



AIMS INSTITUTES
Peenya, Bangalore

Internal Environmental Management Systems Audit and Gap Analysis -1

25th NOVEMBER 2020

Management Representative:

Dr. KIRAN REDDY

MBA, MA, PGDCA, PhD

Principal and CEO - AIMS INSTITUTES

Consultant Lead Auditor: RAM RAMISETTY,

Certified Auditor - ISO 14001:2015 (EMS)

MS (Environmental Engineering, USA)

Ph.D. Scholar (Solid Waste Management and Circularity)

GIRISH R. VISVANATHAN (IGBC Fellow)

Director, Earthonomic Engineers Pvt Ltd.

Associated with SAGE Sustainability (External Consultant)

For Acharya Institute of Management & Sciences

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www.sagesustainability.in

Evoma Business Centre, 88, Borewell Road, Whitefield, Bangalore - 560066

+91 900 803 2731

contact@sagesustainability.in

To Whom It May Concern:

This audit report was prepared by Ram Ramisetty, MS Environmental Engineering, USA and Girish Visvanathan, Instrumentation Engineering, and Post-Graduate from BITS, Pilani, IGBC Fellow, with an experience of Green Audits, over 43 Green Buildings (IGBC and LEED), ESTIDAMA (UAE) Energy Efficiency, Green Product Evaluation, ECBC- India, GreenCo and multiple other environmental projects. Both Girish Visvanathan and Ram Ramisetty have experience to conduct the audit and make observations which was conducted in the month of November 2020.

The Institute is inclined to have the best practice in green and environmentally friendly operations as well as best practices socially to encourage the best practices. The COVID disruption did create an obstacle for a more rigorous audit which reflective of actual situations with full occupancy.

I recommend that the college should go for a full green audit while the campus is fully occupied.

All the information in this report is accurate to the best of my knowledge.



for Acharya Institute of Management
& Sciences


Principal

Dr Shashi Kad,
CEO, SAGE Sustainability
Evoma Business Centre,
Bangalore-560066

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Karnataka, India

Introduction:

AIMS Institutes was established in the year 1994, beginning with two Undergraduate programs with approximately 60 students and currently offers six Postgraduate, ten Undergraduate. And two 2 PhD Programs having around 2000 students on campus.

AIMS is accredited 'A' Grade by NAAC with the highest score of 3.46 out of 4 for an institution that is being accredited for, the first time. AIMS School of Business programmes are accredited by IACBE which is an international accreditation body for Business Schools.

Apart from being consistently ranked among Top 1% of B-Schools in India in various leading surveys, AIMS has also been rated as best college for Entrepreneurship Education in India and ISB, Hyderabad has selected AIMS as a local delivery partner for the global Goldman Sachs 10,000 Women Entrepreneurs Development Program.

AIMS has demonstrated a keen interest in establishing the framework for implementing Environmental Management Systems with an intent of obtaining ISO 14001:2015 certification, which demonstrates the top managements' keenness in protecting the environment and providing an eco-friendly campus to its students, faculty and staff.

Summary:

An EMS Internal audit cum gap analysis was conducted on 25th November 2020, where in the Management Team led by Dr. Kiran Reddy, the CEO and Principal of AIMS Institutes. The current set-up of the management team consists of the following members:

| # | Designation | Name | Responsibility |
|---|-------------------|-----------------------|---------------------------|
| 1 | CEO and Principal | Dr. Kiran Reddy | Management Representative |
| 2 | Asst. Professor | Prof. Kiran Sharma | Co-ordinator |
| 3 | Asst. Professor | Dr. Javad Ghalambor | Member |
| 4 | Asst. Professor | Prof. Bhaskar Sailesh | Member |
| Other team members are included as and when required. | | | |

At the time of the internal audit, the attempt was to set a framework for establishing the Environmental Management Systems in place and more importantly identifying the gaps as per the International Standard, ISO 14001, Third edition - 2015.

Each of the 10 applicable elements were assessed and the initial gaps and requirements to fill these gaps were identified. The Plan, Do, Check and Act (PDCA) concept was utilized during the assessment,

AIMS Institutes has established numerous controls to prevent Environmental Pollution and to protect the Ecology and ensure that sustainable and workable controls are established but, has not officially recorded them. Some of the **positive** examples include:

- Efforts in Recycling
- Reduction of paper usage by incorporating double sided printing
- Waste segregation (Wet V/s Dry)
- Monitoring fuel consumption of the Institute's transportation infrastructure
- Ensuring regular maintenance and emission testing of the transportation fleet
- Incorporating concepts of a clean, green and well-maintained campus
- Periodic Potable water testing to ensure compliance with applicable standards
- Discouraging the usage of Plastic on campus
- Actively participating in Corporate Social Responsibility programs such as diverting all used paper to companies such as ITC for recycling and donating library books to other needy organizations.
- Holding awareness sessions on Environmental and Sustainable Issues.

The above attempts and endeavors demonstrate a strong commitment from the Management while it is leaning towards establishing a full-fledged EMS which may lead to application for ISO 14001 Certification at a later stage, as decided by the top management.

In all, five non-conformances and twelve observations were identified based on the applicable standard, the non-conformances may be easily corrected by establishing the necessary administrative controls. almost all of them (as explained in the table below) pertain to establishing the basic frame-work and administrative infrastructure and properly dedicated and competent resources for each of the elements of the standard.

Top management requires to be actively involved and participate in periodic EMS review meetings in order to ensure conformance to the various clauses and elements in the standard and also encourage continual improvement (which is a requirement).

AIMS Institutes is highly encouraged to identify their top Environmental Aspects and the resulting Impacts from its' activities and initially identify the critical, easy to achieve ones, which would bring about visible changes and alleviate the impacts on the environment (Air, Water, Ground and Human Resources). Participating in more CSR programs and incorporating regular Environmental and Sustainability awareness sessions are highly encouraged.

The auditee is also required to record, maintain, continually improve and demonstrate their Management Systems and CSR efforts. Following are the preliminary list of findings that the organization is required to focus on:

OBSERVATIONS AND FINDINGS

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| # | Relevant Clause or Section from ISO 14001 Standard) | Requirement | Action Required | Category | Action taken or planned to address the categories |
|---|---|--|--|-----------------|---|
| 1 | 1 | Identify Scope for Implementation | It is recommended that only the Institute's campus and all associated activities such as transportation, etc., are included at this point. | Observation | |
| 2 | 5.1 | Leadership and Commitment | There are 9 sub-clauses (a to i) that shall be carefully looked at and a short paragraph confirming AIMS will conform to these should be made in your EMS file. | Observation | |
| 3 | 5.2 | Environmental Policy | Although evidence of random documents such as the Green campus policy was evidenced, the organization lacks the basic requirement of a formal Environmental Policy that is signed by the Head of the organization. All the five sub-clauses of the policy requirements shall be covered in your Environmental policy. This is the foundation for the EMS you will be establishing. | Non-conformance | |
| 4 | 5.3 | Organizational roles, responsibilities and authorities | Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization. Roles, responsibilities shall be clearly | Observation | |

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| | | | delineated and assigned. The assignees shall be designated as the EMS team and work in tandem. | | |
| 5 | 6.1.2 | Environmental Aspects | The organization shall diligently list out all the activities by categories. For example: offices, Transportation, consumables, maintenance, waste management, kitchens and canteen, first-aid room, etc. each of these activities or 'Aspects' shall be listed in a controlled and documented form. This shall be considered a working document and be reviewed during periodic EMS meetings by top management. | Non-conformance | |
| 6 | 6.1.2 | Environmental Impacts | The organization shall clearly identify, for each of the aspects identified above, the harmful impact/s caused by them on air, water and ground and tabulate them along with the above aspects in the same list. | Non-conformance | |
| 7 | 6.1.2 | Resources | Identify and designate dedicated resources to address each of the aspects and impacts within a reasonable timeframe. | Observation | |
| 8 | 6.2.2 | Planning actions to achieve environmental objectives | Based on your identified impacts, AIMS has the liberty to prioritize which impacts are vital to address first and prioritize the list. Again, | Non-conformance | <i>Pran</i> |






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| | | | you have the liberty to address any number of impacts as long as you have set a reasonable time-frame. | | |
| 9 | 6.2.1 | Environmental Objectives | <p>For each of the aspects and related impacts, document your objectives and related targets (for example, reduction in paper waste or reduction of fuel usage, etc.) Your Aspects-Impacts-Objectives-Targets-Targeted dates – impact category (Air, Water ground) must be clearly recorded and documented.</p> <p>The environmental objectives shall be:</p> <ul style="list-style-type: none"> a) consistent with the environmental policy; b) measurable (if practicable); c) monitored; d) communicated; e) updated as appropriate. | Non-conformance | |
| 10 | 6.2.2 | Planning actions to achieve environmental objectives | <p>When planning how to achieve its environmental objectives, the organization shall determine:</p> <ul style="list-style-type: none"> a) what will be done; b) what resources will be required; c) who will be responsible; d) when it will be completed; e) how the results will be evaluated, including indicators for monitoring progress toward achievement | Observation | |





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| | | | of its measurable environmental objectives. | | |
| 1 1 | 7.2 | Competence | The organization shall: a) determine the necessary competence of person(s) working on its environmental performance and compliance obligations; b) ensure that these persons are competent on the basis of appropriate education, training or experience; c) determine training needs associated with its environmental aspects and its environmental management system; d) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness | Observation | |
| 1 2 | 7.3 | Awareness | AIMS shall ensure that the EMS team is knowledgeable of: a) the environmental policy; b) the identified significant aspects and related actual or potential environmental impacts; c) their contribution to the effectiveness of the EMS, including the benefits of enhanced environmental performance; d) implications of not conforming with the EMS requirements, | Observation | <i>Lucas</i> |



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| | | | including not fulfilling the organization's compliance obligations. | | |
| 1 3 | 7.4 | Communication | The policy, significant aspects and their related impacts along with the targets to mitigate these impacts shall be communicated to the entire organization (AIMS), including the students. | Observation | |
| 1 4 | 7.4.3 | External Communication | AIMS shall respond to any external agency/interested parties/individuals that are interested in any part of the EMS. This is obligatory. | Observation | |
| 1 5 | All clauses of 7.5 | Documentation | AIMS shall ensure that all general requirements such as the nature, size, obligations, interactions of the organization are officially documented. It shall also ensure creating, periodic updating and controls on the documentation are strictly followed. | Observation | |
| 1 6 | 8.1 (d) | Operational planning and control | AIMS shall consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services. <i>Suggestion: The easy way to achieve this target</i> | Observation |  |



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|----|-----|-------------------------------------|--|-------------|--|
| | | | <i>is go back and review your aspects/impacts and their associated objective and targets.</i> | | |
| 17 | 8.2 | Emergency preparedness and response | <p>shall establish, implement and maintain the process(es) needed to prepare for and respond to potential emergency situations identified by the EMS committee. Examples include Fire, Chemical Spills, fuel leakages from transportation vehicles,</p> <ul style="list-style-type: none"> a) AIMS must ensure adequate number of fire extinguishers and proper signage and their monthly inspection is in place. b) A basic spill kit in the lab is also recommended. c) Access, egress and escape routes in case of a fire or an emergency incident must be | Observation | |





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| | | | <p>clearly posted in strategic areas.</p> <p>d) Communication of the emergency preparedness and controls shall be communicated to all members of the AIMS campus</p> <p>e) The emergency systems shall be inspected/tested at least once every six months as per the local legal requirement.</p> | | |
| 18 | 9.1.2 | Evaluation of compliance | The AIMS EMS committee and top management shall meet periodically, on a regular basis and evaluate compliance with the Management Systems implementation and progress. It is vital for the top management to be involved in this process. | Observation | |
| 19 | 9.2 | Internal audit | An EMS audit committee must ensure Internal audits are conducted every 6 months, be unbiased and any | Observation | <i>[Signature]</i> |



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|----|------|-----------------------|--|-------------|--|
| | | | non-conformities shall be addressed immediately; all internal audits shall be documented and recorded. | | |
| 19 | 9.3 | Management Review | A periodic (at least yearly) top level management review of the EMS performance shall be conducted, and any discrepancies shall be immediately addressed. | Observation | |
| 20 | 10.3 | Continual Improvement | AIMS shall demonstrate that they review their aspects and impacts, establish objects and targets accordingly, One of the major requirements of an EMS is to demonstrate continual improvement. | Observation | |

Finally, the auditor thanks the Management Representative, Members and participants of the audit team for their complete support, transparency and keenness in establishing the systems. The support extended during the internal audit/Gap analysis was commendable.

The auditee may contact the auditor at any time for clarifications or suggestions for implementation of the EMS program. Wishing the organization all the best in their efforts.

Sincerely,

Ram Ramisetty
Certified Lead EMS Auditor (ISO 14001/ISO 45001)
Contact: +91 7022012606 (Bangalore) /+971 56 291458 (Dubai)
E-mail: ram.ramisetty@gmail.com

Girish Visvanathan
IGBC Fellow,
Director, Earthonomic Engineers
girish@earthonomic.com

for Acharya Institute of Management
& Sciences

Principal

Consulting Assignment with SAGE Sustainability.