

**CRITERIA VI**  
**Governance , Leadership and Management**  
**6.5 Internal Quality Assurance System**

**Metric No. – 6.5.4**

Quality Assurance Initiative By Institute

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**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



THE INTERNATIONAL CERTIFICATION NETWORK

# CERTIFICATE

*IQNet and AIB-VINÇOTTE International  
hereby certify that the organization*

**S.B.Patil Institute Of Management**  
**Sector No.26, Near Akurdi Rly Station, Pradhikaran, Nigdi**  
**4110044 Pune (India)**

*for the following field of activities*

**Imparting knowledge and skills related to management education to the students.**

*has implemented and maintains a*

**Management System**

*which fulfils the requirements of the following standard*

**ISO 9001:2008**

**Issued on : 8 April 2013**  
**Validity date : 7 April 2016**

**Registration Number : BE-13 5083**



**Michael Drechsel**  
*President of IQNet*

**Paul Olivier**  
*Chairman Certification Committee*



**IQNet Partners\*:**

- AENOR Spain AFNOR Certification France AIB-Vinçotte International Belgium ANCE-SIQE Mexico APCER Portugal CCC Cyprus
- CISQ Italy CQC China CQM China CQS Czech Republic Cro Cert Croatia DQS Holding GmbH Germany DS Denmark
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- Inspecta Certification Finland IRAM Argentina JQA Japan KFQ Korea MIRTEC Greece MSZT Hungary Nemko AS Norway
- NSAI Ireland PCBC Poland Quality Austria Austria RR Russia SH Israel SIQ Slovenia SIRIM QAS International Malaysia
- SQS Switzerland SRAC Romania TEST St Petersburg Russia TSE Turkey YUQS Serbia
- IQNet is represented in the USA by: AFNOR Certification, CISQ, DQS Holding GmbH and NSAI Inc.

\* The list of IQNet partners is valid at the time of issue of this certificate. Updated information is available under [www.iqnet-certification.com](http://www.iqnet-certification.com)



**Director**  
**S. B. Patil Institute of Management**  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



**CERTIFICATION OF MANAGEMENT SYSTEM**  
**ACCORDING TO ISO 9001:2008**

**DECISION OF THE CERTIFICATION COMMITTEE**

The audit of the Management System of S.B.Patil Institute Of Management - Pune in accordance with the standard ISO 9001:2008 took place on 22 March 2013. The Certification Committee has on 8 April 2013 examined the report SB Patil Institute of Mgmt\_Cert\_Mar-13.

Based on the observations and recommendations made by the lead auditor, the Certification Committee has taken the decision to award the certificate under the conditions according to the general regulations in enclosure of the contractual agreement.

The awarded certificate, ratified on the date the decision was taken, remains conditionally valid until 7 April 2016.

The certification department will perform the follow-up program of this certified Management System in principle during the next periods:

Surveillance 1: March 2014

Surveillance 2: March 2015

For approval of this decision:

Paul Olivier

The Chairman  
of the Certification Committee

Lucien Foubert

The Senior Auditor, member  
of the Certification Committee



S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



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# AUDIT REPORT

AIB-Vinçotte  
INTERNATIONAL nv sa,  
Brussels - Belgium

ISO 9001:2008

Management System Certification  
CERTIFICATION

S.B. Patil Institute of Management  
Sector No.26, Near Akurdi Rly Station, Pradhikaran, Nigdi  
Pune – 4110044  
Maharashtra, India

Lead auditor: Mandar Sathaye

Audit date(s)  
Report number:  
FD-QMS-10EJT-0612

22 March 2013  
SB Patil Institute of Mgmt Cert Mar-13



  
Director  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



## Administrative data

Company name	S.B.Patil Institute Of Management	
Company address	Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi 4110044 Pune , India	
Contact person	Kirti Dharwadkar	
Telephone	02027656900	Fax
E-mail	kirtisd@gmail.com	
Audit locations	Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi, Pune – 4110044 Maharashtra, India	
Employees	45	
Sector	37A - Education	
Certificate number	NA	
NACE code 2008	85	
Activity mentioned on the certificate	Imparting knowledge and skills related to management education to the students.	
Standard of reference	ISO 9001:2008	
Audit date(s)	Preparation visit : 11 March 2013 Execution of the audit : 22 March 2013	
Number of audit days	Preparation visit : 1.00 Execution of the audit : 2.50	
Auditor(s)	Mandar Salhaye (lead auditor) Rahul Jakhete, Shilpa Deshmukh	
Audit objective	<b>Certification audit</b> Evaluation of the compliance of the implemented quality management system with the reference standard. Evaluation of the effective implementation of the quality management system. Evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements	



  
**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.

## Summary

The audited organization has established and implemented a quality management system according to the requirements of the reference standard. The audit process was based on a sample of the available information.

During the audit, the documentation and the application of the system have been reviewed.

No evidence of misuse of the certificate or the Vincotte logo was found.

### General appreciation of the management system by the lead auditor:

The institute established in 2009 imparts management education to graduate students. The institute has already acquired approvals such as AICTE, DTE Govt. of Maharashtra. The Institute has acquired status of renowned management education institute within a very short span and has recently awarded as most vibrant education institute. The entire team of institute found to be qualified and dedicated for the overall improvement of its students. The campus interviews conducted and placements given are considerable. The institute overall very well demonstrated compliance of its activities and processes with the standard requirement.

The documented and implemented quality management system complies with the applicable requirements of the reference standard with exception of:

- 03 minor non-conformance(s) against criteria 7.5, 8.2.4, 7.5.5

A detailed overview of the observations (positive remarks, opportunities of improvement and non-conformities) is listed in the following chapters.

### Conclusion and recommendation of the lead auditor

The lead auditor recommends to the Certification Commission to grant the ISO 9001:2008 certificate to the audited organisation.

### Further process

Compliance of the quality management system will be verified by conducting surveillance audits.

A total of 2 surveillance audits will be carried out for 1.5 day(s) each within the 3-year's validity of the certificate.

These surveillance audits took or will take place in:

Certification: 22 March 2013

Surveillance 1: March 2014

Surveillance 2: March 2015

An appointment will be taken in due time.

Recertification has to be foreseen before expiry of the certificate in March 2016





## Changes in the audit data

Changes in the organisation: Comment:	yes/no
Changes in the scope/activities/products: Comment:	yes/no
Changes in the exclusions of the standard: Comment:	yes/no
Changes in the outsourced processes: Comment:	yes/no
Changes in the proposed audit schedule: Comment:	yes/no



  
**Director**  
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# Audit findings

Type <sup>1</sup>	Process / Department	Requirement of the standard	Findings
POS	Management	5.0	The top management demonstrated its commitment in establishing, implementing and continually improving QMS within the institute. The management reviews effectiveness of QMS at a six monthly frequency. The last review is held on 2 <sup>nd</sup> March 2013, agenda of which found to be adequate. The output of MRM found to be in the form of actions and decisions for improvement in the quality of education being imparted to students
POS	Management	8.2.1	The institute has conducted student's satisfaction survey and the survey results are analysed teaching faculty wise and the faculty has submitted action plan for improvements in the weak areas observed during survey.
POS	Administration	7.2	Admission process is carried out as per University regulations. All the required documents and student's information and his / her eligibility is verified before admission to the institute. Students admitted are assigned an ID no and ID card and list of students maintained.
ATP	MR	8.2.2	Internal audit held on 1 <sup>st</sup> March '13 records of which are evident. There were 10 NCs out of which 9 are closed out. Corrective action plan on the remaining NC is under implementation. Auditor's understanding on clause attribution to NCs need to be improved.
ATP	Academics	7.5	Involvement of students in the topic being taught by faculty needs to be improved as only few set of students observed answering questions during the class.
POS	Academics	6.3, 64	Class rooms found to be equipped with writing board, LCD projectors, ergonomic benches and well ventilated with no sound echo. Lectures found to be audible and hand-writing on the board legible from the last bench.

**POS:** positive points are an aspect of the Management system on which the organization either exceeds the audit standard or distinguishes itself by its performance, method or technique

**OPI:** opportunities for improvement are NOT non-conformities against the reference standard. They are communicated without obligation and with the only purpose to improve the system within the company

**ATP:** attention points any useful critical findings worth to mention, included: ("half" or "nearly") non-conformities, warning (danger of possible future non-conformities), other weak points (other unfavourable circumstances), remarks, on-going actions (to follow-up during the next audits), particular expectations for the future, ... all what request action or attention by the client, and possible follow-up by any auditor

**MIN:** Minor non-conformity: non-satisfaction of a requirement of a standard not constituting an important risk to the management system

**MAJ:** Major non-conformity: a repetitive non-conformity or the failure to observe an important specific requirement of the management system



  
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ATP	Administration	7.4	Suppliers evaluation and selection, including their performance monitoring to be done more objectively.
CAR1	Academics	7.5	<p>The process of control over execution of lesson planning is not effective.</p> <p>There is no counter check on the plan vs. actual lectures delivered, as well as exam schedule vs actual date of conducting exam, resulting into question on PERT/CPM asked in the internal exam held on 6<sup>th</sup> Feb.'13, where as the subject was taught after conduct of exam. For subject no 204</p>
CAR2	Academics - Exams	8.2.4	<p>The process of planning and conducting internal examination is not effective. The current system followed does not provide confidence of planning and conducting examinations to meet the intended results.</p> <p>Exam planned for subject 206 MIS on 4<sup>th</sup> March '13 is still not held. Process to set the paper not defined. Controls exercised to prevent leakage of exam paper are not effective – no password protected file containing exam paper, PC enabled with copying, emailing facilities, CCTV in the safe room where papers are stored is not recording the footage, Model answer sheets too brief, subjective element observed while verifying assessed answer sheets</p>
CAR3	Library	7.5.5	Receipt and issue controls exercised over library books are not effective.



  
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Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



# Corrective action request

CAR n°: 01

Department: Academics

Written by: Mandar Sathaye

Date: 22.03.13

Requirement of the standard: ISO 9001:2008 / 7.5

Non conformity: *MIN/MAJ*

Non conformity:

The process of control over execution of lesson planning is not effective.

Objective evidence:

There is no counter check on the plan vs. actual lectures delivered, as well as exam schedule vs actual date of conducting exam, resulting into question on PERT/CPM asked in the internal exam held on 6<sup>th</sup> Feb.'13, where as the subject was taught after conduct of exam. For subject no 204

Requested correction: *Yes/No*

Requested corrective action: *Yes/No*

**TO BE COMPLETED BY THE ORGANIZATION AND RETURNED TO THE LEAD AUDITOR WITHIN 5 DAYS**

Correction(s):

Not applicable

Cause(s):

As faculty was new. She has taken the single topic earlier than the plan session and in process forgot to mention the date separately in session plan compliance. Therefore there is a mismatch in planed date vs. actual date. The exam was conducted after teaching of the topic only.

Corrective(s) action(s):

Faculty will put the date categorically when the sub topic is taught in a particular session. The dates of the topic to be taught in respective classes will be checked by Director /Dean every fortnightly to see if there is a deviation between the planned & actual teaching. One lecture deviation that is shortfall can be permissible for a fortnight but which should be compensated immediately in the next week with an extra lecture.

Planned end of implementation date: *Immediately*

Written by: *MR & Director*

**TO BE COMPLETED BY VINÇOTTE**

The lead auditor accepts/~~doesn't accept~~ the proposed correction(s) and/or corrective action(s)

Final evaluation: *satisfactory/unsatisfactory*

Seen:

By:

Date:



  
**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



# Corrective action request

CAR n°: 02    Department: Academics - Exams    Written by: Mandar Sathaye    Date: 22.03.13

Requirement of the standard: ISO 9001:2008 / 8.2.4    Non conformity: *MIN/MAJ*

**Non conformity:**

The process of planning and conducting internal examination is not effective. The current system followed does not provide confidence of planning and conducting examinations to meet the intended results.

**Objective evidence:**

Exam planned for subject 206 MIS on 4<sup>th</sup> March '13 is still not held. Process to set the paper not defined. Controls exercised to prevent leakage of exam paper are not effective – no password protected file containing exam paper, PC enabled with copying, emailing facilities, CCTV in the safe room where papers are stored is not recording the footage, Model answer sheets too brief, subjective element observed while verifying assessed answer sheets

Requested correction: *Yes/No*

Requested corrective action: *Yes/No*

**TO BE COMPLETED BY THE ORGANIZATION AND RETURNED TO THE LEAD AUDITOR WITHIN 5 DAYS**

**Correction(s):**

There will be no deviation from Plan vs. Actual in future. Process for internal paper setting will be defined.

**Cause(s):**

Freedom & autonomy given to faculty to conduct the exam as per their convenience.

**Corrective(s) action(s):**

1 hence forth fortnightly review of session plan of faculty for completion of plan vs. Actual sessions & tests will be monitor. 2 Separate computer will be assigned for examination with secured password. 3. CCTV recording during exam period will be done strictly. 4. Model answers will be more elaborative since MBA course have descriptive subjects, to the point marking system cannot be adopted. We have to keep some room for additional content on current affairs. 5. The Internal paper setting process will be designed.

Planned end of implementation date: **Immediately**

Written by: *MR & Director*

**TO BE COMPLETED BY VINÇOTTE**

The lead auditor accepts/doesn't accept the proposed correction(s) and/or corrective action(s)

**Final evaluation:** *satisfactory/unsatisfactory*

Seen:

By:

Date:



*Mandar*  
**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.

## Corrective action request

CAR No: 03 Department: Library

Written by: *Rahul jakhete*

Date: 22/3/2013

Requirement of the standard: *ISO 9001:2008 - 7.5.5*Non conformity: *Minor***Non conformity:**

Receipt and issue controls exercised over library books are not effective.

**Objective evidence:**

- 1) Book "Cases in personnel management "available stock in system 04 nos and actual 02 nos.
- 2) Book "Financial Management " is not available in its defined location
- 3) Financial Management book issued on 7/3/13 and it return back as per vridhhi software is not matching date if issue and on book card no entry evident 7/3/13
- 4) Issued register data in register Dt 7/3/13 and book no 2645 not matching with vridhhi software Data .

Requested correction: *Yes/No*Requested corrective action: *Yes/No***TO BE COMPLETED BY THE ORGANIZATION AND RETURNED TO THE LEAD AUDITOR WITHIN 5 DAYS****Correction(s):**

Physical stock of books tallied with the system book stock and appropriate actions taken in case of stock discrepancies.

**Cause(s):**

1. As books were not recorded in the software issue record. The books have been traced and record is updated. 2. As library have system of open book it is possible that students do not keep the books on same place. 3 & 4. The record has not updated.

**Corrective(s) action(s):**

Every day evening before leaving all shelves will be checked and books will be categorically put in the respective shelves. The Vridhi software will be updated every evening in case of any record has been left out during the day's working.

Planned end of implementation date: *Immediately*Written by: *Librarian***TO BE COMPLETED BY VINÇOTTE**The lead auditor accepts/~~doesn't~~ accept the proposed correction(s) and/or corrective action(s)**Final evaluation:** *satisfactory/unsatisfactory*

Seen:

By:

Date:



  
**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



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# AUDIT REPORT

AIB-Vinçotte  
INTERNATIONAL Ltd,  
Brussels - Belgium

## ISO 9001:2008 Management System Certification SURVEILLANCE

S.B.Patil Institute Of Management  
Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi  
4110044 Pune

Lead auditor: Mandar Sathaye

Audit date(s): 9 April 2015  
Report number: SB Patil Institute of Mgmt\_Surv2\_Mar-15  
TD-Q05-10E/A1ay13



  
Director  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.

## Administrative data

Company name S.B.Patil Institute Of Management  
Company address Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi  
4110044 Pune India

Management Representative Kirti Dharwadkar  
Telephone 02027656900 Fax  
E-mail kirtisd@gmail.com

Concerned sites Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi, 4110044 Pune,  
Maharashtra, India

Employees 45  
Sector 37A - Education

Certificate number 13 5083 valid until 7 April 2016

Activity mentioned on the certificate Imparting knowledge and skills related to management education to the students.

Standard of reference ISO 9001:2008

Audit date(s) Execution of the audit : 9 April 2015

Number of audit days Execution of the audit : 1.50

Auditor(s) Mandar Sathaye (lead auditor)

Shilpa Deshmukh

Accompanying persons R. Mahashabde (TE)

Audit objective **Surveillance audit**

Evaluation of the effective application of the certified quality management system.

Verification of the continuous conformity of the quality management system with the reference standard.

Evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements.



  
**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.

## Summary

The audited organization has established and implemented a quality management system according to the requirements of the reference standard. The audit process was based on a sample of the available information. During the audit, the documentation and the application of the system have been reviewed.

No evidence of misuse of the certificate or the Vincotte logo was found.

### General appreciation of the quality management system by the lead auditor

The institute continues to implement the QMS within the organisation. The name of the college is getting recognized in Pune as well as university of Pune at 4<sup>th</sup> rank. The institute has overall shown improvements in results as well as placement percentage. The institute has decided to not to run the second shift and accordingly communicated to the university. The institute is planning to get NAAC accreditation and the established QMS has been very helpful for them for this project. There were no CARs in S1, requiring closure in this audit.

The documented and implemented quality management system complies with the applicable requirements of the reference standard.

A detailed overview of the observations (positive remarks, opportunities of improvement and non-conformities) is listed in the following chapters.

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### Conclusion and recommendation of the lead auditor

The lead auditor recommends to the Certification Commission the continuance of the ISO 9001:2008 certificate of the audited organization.

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Director

S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



## Further Process

Compliance of the quality management system will be verified by conducting surveillance audits.  
A total of 2 surveillance audits will be carried out for 0.75 day(s) each within the 3-year's validity of the certificate.

These surveillance audits took or will take place in:

Certification: 22 March 2013

Surveillance 1: 11 April 2014

Surveillance 2: 9 April 2015

An appointment will be taken in due time.

Recertification has to be foreseen before expiry of the certificate (7 April 2016).



  
**Director**

S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.

## Changes in the audit data

Changes in the organization: Comment:	no
Changes in the scope/activities/products: Comment:	no
Changes in the exclusions of the standard: Comment:	no
Changes in the outsourced processes: Comment:	no
Changes in the proposed audit schedule: Comment:	no



  
**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.

# Audit findings

Type <sup>1</sup>	Process / Department	Requirement of the standard	Findings
ATP	Management	5.6	The management review is held on 18.06.14 The output of the review need to be in the form of specific actions and decisions where targets are not getting achieved
ATP	MR	8.2.2	Internal audits are held once in a year as per procedure MR/PR/03 issue 1 rev 0 dated 20.12.12. Annual audit plan not evident as required by procedure. Same auditors are used to audit same processes in the last two internal audits, posing familiarity threat to impartiality
ATP	MR	8.2.2	All the activities of the department as described in the departmental procedure are not audited. Eg for academics department activity of preparing master time table is not covered in the audit. Since the audit is done annually once, all the activities shall get covered in the internal audit.
ATP	MR	8.2.2	One NC reported in the Internal audit for T & P cell is not correctly attributed to the appropriate clause. Eg 5.5.1 against 7.5. Root cause of the NC is not correctly identified.
ATP	Library	5.4	Process objectives of library are different in the monitoring sheet and the sheet which is discussed in MRM. In MRM total no of books available is reported whereas monitoring sheet requires ratio of no of books issued to no of students.
ATP	T & P	7.5	Process of appointing student's coordinator is not defined.
OFI	Management	6.2	Appraisal of the teaching staff need to be done more objectively and taking into account intended results of the teaching process viz percentage of marks secured, gap between highest and lowest marks secured by students in the subjects taught.
OFI	All processes	5.4	All departments to display status of objectives in respective departments with their monthly status and submit the same to the MR for management review.
OFI	T & P	8.2.3	Following objectives can be established for measurement of effectiveness of the T & P process – no of companies visiting

- POS:** Positive points are an aspect of the Management system on which the organization either exceeds the audit standard or distinguishes itself by its performance, method or technique.
- OFI:** Opportunities for improvement are NOT non-conformities against the reference standard. They are communicated without obligation and with the only purpose to improve the system within the company.
- ATP:** Attention points: any useful critical findings worth to mention, included: ("half" or "nearly") non-conformities, warning (danger of possible future non-conformities), other weak points (other unfavorable circumstances), remarks, on-going actions (to follow-up during the next audits), particular expectations for the future....: all what request action or attention by the client, and possible follow-up by any auditor.
- MIN:** Minor non-conformity: non-satisfaction of a requirement of a standard not constituting an important risk to the management system.
- MAJ:** Major non-conformity: a repetitive non-conformity or the failure to observe an important specific requirement of the management system.



Type <sup>1</sup>	Process / Department	Requirement of the standard	Findings
ATP	T & P	8.4	for conducting campus interviews, no of new companies added in the year for taking campus interviews, retention of companies visiting for campus interviews. Reasons to be drawn and analysed from the students who could not clear the campus interviews.
POS	All processes	8.5.2	There were no complaints from students or parents during the last year. There were no cases of ragging or sexual harassment in the last year in the institute.
ATP	Library	7.5	No time targets imposed on students for return of books affecting other students as they are not able to get the books
POS	Academics	7.5	Lesson planning is done to meet the university requirements. Execution of lectures are per lesson plan is closely monitored.
POS	Academics	6.2.2	Competence criteria established for assistant professor and associate professor meet the university requirements. In case of two sampled cases, the lecturers found to be meeting the competence criteria.
ATP	Academics	8.3	Weak students are not identified by teachers so as to work on them for overall improvement of the result
ATP	Academics	8.2.1	Students feed-back is taken, however analysis of the same is not evident.  The process of taking and analyzing students feed-back can be done with the help of developing a software where by paper and time can be saved.



  
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☑ Safety, quality and environmental services

**VINÇOTTE CERTIFICATION**

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# AUDIT REPORT

AIB-Vinçotte  
INTERNATIONAL Ltd,  
Brussels - Belgium

## ISO 9001:2008

Management System Certification  
SURVEILLANCE N°1

S.B.Patil Institute Of Management  
Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi  
4110044 Pune

Lead auditor: Sudhir Borole

Audit date(s): 11 Apr 2014  
Report number: SB Patil Institute of Mgmt\_Surv1\_Apr-14  
TD-Q05-10E/May13



  
Director  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.



## Administrative data

**Company name** S.B.Patil Institute Of Management  
**Company address** Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi  
4110044 Pune India

**Management Representative** Kirti Dharwadkar  
**Telephone** 02027656900 **Fax**  
**E-mail** kirtisd@gmail.com

**Concerned sites** Sector No.26,Near Akurdi Rly Station, Pradhikaran, Nigdi, 4110044 Pune,  
**Maharashtra, India**

**Employees** 45  
**Sector** 37A - Education

**Certificate number** 13 5083 valid until 7 April 2016

**Activity mentioned** Imparting knowledge and skills related to management education  
**on the certificate** to the students.

**Standard of reference** ISO 9001:2008

**Audit date(s)** **Preparation visit :**  
**Execution of the audit : 11 Apr 2014**

**Number of audit days** **Preparation visit : 0**  
**Execution of the audit : 1.50**

**Auditor(s)** **Sudhir Borole (lead auditor)**  
**Shilpa Deshmukh (Team Member)**

**Accompanying persons**

**Audit objective** **Surveillance audit**  
Evaluation of the effective application of the certified quality management system.  
Verification of the continuous conformity of the quality management system with the reference standard.  
Evaluation of the ability of the management system to ensure the client organization meets applicable statutory, regulatory and contractual requirements.



  
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## Summary

The audited organization has established and implemented a quality management system according to the requirements of the reference standard. The audit process was based on a sample of the available information. During the audit, the documentation and the application of the system have been reviewed.

No evidence of misuse of the certificate or the Vincotte logo was found.

### General appreciation of the quality management system by the lead auditor

The documented and implemented quality management system complies with the applicable requirements of the reference standard with exception of:

- Nil major non-conformance(s)
- Nil minor non-conformance(s)
- Nil minor or major non-conformance(s) remain open from previous audit.

A detailed overview of the observations (positive remarks, opportunities of improvement and non-conformities) is listed in the following chapters.

### Conclusion and recommendation of the lead auditor

The lead auditor recommends to the Certification Commission the continuance of the ISO 9001:2008 certificate of the audited organization.

### Further Process

Compliance of the quality management system will be verified by conducting surveillance audits.

A total of 2 surveillance audits will be carried out for 1.5 day(s) each within the 3-year's validity of the certificate.

These surveillance audits took or will take place in:

Certification: 22 March 2013

Surveillance 1: 11 Apr 2014

Surveillance 2: March 2015

An appointment will be taken in due time.

Recertification has to be foreseen before expiry of the certificate (7 April 2016).



  
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## Changes in the audit data

Changes in the organization: Comment:	no
Changes in the scope/activities/products: Comment:	no
Changes in the exclusions of the standard: Comment:	no
Changes in the outsourced processes: Comment:	no
Changes in the proposed audit schedule: Comment:	no



  
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# Audit findings

Type <sup>1</sup>	Process / Department	Requirement of the standard	Findings
POS	Academics	8.2.1	Improvement in overall rating score during last year
POS	Training & Placement	7.5.1	There is an Increase in placement through campus interviews during past one year
POS	All	8.2.3	Improvement in monitoring of various processes.
POS	Academics	7.1	Obtaining feedback from past students working in industry and making changes to service delivery.
OFI	MR	8.2.3	Review system of monitoring of quality objectives
OFI	MR	5.6	Recording names of attendees during management reviews
OFI	Admin	4.2.3	Control of external origin documents and its distribution needs improvement.
OFI	MR	4.2.3	Review of system of maintaining revision history of various procedures
ATP	Training & Placement	4.2.3/4.2.4	Control of documents and records needs quantum improvement
OFI	Research	8.2.3	Ensuring authenticity of certificates submitted by PhD students during periodic progress report



*(Signature)*  
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- POS:** Positive points are an aspect of the Management system on which the organization either exceeds the audit standard or distinguishes itself by its performance, method or technique.
- OFI:** Opportunities for Improvement are NOT non-conformities against the reference standard. They are communicated without obligation and with the only purpose to improve the system within the company.
- ATP:** Attention points: any useful critical findings worth to mention, included: ("half" or "nearly") non-conformities, warning (danger of possible future non-conformities), other weak points (other unfavorable circumstances), remarks, on-going actions (to follow-up during the next audits), particular expectations for the future...: all what request action or attention by the client, and possible follow-up by any auditor.
- MIN:** Minor non-conformity: non-satisfaction of a requirement of a standard not constituting an important risk to the management system.
- MAJ:** Major non-conformity: a repetitive non-conformity or the failure to observe an important specific requirement of the management system.



# Corrective action request

CAR n°:

Department:

Written by:

Date:

No cars raised during this audit.



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**S. B. Patil Institute of Management**

**Nigdi, Pune.**

**Audit Report**



*[Signature]*  
**Director**  
S. B. Patil Institute of Management  
Sector No. 26, Nigdi,  
Pradhikaran, Pune-411 044.

Inward No.: 848  
Date: 03.07.2018

**PCETs**  
**S. B. Patil Institute of Management**  
**Gender Audit:Report**

The audit was conducted on 6<sup>th</sup> June 2018 at S .B. Patil Institute of Management. The following Members conducted the audit. 1) Dr. C .S. Kale Chairman

2) Dr. Sonia. P. Rajput Member

3) Prof. A. D. Ekal Member

The Gender audit was conducted at S. B. Patil Institute of management started under PCET in the year 2009.. The purpose of the audit was to ensure that the practices followed in the campus are in accordance with the Gender Policy adopted by the Institution. With this in mind, the specific objectives of the audit were to evaluate the adequacy of the management control framework as well as the degree to which the Institute is in compliance with the applicable regulations, policies and standards.

**The following are the Observations made by the Committee**  
**Facilities Provided in the Institute –**

**1. Parking : yes (common)**

The College has a common parking lot in the campus for boy and girl students. In order to regulate entry, parking stickers are issued to the bona-fide users. This helps in the safety and security of the girl students which was really appreciable.

**2. Ladies Room: yes (1)**

Ladies Common room is provided for the girl students on the third floor of the Institute to socialize, discuss and interact with each other or to take rest if needed.

**3. Girls Washrooms: yes (4)**

The Institute has clean and hygienic wash rooms for boys and girls. Four washrooms on alternate floors are provided for girls. A separate washroom for ladies staff is also provided.

**4. Hostel : Yes**

SBPIM provides with fully functioned campus hostel facility for boys and girls. To cater to the accommodation needs of students, the Institute has both the boys & girls hostel blocks separately. Wholesome and nutritious meals are available in the Institute kitchen which serves hygienically cooked food. The hostel premises also house the dining hall, sick room, common/ TV room, mini gymnasium etc. Each room of the hostel is furnished with bed, study table chair and a cupboard for clothes. A stimulating and holistic living ambience contributes significantly to a superior academic performance. The girls utilizing the hostel facility is as under –

Academic Year	MBA I	MBA II	Total
2013 – 14	0	6	6
2014 - 15	0	0	0
2015 - 16	1	0	1
2016 - 17	2	1	3
2017 - 18	6	2	8



5. **Rest Room:**

A rest room is provided in the hostel with basic facilities for sick girls.

6. **Gymnasium:**

SBPIM provides gym facilities to boys and girls. The girl's hostel has a well equipped gym available for them.

7. **Canteen –**

SBPIM provides with canteen and mess in the hostel. The common cafeteria in the campus a modern gourmet café, offers variety of snacks and meals to cater to the tastes of the students. The canteen not only provides a vibrant atmosphere and unleaded fuel for the day but also an effective way to develop the “Cafeteria approach”, learning in an informal manner.

8. **Bank Facility –**

SBPIM is located at a very strategic location. There are many banks located in the close vicinity of the Institute. IOB ATM is located in the Institute premises, which enables all the girl students to use the banking services.

9. **Stationary store –**

There is a stationary store located in the campus, which helps the students to fulfill their everyday requirement at ease. The girl students are benefited with this facility. The store provides with the stationary items, photocopies, printing and binding facility.

10. **Library –**

SBPIM library holds the rich collection of more than 5000 textbooks as well as reference books in the domain of Management. The library is provided with reading hall. The timings of the reading hall are extended during exam period.

11. **Computer Labs –**

Computer lab is well-equipped .Girl students have good access.

**Salient Features & Recommendations**

- It is found that at PCET's S. B. Patil Institute of Management., Pune has gender balance in its system. The staff gender balance seems to be balanced. The college motivates for 'Earn & Learn' Scheme for economically marginalized students however no girl has utilized the facility.
- Girls having highest merits in the class, represent their class in the Students Council.
- The boards bearing the names of the various Committee Members were displayed Internal Complaints Committee aims to foster an healthy environment in which unlawful discrimination & harassment are not tolerated and all the members of the college are



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encouraged to make full use of their potentials to achieve their goals. Lectures are arranged on women empowerment, issues related to women, legal awareness, health etc.

- The college monitors the experience of all students through annual progress review meetings. It encourages the participation of all students in all aspects of college life. The college committees allows the utility of resources to the students for academic activities on a gender neutral basis.
- Five lady teachers were awarded as best teachers in different areas.

### **Main recommendations**

Some of the areas for improvements were pointed out to the management at the time of visit

- Wash rooms and separate ladies toilets are there but can be maintained more Hygienically. The ladies toilets and washrooms should be equipped with sanitary pads vending machine.
- In the Reading room separate space for girls may be expanded and suggested for separate sign boards
- Separate Medical room for ladies with required infrastructure may be instituted in the campus.
- Girl students participation in sports activities should be encouraged. And the sports ground could be better maintained.
- Though the parking in the institute is well managed. There is need for separate parking for girl students and women staff
- The sign boards and mandatory boards should be placed in more visible places.
- Famous Quotes pertaining to gender parity should be placed in the Corridors of the institute
- Separate place for Counseling Cell to help students resolve their personal and family problems can be spared.

### **Conclusion:-**

It is found that at PCET's S. B. Patil Institute of management, Pune. has lots of strengths. The weaknesses can be overcome with efficient mindset. Its strength nevertheless contribute towards making the institution a gender sensitive Institution. All the staff strives hard to the extent of their capacity to achieve the Vision and Mission of the institute

### **Audit Committee:**

  
**Dr. C. S. Kale**  
Chairman

  
**Prof. A. D. Ekal**  
Member

  
**Dr. Sonia P. Rajput**  
Member



  
**Director**  
S. B. Patil Institute of Management  
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## Academic Audit

The academic audit was conducted on 6.6.18 at the institute. Faculty members actively participated and provided the information for the audit. The following members conducted the audits

1. Dr C.S.Kale Academic audit
2. Dr Sonia Rajput Gender Audit
3. Prof A.D.Ekal Administrative Audit

The major observations of the academic audit are mentioned below

1. There are 18 faculty members in the M.B.A.department. the faculty members are from different regions of the country with necessary qualifications and experience.
2. Student centric learning and teaching is observed. Field projects, library sessions , open book tests,use of case study,subject-wise notes/ assignments on the website are some peculiar things observed .
3. Mentoring is done of the students of the department. The students are classified into emergers and achievers. Cases are developed by the faculty members on the achievements of achievers.
4. The success rate of students in the exams is above 90%. Students have obtained good placements through campus placements. Career guidance cell is playing a very active role in it.
5. The senior faculty members are recognized Ph. D guides. The Institute is a Ph D Research Centre of Savitribai Phule Pune University Pune. 39 PhD Scholars have enrolled for the Ph.D Programme.
6. The faculty members are engaged in publications of research articles in conference proceedings and reputed national and international journals.239 research publications are done by the faculty members. Books are authored by them. Faculty members along with the students have organized sufficient number of seminars and conferences in the last 5 years. The institute has its own research journal .
7. The institute is taking efforts to promote higher education among all sections of students. Extension activities are conducted regularly .

### Suggestions

1. The Institute must depute the faculty members under F.D.P./Q.I.P./ Orientation/ Refresher Courses to various institutes of repute in India.
2. The faculty members have to be motivated to organize Management Development Programmes in the campus.
3. Consultancy services have to be provided to various organizations/ industry by the faculty members. There is lot of scope for consultancy in Pune.



Prof. A.D. Ekal



Dr Sonia Rajput



Dr C.S.Kale



**Director**  
S. B. Patil Institute of Management  
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## Administrative Audit Report

The audit was conducted on 06/06/2018 at the Institute. The following Members conducted the audit.

1. Dr. C. S. Kale - Chairman
2. Dr. Soniya Rajput - Member
3. Prof. A. D. Ekal - Member

During the initial planning of the audit, an analysis was conducted on the methodologies of the administrative policies. The analysis was based upon an examination of the policies, manuals and standards on data analysis and on the results of physical inspection of the campus, review of the relevant documentation and interviews.

In our professional judgment, sufficient and appropriate audit procedures were completed and evidence gathered to support the accuracy of the conclusions reached and contained in this report. The conclusions are based on a comparison of the situations as they existed at the time of the audit with the established criteria.

During the physical inspection and personal interaction it is found that a very positive working environment prevails. The management of the Institute pay the salaries of the staff regularly. The staff members are constantly motivated to upgrade their skills. Time and again the staff members are deputed for training as the situation demands. Skill enhancement guidance is given inhouse. Efforts are also in progress to improve the communication skills. The IT training is provided along with the compliances to be carried out. The promotion policy is followed in the right perspective. The sources of communication adopted are through LAN, E-mail, Phone calls, Notices, WhatsUp.



  
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**Recommendations**

- The Institute has adequate indoor sports facility, however, the infrastructural facility required for outdoor sports should also be given equal attention.
- The administrative office needs an appropriate face lift. Sufficient number of software need to be installed for the smooth functioning of routine activities.
- The seating capacity of the reading hall must be increased. The said capacity should be at least 25% of the total intake.
- Job rotation policy should be adopted. Such a policy will lead to multi-skilling among the administrative staff.



**Dr. C. S. Kale**  
Chairman,



**Dr. Soniya Rajput**  
Member



**Prof. A. D. Ekal**  
Member



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**CRITERIA VI**  
**Governance , Leadership and Management**

**6.5 Internal Quality Assurance System**

**Metric No. – 6.5.4**

IQAC MoMs & Action Taken Reports :

<http://www.sbspatilmba.com/minutes-of-meeting-action-reports>



  
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