# Orion Registrar, Inc. Audit Plan & Schedule

**Company Name:** Instituto Tecnológico de Toluca
**Type of Audit:** SR

**Audit ID:** 28675
**Audit Dates:** 06/19/2023-06/20/2023

## Company To Be Audited Information

**Management Representative:** Miriam L. Ramírez Rosas

**Address:** Av. Tecnológico S/N, Col. Agrícola Bellavista, Metepec, Estado de México C.P. 52149 México

**Phone:** (722) 208 7200

**E-mail:** sgc.rd@toluca.tecnm.mx

**Web page:** Not Specified

**Security Restrictions:** Not Specified

**Standard(s) Audited: ISO 9001:2015**

**Audit Structure:** Single Site

**Number of Personnel:** 116

**Number of Shifts:** 1

**ITAR:** False

**OEE Code: 7701**

**Certification Scope: Educational Process: Ranging from the Selection of Candidates, Registration, until the Delivery of Bachelor Degree** .

**Exclusion(s) or Exception(s) or Non-Applicable(s) to the Standard(s) currently in Hunter: 8.3**

The clauses listed apply to the standards as below:

| Standard | Clause | Exclusion or N/A or Exception? | | |
|---|---|---|---|---|
| ISO 9001:2015 | 8.3 | ☒ | ☐ | ☐ |
| | | ☐ | ☐ | ☐ |
| | | ☐ | ☐ | ☐ |

**Additional Sites**

If additional locations are included per Transmittal or need to be include in this audit (including temporary, ancillary, installation and construction locations) list these below. "None" means no additional sites need to be included in this audit.

| Additional Site Address(es): | Site Scope: |
|---|---|
| | |
| | |
| | |
| | |

Date Auditor verified that the *certificate and any site* scope(s) meet any and all standard-specific requirements: 06/05/2023

## Expected Outcomes

Clients are expected to be familiar with the applicable ISO/IAF Expected Outcomes for their standard prior to the Opening Meeting. For ISO 9001 and related standards (the AS standards, ISO 13485, ISO 14001, TL 9000), these can be found at the following link: https://iaf.nu/general_information/expected-outcomes-for-accredited-certication-to-iso-management-system-standards-such-as-iso-9001-and-iso-14001/

Other standards, including but not limited to R2 have their own documented Expected Outcomes.
**For electronic recyclers, please contact Scheduling if your number of downstream vendors has changed.**

## Audit Team

**Team Leader:** Leandro Rojas Gutierrez
**Audit Team Member(s):** Francisco "Jaime" Brito (Team Member (Being Witnessed as Team Member)), Leandro Rojas Gutierrez (Team Leader (Witnessing))
**Other:** NA

## Audit Objectives

The audit objectives for this audit are:

a) Determination of the conformity of the management system, or parts of it, with audit criteria.
b) Determination of the ability of the management system to ensure the management system meets applicable statutory, regulatory and contractual requirements.

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c) Determination of the effectiveness of your management system to ensure that you can reasonably expect to achieve its specified objectives.

d) As applicable, identification of areas for potential improvement of the management system.

## Logistics

Does the organization have more than 1 shift? No
If Yes, complete the following:

| Shift Name | Processes Conducted on this Shift | Shift Start Time | Shift End Time | Shift Included in This Audit Plan Yes/No | If no, Reason not Audited |
|---|---|---|---|---|---|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

Acceptable reasons include:
- The non-audited shift only includes processes which are outside the scope of this audit. This may include processes which are not included in the Audit Program for this audit.
- There is low risk associated with not auditing the unaudited shifts due to the level of control exercised over the processes done on the un-audited shifts. Controls should be included in reason documented above.

The working language of the audit is: Spanish / English

The Audit Team requires a private working space.

Guides are requested for each auditor to assist in the logistics of obtaining proper personnel, documentation, and observations to accomplish the audit objectives.

Any necessary additional resources will be discussed during the Opening Meeting. Please contact your Lead Auditor to discuss any special resource requirements.

Follow-up of previous audit actions, if applicable.

Any open Areas of Concern or Nonconformity Reports shall be reviewed during the audit.

Information reviewed during the audit and the resulting audit reports are confidential.

Date Audit Plan and Schedule was completed:
- 06/05/2023

Date Audit Plan and Schedule was revised: (if applicable)
- 06/05/2023

  

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## Schedule

The proposed schedule is contained below. The schedule may be changed before or during the audit activity to meet scheduling impasses or identified additional needs.
**For Aerospace Only**: Include in the schedule below **Review of OASIS Feedback** (Management Review Activity)

| If Remote - ICT | |
|---|---|
| % of the Activities Being Audited Remotely | |
| Include Tour of Facility | |
| Software and Hardware to be used in the audit | |
| If ITAR, list preferred secure platform | |

| Date | Auditor(s) | Time (Start – End) | **Process or Area** Must list either Process Audit Worksheet or Operations Sub-process. Clauses are not to be listed. |
|---|---|---|---|
| 06/19/2023 | Leandro Rojas | 8:50 | **Llegada a sitio** |
| | | 9:00 – 9:15 | **Reunión de apertura / Opening meeting** |
| | | 9:15 – 12:00 | **Management / Gestión (Liderazgo)**<br>***Alta dirección / proceso de calidad***<br>Liderazgo y compromiso.<br>· Enfoque al cliente<br>· Política<br>· Roles, responsabilidades y autoridades en la organización.<br>· Objetivos de calidad y planificación para lograrlos.<br>· Planificación de los cambios<br>· Comunicación<br>· Satisfacción del cliente<br>· Análisis y evaluación<br>· Auditoría interna<br>· Revisión por la dirección<br>· No conformidad y acción correctiva<br>· Mejora continua.<br>· Uso de logos. |
| | | 12:00 – 13:00 | **Vendor Management (Purchasing)**<br>***Proveedores***<br>· Comprensión de la organización y su contexto.<br>· Control de los procesos, productos y servicios suministrados externamente.<br>· Tipo y alcance del control.<br>· Información para los proveedores externos. |
| | | 13:00 – 14:00 | **Comida / Lunch** |
| | | 14:00 – 15:45 | **Operations (Service) / Operaciones (Servicio)**<br>***Proceso Académico*** *(*Reinscripción, Tutorías, Servicio Social)<br>· Provisión del servicio.<br>· Control de la prestación del servicio.<br>· Identificación y trazabilidad.<br>· Actividades posteriores a la entrega.<br>· Control de cambios.<br>· Liberación de los productos y servicios.<br>· Control de salidas no conformes. |

  

# Orion Registrar, Inc. Audit Plan & Schedule

| Date | Auditor(s) | Time (Start – End) | Process or Area<br>Must list either Process Audit Worksheet or Operations Sub-process. Clauses are not to be listed. |
|---|---|---|---|
| | | | · Seguimiento, medición, análisis y evaluación. |
| | | 17:45 – 18:00 | **Resumen del día 1** |
| | | 18:00 | **Fin del día 1** |
| Día 2 | | | |
| 06/20/2023 | Francisco Jaime Brito | 8:50 | **Llegada a sitio** |
| | | 9:00 – 13:00 | **Operations (Service) / Operaciones (Servicio)**<br>***Proceso Académico*** (Titulación, Vinculación)<br>· Provisión del servicio.<br>· Control de la prestación del servicio.<br>· Identificación y trazabilidad.<br>· Actividades posteriores a la entrega.<br>· Control de cambios.<br>· Liberación de los productos y servicios.<br>· Control de salidas no conformes.<br>· Seguimiento, medición, análisis y evaluación. |
| | | 13:00 – 14:00 | **Comida / Lunch** |
| | | 14:00 – 17:30 | **Infrastructure and Competency/ Infraestructura y Competencia (Apoyo)**<br>***(RH, Mantenimiento)***<br>· Recursos.<br>· Personas.<br>· Infraestructura.<br>· Ambiente para la operación de los procesos.<br>· Conocimiento de la organización.<br>· Competencia.<br>· Toma de Conciencia<br>· Control de la información documentada.<br>· Control de los cambios |
| | | 17:30 - 17:45 | · Tiempo de los auditores para preparar conclusiones |
| | | 17:45 - 18:00 | · Reunión de cierre / Closing meeting |

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## Distribution of Audit Plan & Schedule

### Distribution

**Company:** Instituto Tecnológico de Toluca

**Team Leader:** Leandro Rojas Gutierrez

**Audit Team Member(s):** Francisco "Jaime" Brito (Team Member (Being Witnessed as Team Member)), Leandro Rojas Gutierrez (Team Leader (Witnessing))

### Attachments

| |
|---|
| • Applicable Clauses for Processes |
| • |
| • |
| • |