

24/05/2022

Internal Audit of Mumbai branch

Opening meeting.

* Last year Audit closure.

✓

Samplings / Grey Area.

* Coordination

o Training

* Methodology

Last Year Audit Report

OK.

✓ 1 observation, 1 OPL. - purchase order.

✓ Cost sheet is not uploaded in Times/observation Recorded in Last Audit Report. - Observation.

✓ Monitoring observations shared through EOE.

✓ IVR - 010101194421/58-1 Rev. 01 Dt: 13/05/2022

Conclusion mentioned as IRN can be issued but IRN not yet issued till. (Masl) → NC-① Ames Asia Acquisition Corporation. - Client

Gemsons Precision Engineering - Vendor.

Single Visit Report / Multiple Po's from coordinator.

Call Received on 12/05/2022. / 10.05.2022 from client

Documents Received by co-ordinator

Verify scope (Email Dt.: 09.09.2021)

Timestamp
Tibbles camera was not used.

Call Register Format Not used by co ordinator.

✓ Mayank Pandya competency matrix - OK.

No of Inspection Reports - 102 Reports.

② Project QA Not Identified the reporting errors.

✓ Call coordination dynamic.

② Dynamic - client, vendor - Nexus Forge, Observation

Call received on 5/4/2022 for 8 & 09/04/2022

Confirmation given on 7/4/2022 for one day only.

② Mentor was not marked a copy during call

✓ Confirmation - NC - ②

② Inspection records was not Recorded correctly - NC

✓ 33 pages signed but he mentioned 35 pages.

② Inspector also not marked a copy to mentor.

✓ 14 (Parag Dholkar) - Fittings. ↗ Observation
23/03/2022, Inspection Date : 16 to 29/03/2022

Conceptual Advisory Services - Client

Aquarius Engineers Pvt. Ltd. - Vendor

Shree Samarth Engineers - Sub vendor.

Vendor PO & Sub vendor PO ^{are} ~~some~~ ^{same} Mukund Jaytap)

NC (Timestamp camera.) ↵ March 2022

Rohit Barge
Ranikumar Vishad.

③ ◉

Complaint Register

Attributable

APR 2022 - 6

2.

- ✓ Acceptance of Any mistake, Approval of cluster head must be obtained. - NC. (④)

Warning letter issued in some cases and marked to HR also. All complaints with lesson learnt shall be circulated to all branches

Personal files

~~Training Effectiveness & Safety~~

~~due to~~

1. Ranikumar Nishad - vision certificate ~~not valid~~.

Induction training Ro used RI on 03.2018

2. Rohit Barge - F-MR-P2 - Pending.

↳ observation.

3. Mukund Jayap -

④. Parag Dholkar -

Enquiry Register

1. Balaji Formation - Signed Quotation & F/MR/27 RS 15 not available

24/02/2022 | Venus Pipes & Tubes, ^{not taken.} Dhanchi.

Burakia Industries.

call analysis

Delay analysis has to be carried out.

~~Backup~~ data not available.
Correct

To check

- ✓ 1. Monitoring plan
- ✓ 2. Mentor mentee lost
- ✓ 3. competency matrix
- ✓ 4. onsite & offsite Reports.
- ✓ 5. Training calendar
- ✓ 6. Email Reference for Training
- ✓ 7. Attendance , Effectiveness by quiz
- ✓ 8. Work completed Review .
- ✓ 9. IRN Delay backup data .
- ✓ 10. IVR Submission
- ✓ 11. Process measures backup data .
- ✓ 12. Revised Reports Backup Data .

1) old contract Renewals maintenance

2)

25/05/2022Internal Audit of Mumbai branch

- ① Customer Feedback 20-21 & 21-22 verified
Feedback from same customer not obtained.
✓ This is required for Analysis - OFE.
Whether we are satisfying the customer or not?

Customer Complaint Analysis.

2020-21	12107	46	0.37
2021-22	26301	51	0.19.

- ② Training calendar Verified. - Communication & Quiz & Attendance Sheet (online). - OFE.

- ✓ Delay of inspection calls - Target is not specified however branch attended 90% of inspection calls within Target of time.

- ③ Monitoring Plan was Available in some other format. Priority wise :- Not in Standard Format

- ④ Call summary Revised Report Analysis taken from TIMES but manual trend EVR/IRN Revised history is not available. — observation

- ⑤ Onsite Monitoring - comments, observations, suggestions are not there. — observation.

- ⑥ Offsite Monitoring Reports not in the format F/MR/18 B. — observation.

- ⑦ Work Review not carried out — observation.

N.C.

Date: _____

⑧ Raj Engineering / Vilas Marathe 18/10/2021.

No 8 01 & 08 Pre Inspection meeting

MOM not available with co-ordinator.

→ Visit Report Submitted on 22/10/2021.

→ Reports were not uploaded in TIMES. (2021-325663)

⑨ Fabtech Works, Morbad / Vilas Marathe

18/09/2021 No 8 06 16/09/2021.

Ultrasonic thickness gauge 6883 - 9160

Due date mentioned 01.09.2021
due for calibration

Visit Report - EVR - 8119285613 - T. EN -

Fabtech works - 201794 - 012119 - Sr.no.04

Rev.00 Dt: 18/09/2021. / call no.: 2021-318923
EVR not uploaded.

⑩ Godrej & Boyce, Vikroli, D02 - 23.03.2022

Amol pahare.

Visit Report Submitted on 23/03/2022.

Calibration Details not mentioned in IVR.

Report partially prepared in TIMES.

Not uploaded in TIMES. (2022-051694)

NCP 5 Nos. Observation - 10, OPL - 3

TUV INDIA PVT LTD
INSPECTION SERVICES
CONSOLIDATED INTERNAL AUDIT FINDINGS
Dec 2021 – Apr 2022 (13 audits)

*Document
Supersedes
Date not
available*

- ✓ 1. Revision of reports without reason of revision and new revision number. - OK.
- ② Date of action is not recorded in Complaint register.
- ✓ 3. Monitoring of Electrical inspector is not carried out. - *verified for Narayana Pharma*
- ✓ 4. Client acceptance of Quotation Terms and Condition is not available. Review of the terms and condition in PO by client is not done to check whether PO terms and conditions are in line OR not in line with TUV India Terms and Conditions.
- ✓ 5. Visual acuity Certificate is not available for the inspector.
- ✓ 6. Call Register is not updated for receipt of IVR /IRN, receipt of complaints. - *co ordinator/Not available*
- ✓ 7. While scheduling the call, reference documents to be provided to inspector by coordinator. These reference documents were not asked by coordinator to the client and were not provided to inspector.
- ✓ 8. Monitoring carried out but no observations are recorded. It shows ineffective monitoring.
- check - ✓ 9. In complaint register effectiveness of corrective action was not recorded / not checked. - *check.*
- ✓ 10. For attributable complaints, warning letter was not issued. - *OK*
- ✓ 11. Monitoring plan was not made. - *Available but in different format.*
- ✓ 12. Contract found expired and not renewed / extended.
- check - ✓ 13. After inspection carried out, all reference documents with reports should be available with coordinator. The reference documents were not available.
- ✓ 14. All the reports should be prepared in TIIMES unless it's client's format OR permitted by PCH. Reports were prepared outside the TIIMES. - *Ames Asia Report prepared outside TIIMES.*
- ✓ 15. Calibration certificate was not available for the measuring equipment. - *OK*
- ✓ 16. Quarterly Periodic Project review was not carried out.
- ✓ 17. No evidence was found for Call Summary Process Measure.
- ✓ 18. Lost Order analysis was not carried out. - *common reasons for order lost of 45 cr. each order lost reasons and those*
- ✓ 19. Quotations were registered in TIIMES with backdate. - *Not available.*
- ✓ 20. All complaints as originating branch were not maintained. Only complaints as executive branch were recorded in call register. -
- ✓ 21. For the process measure of timely issuance of IVR / IRN, evidence of backup data is not available.
- ✓ 22. For all inspectors, three days of training mandated by training procedure, is not completed.
- ✓ 23. Enquiry register is not maintained and updated.
- 24. Difference found in Pricing submitted in Quotation and Pricing submitted in TIIMES.
- ✓ 25. To award authorisation level, F/MR/34, F/MR/13 should be updated properly and based on these format Authorisation level should be awarded in F/MR/15. For awarding authorisation level, proper procedure was not followed / It was not evident that authorisation level was awarded on proper criteria.
- ✓ 26. While checking calibration certificate, it is found that instrument is not suitable for the intended measurement.
- ✓ 27. Training calendar is not prepared.
- ✓ 28. Evidence of training given is not available

- ✓ 29. The basis / criteria for the training should be the lesson learnt from the complaints, observations of Onsite/ Document monitoring, KRA. It is not evident that the training was scheduled based on any criteria / basis.
- ✓ 30. Organisation Chart for the branch is not available.
- ✓ 31. Calls are not raised in TIIMES. For the call report is prepared outside the system. - Ames
- 32. Inspector had not referred to latest revision of Standards.
- 33. Diary is not maintained for the inspection carried out. Test results are not recorded in diary.
- ✓ 34. RCA, CA, LL in complaint register are not written properly and are not comprehensive.
- ✓ 35. On-job training is not provided at the time of induction training.
- ✓ 36. In TIIMES, Quotation is uploaded in place of PO. Cost Sheet uploaded is wrong.
- ✓ 37. Client has not given acceptance / PO for the Quotation and the job was started / inspector was deployed.
- ✓ 38. Coordinator is not uploading details of Client and other information in TIIMES. When inspector is generating reports in TIIMES, these field are populated with wrong information OR they are blank.
- ✓ 39. The CV submitted by the inspector is not available.
- 40. Inspectors are not aware about their authorisation level.
- 41. In F/MR/15, inspector is awarded with wrong scope.
- ✓ 42. PCQA informed that Offsite monitoring is completed. F/MR/18B for offsite monitoring is not filled for any such monitoring.
- ✓ 43. Monitoring is not carried out for monitors.
- ✓ 44. One Onsite Monitoring per year is mandatory. Monitoring is not completed for all inspector.
- ✓ 45. If Order is closed, ceased to exist, same is not updated in enquiry register.
- 46. All enquiries are not registered in TIIMES. - Still Pending. - Observation ^{Enquiries are not available for analysis.}
- 47. Marketing MIS Data and Enquiry register data is not matching. Some order which are lost are not reported in MIS.
- ✓ 48. Enquiry review is not carried out.
- ✓ 49. Man-days asked in Enquiry and man-days in the quotation submitted are not matching.
- ✓ 50. Traceability of the PO to the Quotation and Enquiry is not evident.
- 51. Monitoring of the personnel carrying out Design validation is not carried out.
- 52. Contract Review after receipt of PO is not carried out.
- 53. Completed Project review is not carried out.
- ✓ 54. Records are not easily retrievable / traceable. Some support documents are not available.
- ✓ 55. In interview assessment, if the candidate is observed competent in other field than his discipline, it should be recorded in the F/MR/34 with proper evidences.
- ✓ 56. Internal Audit findings of earlier audits are not closed properly.
- ✓ 57. For replying the complaints, timeframe given in QP/MR/05 is not followed.
- 58. MRM should include – Internal and external issues (ISO 9001:4.1), Needs and expectations of interested parties (4.2), Risk and opportunities (6.1).
- 59. Contract Review objective evidence not seen in TIIMES or other records.
- 60. Proper hand over of technical knowledge during exit interview.
- 61. Trend charts for process measures for last 3 years at least.

OFI
 for Each Lost order analysis
 are not available.
 common reasons are there.

Observation
 No go decision Enquiries for which
 Quotation was not submitted
 Not available
 Not Recorded in Enquiry Register