, carts (battery operated) are available		Facility Head	See energy	
09	Awareness and disciplinary control of ragging/bullying and sexual harassment				Legal Compliance Report
10	Student Help Desk Awareness and disciplinary/counseling of students due to stress of		Registrar under grievance Redressal committee	People in Administration have required experience	Proctorial Board Records for cases of discipline.



	studies, examination, issues from teacher/staff and time table			and skills to address these issues	Counsellor's record for counselling of distressed students
11	Provision (equipment and resources and legally complaint) of Fire and Electrical safety. Fire station (20 km, Telephone number 9829208018 on notice board)		Facility Head	Fire Safety Audit Check Lis	Fire Safety Audit Check List Annual
12	Third party audit and fire drill - at least once in L2 months	Apecial Service Provider	Facility Head	Cease Fire - service provider is specialized in fire safety	Record of Fire safety drill - annually
13	Provision of First aid available. Medical treatment given to patient in university's wellness centre.		Head of Medical wellness centre at Academic Block & hostel	Medical staff - sufficient and well trained for using methods and medicines/e quipment	Patient Record Register
14	Record of accident, near miss and corrective action Maintained as regulatory requirement.		Registrar	Registrar - is responsible for reporting of Incident of ill health or injury/accident to parents and to regulatory bodies.	Accident report

Scope of Certification is appropriate.

Summary of Site Visit: Housekeeping of the premises is found satisfactory.

- b) Process of understanding & review of the needs and expectation of interested parties
- Organization has identified the list of Interested Parties and their requirements. Some of them are as under:
1. Customers such as Students and their parents/guardians – Requirements are: Quality Education, Timely delivery, Quick response to any queries, Sustainability of services, Good environment.



	2. Employees such as Faculty, Staff – Requirements are: Timely salary/leaves/increment/Safe & Healthy Work environment/Skill enhancement, Clear communication, Good environment etc. 3. Management – Requirements are: Regular intake of Students, Good Profits, 100% Legal Compliance/ Smooth Operations. 4. Legal Bodies such as UGC, State Government, Fire Dept. etc – Requirements are – Timely compliances, Updated Records, Transparency etc. 5. Suppliers – Requirements are: Timely payment, Regular orders, Clear communication, Safe & Healthy Work environment.
c)	Methodology of identification, access of compliance obligations [i.e. applicable Legal (Statutory / Regulatory & Other) requirements]
➔	RNB Global University Bikaner was approved as per Rajasthan Gazette Extraordinary dated 29th April, 2015 Sr. No. 2(20)Vidhi / 2/2015 approved by Governor of Rajasthan on 24th April, 2015 and Circulated. Details given below with Infrastructure and courses : THE RNB GLOBAL UNIVERSITY, BIKANER ACT' 2015 (Act No. 20 of 2015) [Received the assent of the Governor on the 24th day of April, 2015] An Act to provide for established and Incorporation of the RNB Global University, Bikaner in the State of Rajasthan and matters connected therein and incidental thereto'. Infrastructure Land : 30 Acres of land comprising in Khasra Nos 249, 250, 251 and 252 of Village Khara, Tehsil Bikaner, District Bikaner. (Rajasthan). Buildings: (i) Administrative Block : (a) Number and Category of Units : 69 S. No. Category of Units No. of Units 1. Office of Chairperson 2. Office of President 3. President's Secretariat 4. Office of Registrar 5. Office of Deputy Registrar 6. Office of Controller of Examination 7. Office of Chief Finance and Accounts Officer 8. Conference Rooms 3, 9. Seminar Hall I, 10. Waiting Lounges 2, 11. VIP waiting Lounge I, 12. Server Room I, 13. Uninterruptible Power Supply (UPS) Room 14. Security Monitoring Room I. 15. Multi-purpose Halls 2 16. Rooms and Cabins for Executives 2, 17. Lift Lobbies 2 18. Facilities (Washrooms) 17, 19. Pantries 3, 20. Multi-purpose Rooms/Stores 5, 21. Library I, 22. Reading Room I Total 69 (b) Covered area : 5,741.38 Sq Mtrs (ii) Academic Block : (a) Number and Category of Units: 82 Class Rooms 32, 2. Moot Court, 3. Faculty Room I, 4. Professor Cabins 16, 5. Computer Laboratory b. Arts Laboratory '1. Physics Laboratories 2, 8. Biotech Laboratory, 9. Chemistry Laboratory, 10. Fashion Technology Laboratory II Management Laboratory 12. Server Room 13. Uninterruptible Power Supply (UPS) Room I 14. Girls Common Room 15. Boys Common Room I 16. Hall for Indoor Games I 17. Hall for Canteen I 18. Multi-purpose Rooms/Stores 19. Lili Lobby 20. Facilities (washrooms) 14 21. Pantries and Kitchen 4 Total 82 (b) Measurement of total covered area : 9,519.62 Sq Mtrs' Total built up area : 15,261.00 Sq. Mtrs' Faculties : Shall be appointed as per UGC guidelines Academic Facilities: (i) Library s. No. Branch Titles Books Encyclopedias General 282 285 82 2. Commerce and Management 172 676 3. 351 1,053 4. Arts 44 146 5. Journalism and Mass Communication 140 66 2 4 5 6. Computer Science 165 650 7. Fashion Technology 82 129 Total 1,111 2,979 E2 (iii) (iv) Laboratory: 8 Reading Room : 01 (Along with Library) Journals r Branch Journals Law '1 Facilities for Co-curricular activities : Indoor facilities: Carrom Chess Snooker Table Tennis Outdoor facilities: Athletics Basketball Cricket Football Hockey Lawn Tennis Volleyball Yoga and Meditation University Grant commission (UGC), New Delhi letter No. F 4-2/2015(CPP-1/PU) dated 6.11.2015 as per right of information provided following information: RNB Global University, Bikaner 334601, Rajasthan has been established by an Act of State Legislature of Rajasthan as a Private University and is empowered to award degrees as specified under Section 22 of the UGC Act through its main campus at regular mode with the approval of Statutory Bodies/Councils, wherever its required. RNB Global University is not authorized to open study centre/ off campus centre beyond the territorial jurisdiction of the state as per the judgment of Hon'ble Supreme Court of India in case of Prof. Yashpal



Vs. State of Chhattisgarh. The University cannot open its centre(s) even within the state as per the provision of UOC (Establishment of and Maintenance of Standards in Private Universities) Regulations, 2003 without the approval of UGC'

The UGC has not granted any approval to the University to open off campus/study centre For information related to Distance Education you are requested to approach directly to the Distance Education Bureau of UGC, 35 Ferozeshah Road, New Delhi-110001'

BAR COUNCIL OF INDIA, NEW DELHI APPROVAL

Bar Council of India, New Delhi Approval No. BC1:d.646/2022 (le/App/Afflin dated 14.07.2022 for five year BA LL.B and BBA LL.B Courses for academic year 2022-23 for intake of 60 students.

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

Organization has identified the list of Internal and External Issues along with their Risks & Opportunities Doc. No. RNB/IEI/02 verified and found satisfactory.

IDENTIFICATION OF (BUSINESS/ ENTERPRISE) RISK AND OPPORTUNITY

Project Management (0-100), Quality (100-200), Health Safety (200-300), Procurement (300-399), Maintenance (400-499), Office/Admin/HR work(500-599) Construction (600-700) Stores (900-950)

ID NUMB ER ACTIVI TY	ACTIVITY (IN/OR PROCESS)	ASPECT / CAUSE	SWOT ANALYSIS		IMPACT / EFFECT (POSSIBLE RESULT)
			THREAT / OPPORTUNITY	WEAKNESS / STRENGTH	
	(Work to be performed)	(Concern in the Activity or Source of Injury / Damage / Loss)	External Issues, Can't be Control	Internal Issues, can be Controlled	(Type of injury/ damage/los s)
1	Lighting and Air Conditioni ng in class rooms and work area	Misuse of power when no activity is performed.	Students and staff and faculty - who often forget to switch off power	Unless movement detection sensor is used in areas, possibility of waste of electricity will exist	Loss of electricity
2	Street Light	Misuse of power when no activity is performed	Students and staff and faculty - who often forget to switch off power	Unless movement detection sensor is used in areas, possibility of waste of electricity will exist	Loss of electricity



ASSESSMENT OF RISK AND OPPORTUNITY (6.1)				CONTROL OBJECTIVES, PLAN AND PERFORMANCE EVALUATION				
Risk Identification: Is it a Risk/Opportunity? (Refer Policy/ Mgt Commitment against which Impact is Evaluated)	RISK EVALUATION Refer Risk Classification Guide			Control Objective / Operational Control	Project Attributes (Completion date, Budget, ROI)	Responsibility	Reference of SOP if any/ performed by licensed contract or/ technicians	Accounting: Record, Data to collect and frequency of Report
	A	B	R					
Energy Focus	4	4	8	Motion sensors installed in classrooms and conference halls to stop electrical appliances when no motion detected	Not Available	Utility Head	ITI Electrician	Reading from Electric Meters
Energy Focus	4	4	8	Streetlights have timer based centralized control to switch it off as per program	Not Available	Utility Head	ITI Electrician	Automated
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. → Admissions Record, Course Syllabus, Time-Table, Internal/External Examination Records, Aspect-Impact, Operational Control records, Legal compliances verified and found satisfactory. B) Control over identified externally provided processes, products and services (Outsourced activities). → M/S. Raju Singh Water Tanker Supplier, Bikaner Bill Sr. No. 321 dated 10.02.2022, Account No. 6105105208 Supply of 106 Tanker Water during January, 2022. K NO. 3101 6302 0825 – ELECTRICITY Account No. 8445/0001 Sanctioned Load – 1000 Kw Connected Load – 1000 KW Contract demand KVA – 225							



		Avg..of Monthly Consumption: 7680					
		SERVICE REPORT – CEASEFIRE M/s. Ceasefire Industries Pvt. Ltd., Service Report Bill No. 19193 Call Report No. 119 dated 14.3.2022 Monthly AMC – Checked and found OK					
	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					
	→	Timer and motion detection sensors are installed for street lights, air conditioning plants to detect and stop misuse of electricity. 50 KW solar PV is installed in June 2022 and it is connected to grid for power trading and exchange					
	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>)					
	→	Found satisfactory.					
	g)	The availability of resources, environment necessary to support the operations & monitoring of management process.					
	→	Competent persons have been employed by the Organization. They have been employed based on their Education, Skills, Training and Experience verified.					
		Personnel Interviewed, including workers / contract workers <i>[The Personnel who will be Interviewed during Audit. (Based on the Scope of certification and scheme).]</i> ▪ 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		
		Summary of Health Performance including health objectives: (For all ISO 45001 – OHSMS AUDITS)					
	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.					
	→	OPERATION CONTROL, LEGAL AND EMERGENCY PROVISION, PREPARATION AND RESPONSE AS PART OF ENVIRONMENT AND SUSTAINABILITY:					
		S No.	Name of Operation/projects	Project Attributes (Completion date, Budget, ROR)	Responsibility	Reference of SOP if any/ performed by licensed contractor/ technicians	Accounting: Record, Data to collect and frequency of Report
		01	Controlled disposal of electronic waste for authorized		Facility Head	Agreement to be made with Service provider for	E- -waste is deposited in the IT Cell of



		recyclers.			future, since the amount of e waste generated till date is low.	University.	
	02	Ban on plastic. No smoking. Zero tolerance for tobacco and alcohol uses.		Security Head	See Policy of Conduct and Discipline in students, faculty and employee	Daily Monitoring Record keeping not necessary	
	03	Composting of Kitchen waste and plant waste to reuse nutritional value.		Facility Head		Daily Monitoring Record keeping not necessary.	
	04	Awareness, identification, segregation/separation, collection, treatment, recycle for different types of waste and controlled disposal		Facility Head	Housekeeping staff - training in work and use of equipment	Attendance Record of training of Staff and students on environment policy and methods.	
	05	Noise to be below legal limit for institution,		Facility Head	Noise monitoring -staff can use mobile phone application for noise monitoring	Daily Monitoring Record keeping not necessary.	
	06	Ambient air quality in class room is at safe level and air conditioning (toxins, temperature and humidity)		Facility Head	Air Conditioning	Annual Monitoring of ambient air quality.	
	07	Ergonomic design of furniture and sound system of class room so that students can easily interact and read the black board/ screen. Building and staircases of University are suitable for use by		Facility Head	Suitable Infrastructure	Annual or complaints based for Ergonomic controls. CCTV records for annual verifications of facilities.	



		differently abled people.				
08		For in-campus movement of staff and students, carts (battery operated) are available		Facility Head	See energy	
09		Awareness and disciplinary control of ragging/bullying and sexual harassment				Legal Compliance Report
10		Student Help Desk Awareness and disciplinary/counselling of students due to stress of studies, examination, issues from teacher/staff and time table		Registrar - under grievance Redressal committee	People in Administration have required experience and skills to address these issues	Proctorial Board Records for cases of in discipline. Counsellor's record for counselling of distressed students
11		Provision (equipment and resources and legally complaint) of Fire and Electrical safety. Fire station (20 km, Telephone number 9829208018 on notice board)		Facility Head	Fire Safety Audit Check List	Fire Safety Audit Check List Annual
12		Third party audit and fire drill - at least once in 12 months	Apecial Service Provider	Facility Head	Cease Fire - service provider is specialized in fire safety	Record of Fire safety drill - annually
13		Provision of First aid available. Medical treatment given to patient in university's wellness centre		Head of Medical wellness centre at Academic Block & hostel	Medical staff - sufficient and well trained for using methods and medicines/equipment	Patient Record Register
14		Record of accident, near miss and corrective action Maintained as regulatory		Registrar	Registrar is responsible for reporting of Incident of ill health	Accident report



	requirement.			or injury/accident to parents and to regulatory bodies.	
I)	Demonstration of Leadership and commitment towards management system				
➔	EMS Policy is suitably displayed at various locations in the premises. It was observed that the Environment Policy has been communicated, understood and applied within the organization and made available to relevant interested parties.				
j)	Method / procedure for Corrections and Corrective actions, as applicable for respective scheme, with example				
➔	Found satisfactory.				
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. 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 manner, Conclusion on the effectiveness of IA conducted: 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 Internal Audit Plan and Schedule verified. Last Internal Audit held on 03/08/2022 verified and found satisfactory. Last MRM held on 23/08/2022 verified. All points have been suitably recorded as per the requirement of the Standards verified.				
l)	Examples of improvement/s as a result of correction, corrective actions, break through changes, innovation and reorganization including continual improvement.				
➔	Organization is getting certified for ISO 21K/14K/50K for the first time.				
m)	Comments on the process of Organization's Management of Change				
➔	All changes to be approved by the Top management beforehand.				
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 / vNA
SEC C : Current Audit Non-conformity					
a)	Scheme	NC No.	Clause No.	Statement(s)	Grading of NC (Major/Minor)
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			☐ Yes	☐ No



	(Manual, policy and objectives, procedures, work instruction etc.)	
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.	Found satisfactory.
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		
Not being used.		
RvA		
▪ On reports and certificates of certified calibration-, testing and medical laboratories and inspection bodies; ▪ On business cards of the certified client's personnel.		
Not being used.		
Use of Marks / Logos (Common for both) : Comments on verification of website for Use of Marks / Logos, display of certificate for its appropriateness and validity on the Client's website, any social media, wherever is applicable look at the maximum.		
Not being used.		
SEC F (a) : Any Unresolved Issues		None
SEC F (b) : Any Other comments / observations		None



Any Significant issues impacting audit program to be recorded

*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	✓	✓	✓	✓	✓		✓		✓	
Doc. Cont., IA, MRM	✓	✓	✓	✓	✓		✓		✓	
Admin	✓	✓	✓	✓	✓		✓		✓	
Academics	✓	✓	✓	✓	✓		✓		✓	
Shifts audit (at least once in a cycle, if applicable, Processes to be audited in each shift)	G	G	G	G	G		G		G	

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.

- 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	✓		
Determination of External & Internal issues	✓		
Needs and expectation of Interested parties	✓		
Access to Legal & other requirements and their compliance	✓		
Process of Setting of objectives and achievements.	✓		
For Operational control	✓		
Process of Performance monitoring and continual improvement.	✓		
Effective conduct of Internal audit and Management review.	✓		
Process of addressing any changes, Management of change.	✓		

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).	Used to gather objective evidences.	Effectiveness	
		Achieved for	Not achieved or Not fully achieved: for
▪ MicroSoft Team Meeting ▪ ZOOM ▪ Go-To Meetings ▪ Video conferencing ▪ WhatsApp Video call ▪ Skype. ▪ Use of Drone	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.	Good	
	Sharing of photos	Yes	
	Documents through mails in time.	Yes	
	Maintain Integrity of the audit / assessment process.	Yes	
	Usage of Drone	No	
	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)	NOV
Audit Programme amended.	YES (Please amend the audit program accordingly with appropriate justification)	NOV



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 <i>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.</i> 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)	✓
a)	the issuance "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018	✓
b)	the issuance "Certificate of Approval" with continuation for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018	
c)	continuation for "Certificate of Approval for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018	
d)	revocation of suspension and continuation of "Certificate of Approval" for ISO 9001:2015 / ISO 14001:2015 / ISO 45001:2018	
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 :- 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 _____. 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 _____.	
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 a) follow-up visit for closure of major NC(s)/ minor NC(s) requiring closure based on the site visit, before _____. 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).	



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**

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Team Leader Name	Sanjay Kumar Singh	Signature & Date <i>Sanjay Singh</i> <i>Sanjay Singh</i>
Auditee Representative Name	Mr. Shailendra Barath	Signature & Date <i>25/8/2022</i>

