

## Stage 1 Audit Report of - **SWAMI RAMA HIMALAYAN UNIVERSITY (SRHU)**

Address	SWAMI RAM NAGAR JOLLY GRANT, DOIWALA, DEHRADUN, UTTRAKHAND - 248140, INDIA.
Site Address (If Any)	Not Applicable
No Of Employee	270
Stage1 mandays	2
Email-id	chief.engineer@srhu.edu.in/engg@srhu.edu.in
Contact Person	Mr. Rajpal Singh Rawat
Telephone Fax	8194009606
ISO Standards	ISO 14001:2015
Scope	PROVIDING EDUCATION UNDERGRADUATE (UG), POSTGRADUATE(PG) AND DOCTORAL DEGREE PROGRAMS, RESEARCH, PHD AND HEALTH CARE SERVICE.
<b>Technical Area :</b>	
(37.3) Higher Education	

### ADDITIONAL INFORMATION

How many sites is your company managing at the same time	1
A register of Significance Environment aspect?	Yes
An Environmental Management Manual?	Yes
An Internal Environmental Audit Program?	Yes
Has the Internal Audit Programme been Implemented?	Yes

Audit Team	Abbas Hussain ( LA ) /Sidharth Pandey(Auditor)
Starting Date Of Audit	20/04/2024
End Date Of Audit	21/04/2024
Brief About Organization	Swami Rama Himalayan University (SRHU), a top private university in Dehradun endeavors to transform lives through holistic approach to education, providing integrated health care services and effective rural development and social outreach programs. With a rich legacy of Himalayan Hospital & Himalayan Institute of Medical Sciences, the first and the largest NABH accredited private teaching hospital and medical college of Uttarakhand, SRHU has been providing a platform to the youth, for a decade, to learn and transform into efficient, effective, ethical and committed professionals. SRHU is the only university in Dehradun, Uttarakhand that has a dedicated multispecialty Himalayan Hospital, Cancer Research Institute, Ayurveda Center and Rural Development Institute, all under one roof, besides eight schools and colleges namely: Himalayan Institute of Medical Sciences, Himalayan College of Nursing, Himalayan School of Management Studies, Himalayan School of Science & Technology, Himalayan School of Bio Sciences, Himalayan School of Yoga Science, Himalayan School of Pharmaceutical Sciences.
Audit Objective	To evaluate the client's documented system, location & site-specific conditions and gather other details through discussions with the client's personnel to determine the organization's readiness for the Stage 2 Audit for Certification.
<b>Audit Duration for Stage 1</b>	
Are quoted man-days adequate?	Yes
Any change in employee detail?	No change
Any Change in Scope?	No change
Any additional Information:	Nil
<b>Changes in Client Details</b>	

## Stage 1 Audit Schedule

Meeting Opens 09.30-10.00am

Lunch Time 13.00-13.30pm

Reporting & Closing 17.30-18.00pm

Time	Function/Process Area (Process Owner)	Applicable Clauses	Team Leader	Auditor 1	Auditor 2	Technical Exp.
10.00-10.30 am	Site tour (Environmental Manager)		Y			
10.30-11.00 am	Leadership and Top Management (Top Management)	5.1, 5.2, 5.3, 6.2, 10.1, 10.3	Y			
11.00-11.30 am	EMS Documentation (Environmental Manager)	4.1, 4.2, 4.3, 4.4, 5.2, 6.2, 7.5	Y			
11.30-12.00 pm	Internal Audit and MRM Process (Top management/Environmental Manager)	9.2, 9.3, 10.2	Y			
13.30-15.30 pm	Process for Action Address to Risk & opportunities & Objective Achievement Planning (Environmental Manager)	6.1.1, 6.2.2	Y			
15.30-17.30 pm	Resource Planning & Communication Process (Admin Manager)	7.1, 7.4	Y			
17.30-18.00 pm	Briefing on Day 01 outcomes		Y			
	Day 02					
9.30-11.30 am	HR Process (HR Manager)	7.1, 7.2, 7.3	Y			
11.30-13.00 pm	Environmental Aspects (Environmental Manager)	6.1.2, 6.1.4	Y			
13.30-15.00 pm	Evaluation of Compliances & Legal Requirement Process (Environmental Manager)	6.1.3, 9.1	Y			
15.00-17.30 pm	Operational Planning & Control Process (Environmental Manager)	8.1, 8.2	Y			
	Common Clauses: 5.2, 6.2, 7.2, 7.3, 7.4, 7.5, 8.2 for All above Processes					

### VERIFICATION OF DOCUMENTATION & RECORDS AS PER STD REQUIREMENT

(C- Conformity, Major NC- Major Non Conformity, Minor NC- Minor Non Conformity, O- Observation, E- Exclusions)

Is the Information is documented as required as per the ISO 14001:2015 ?	C	<p>Determination of the organizational context is being done .Internal factors:CompetenceSpaceValuesCulture Tools and Equipment technologyadministrationInternal communicationteaching AidsJob security (termination)behavior of staff Working practicesNatural Recourseswaste generation and waste disposalPower supplyAdministration-issue- administration is focused towards the healthy environments within the organization (POSITIVE)External factors:LegalStudentexternal ProviderSecurityTechnologyUGC Emergency controllerExternal AgencyTECHNOLOGY-ISSUE- New and advanced technologyDetermination of the interested parties with their needs and expectations is being done as related to the education.Director/OwnercorporateEmployeesStudentNeighbor/communityLocal /county /other legal regulator/Education BoardState government/environmental regulator Federal governmentLocal emergency responder(fire department/medical responder)SupplierExternal agency (calibration)Security Services Maintenance servicesLocal /county /other legal regulator/Education Board- Complies with city/country/UGCLocal emergency responder (fire department/medical responder)- Communicate to all for emergency ,safety plan and maintain proper handling of fire explosive materialRisk assessment has been done process &amp; activity-wise with the prevention of undesirable effects .Factor-CompetenceExpected result-work force is competentuncertainty-existing workforce not trainedrisk-mediumopportunity- opportunity to trained teamControl point- provide training to existing teamEnvironmental policy is being established, documented, implemented and maintained found complying.</p>
Has the discussion held with personnel of the Client company for readiness for stage 2 ?	C	Yes, discussion held with EMS leader along with Vice Chancellor for readiness for stage-2 audit and found satisfactory.
Has the Client site specific conditions are evaluated ?	C	<p>University has office for Registrar, staff, campus, classroom, toilets, library, laboratory, playground, meeting room, canteen and other amenities.University also has Fire extinguishers, fire alarm, smoke detector.Safety measure equipment and are adequate. First-aid box available. Security system is well established, Security guard available on entry gate, CCTV camera .Desktop projector available.In the office and classrooms Proper humidity, electricity, lighting, air, space, ventilation are provided.University has specious class rooms with black board, benches and desk (as per no. of students). Canteen is clean and hygienic. R.O water available for drinking purpose.The University has specious class rooms with black board, benches and desk (as per no. of students). Canteen is clean and hygienic. R.O water available.First-aid box available</p>
Has the company identified key performance, Process, Objectives, Impact and Aspect analysis and operation of Management System ?	C	<p>Established the procedure for identification of Objectives, targets and programmes .Established objectives &amp; targets, , for all employees defined designation-wise and communicated through external and internal trainings.Objective evidence verified below: -1. Conservation of paper 3% as compare red to previous year 2. Training of all staff to improve employee awareness of environmental issues by next quarter.3. Save electricity bill 5 % as compared to previous yearEstablished the procedure for identification &amp; evaluation of environmental aspects P-02.Established the procedure for review of new processes, activities &amp; materials P-03 verified.Established planning for identification of environmental aspect &amp; impact document as Appendix-IX.Aspect and Impact Register, maintained having environmental aspects &amp; impacts for all the activities.ACTIVITY-HOUSEKEEPINGPresent Control Measures in Place: To maintain the work area in neat &amp; tidy condition housekeeping is done.SIGNIFICANCE SCORE = SEVERITY FACTOR ? (PROBABILITY FACTOR + CONCERN FACTOR) + (IF LEGAL IMPLICATION IS INVOLVED)ASPECT- Generation of Waste (Housekeeping)CONDITION-NENVIRONMENT IMPACT- Air ContaminationRISK ASSESSMENT-SEVERITY-1PROBABILITY-4CONCERN-1LEGAL IMPLICATION-0SIGNIFICANCE SCORE-5PRESENT CONTROL MEASURE- Housekeeping to be done after spraying water in the area to prevent dust. ACTIVITY-OFFICE WORKPresent Control Measures in Place: HR Department rules and regulations.ASPECT- Use of Printers, Xeroxing and FaxingCONDITION-NENVIRONMENT IMPACT- Depletion of natural resourcesRISK ASSESSMENT-SEVERITY-1PROBABILITY-4CONCERN-0LEGAL IMPLICATION-0SIGNIFICANCE SCORE-4PRESENT CONTROL MEASURE- Printers, Faxes and Xeroxing are to be used in controlled manner.Papers are to be used in controlled manner to prevent unwanted use.</p>
Has the client having understanding with the ISO 14001:2015 Standard requirement ?	C	Client has good knowledge of the standard requirements. Discussion held with the EMS leader and Vice Chancellor of the organization found satisfactory.
Is the scope is having boundaries and specific to client organization?	C	Determination and documentation of the scope of the environment management system is being done in EMS manual ( verified.The scope is "PROVIDING EDUCATION UNDERGRADUATE (UG), POSTGRADUATE (PG) AND DOCTORAL DEGREE PROGRAMS, RESEARCH, PHD AND HEALTH CARE SERVICE.Education activities, support activities and outsourced activities are considered in determining the scope found satisfactory.Scope verified in the EMS manual and found ok.
Is client having Multisite then level of control is established.	C	Organization is having single office.
Is process and Equipment used are adequate?	C	Established the procedure for identification of resources .Adequate resources are being provided (men, machinery and materials).List of machine .Preventive maintenance .Breakdown maintenance List of monitoring and measuring equipment
Has client identified Legal and Statutory Requirements applicable to Product and Organization?	C	Established the procedure for identification of legal and other requirements as P-04.Established legal and other requirements register L-01.PAN: AAAJH0463LGSTIN: 05AAAJH0463L1ZC Affiliated from University Grants Commission- No.8-18/2013(CPP-I/PU)
Is the resource are adequate for stage 2 audit?	C	Established the procedure for identification of resources P-06. Adequate resources are being provided (men, machinery and materials).
Is Internal Audit planned and performed and effective?	C	Established the procedure for Internal audit.Internal audit plan ,Internal audit schedule ,List of Internal auditors,Internal audit check list ,Internal audit report ,NC report.Frequency is six months as per procedure.Last Internal audit conducted and found effective.
Is MRM planned and performed and Effective?	C	Established the procedure for management review meeting .Frequency of MRM is half yearly as per procedure.MRM schedule MRM notice MRM agenda Minutes of meeting MRM conducted found effective. Last conducted on scheduled date.

**Observations Areas Of Concerns Which May Be Identified As Non Conformities During Stage 1 Audit**

<b>Observation 1.</b>	Nil
<b>Observation 2.</b>	Nil
<b>Observation 3.</b>	Nil
<b>Observation 4.</b>	Nil

**Summary**

**SUMMARY (including general observations/comments)** Ready For Stage 2 Audit.

## Recommendation

Recommended Proceeding With Stage 2 (within 60 days from this audit date subject to closing of NC, if any)	Yes
Recommend not proceeding to stage 2 until audit evidence has been submitted to MMS showing that the concerns raised by the auditor (s) have been rectified. A date for stage 2 will then be agreed.	NO NC FOUND
Recommend not proceeding without a further stage 1 Audit due to the severity of the concerns raised by the audit team	NA

## Non Conformities Raised

Major 0 Total CAR - [ 0 ]

Minor 0

Non conformance identified in the Stage 1 audit, details of Non Conformance in CAR From (MMSF50)

(Note: the detailed NC is to be submitted and accepted by the client on MMSF50)

Please respond by using your own corrective action form and include the root cause analysis with systemic corrective action. Failure to include root cause analysis with systemic corrective action will result in your responses being rejected by Team Leader

## Attachment ( Attendance Sheet )

S.No.	Name	designation	Opening Meeting	Closing Meeting
1	Mr. Rajpal Singh Rawat	Deputy G.M	Y	Y
2	Mr. Abbas Hussain	Lead Auditor	Y	Y
3	Mr. Girish Uniyal	Head (E&M)	Y	Y
4	Mr. S.L.Bhatt	Asst. Engineer (Electrical)	Y	Y
5	Mr. Devendr Sharma	J.Archit	Y	Y
6	Mr. V.K.Uniyal	AOS	Y	Y
7	Mr. Praveen Maurya	JOA	Y	Y
8	Sidharth Pandey	Team Member	Y	Y
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## Proposed Stage 2 Audit Schedule

Starting Date 30/4/2024

## Objective of Stage2 Audit

To verify the implementation of the Environmental Management System as per the Standards Requirement, verification of records for the conformity of the implementation.

## Criteria

1. Audit will be conducted based on ISO 14001:2015 and the requirements of a defined normative document on Environmental Management System.
2. The defined processes and documentation of the Environmental Management System developed by the client.

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Reporting & Closing 17.30-18.00pm

S.No.	Time	Function/Process Area (Process Owner)	Applicable Clauses	Team Leader	Auditor 1	Auditor 2	Technical Exp.
1	10.00-10.30 am	Site tour & Previous audit findings (Environmental Manager)		Y			
2	10.30-13.00 am	EMS Documentation (Environmental Manager)	4.1, 4.2, 4.3, 4.4, 5.2, 6.2, 7.5	Y			
3	13.30-15.30 pm	Leadership and Top Management (Top Management)	5.1, 5.2, 5.3, 6.2, 10.1, 10.3	Y			
4	15.30-17.30 pm	Internal Audit and MRM Process (Top management/Environmental Manager)	9.2, 9.3, 10.2	Y			
5	17.30-18.00 pm	Briefing on Day 01 outcomes		Y			
6		Day 02					
7	09.30-13.00 pm	Process for Action Address to Risk & opportunities & Objective Achievement Planning (Environmental Manager)	6.1.1, 6.2.2	Y			
8	13.30-17.30 pm	HR Process (HR Manager)	7.1, 7.2, 7.3	Y			
9	17.30-18.00 pm	Briefing on Day 02 outcomes		Y			
10		Day 03					
11	9.30-13.00 pm	Resource Planning & Communication Process (Admin Manager)	7.1, 7.4	Y			
12	13.30-17.30 pm	Environmental Aspects (Environmental Manager)	6.1.2, 6.1.4	Y			
13	17.30-18.00 pm	Briefing on Day 03 outcomes		Y			
14		Day 04					
15	9.30-13.00 pm	Evaluation of Compliances & Legal Requirement Process (Environmental Manager)	6.1.3, 9.1	Y			
16	13.30-17.30 pm	Operational Planning & Control Process (Environmental Manager)	8.1, 8.2	Y			
17		Common Clauses: 5.2, 6.2, 7.2, 7.3, 7.4, 7.5, 8.2 for All above Processes					
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- Auditing is based on a sampling process of the available information
- Audit is combined, joint or integrated;
- The effectiveness of corrective actions taken regarding previously identified
- nonconformities has verified
- outcomes are effective and complying.
- The internal audit and management review process are effective and complying with the requirements.
- The scope of certification is appropriate.
- The capability of the management system to meet applicable requirements and expected
- The audit objectives has been fulfilled and achieved.

**Sign Off :**

**MMS Reports Submission :**  I Abbas Hussain Team Leader prepared and completed the stage 1 report.

**Client Acceptance :**  I Mr. Rajpal Singh Rawat Position Deputy G.M Acknowledge And Accept The Stage 1 Report. Date 20/04/2024