



**ACADEMIC & ADMINISTRATIVE
AUDIT REPORT
2017-2018**



Prepared by: Internal Quality Assurance Cell

ANDHRA UNIVERSITY

VISAKHAPATNAM

530003

Andhra University is one of the oldest state universities in the state of Andhra Pradesh. Considering the merits of the University, the National Assessment and Accreditation Council of India has reaccruited at “A” Grade with a CGPA of 3.60 out of four point scale in 2016. The University got ISO 9001:2001 certification in 2006, ISO 9001:2008 upto 2017 and presently it possesses ISO 9001:2015 certification for its quality standards. It is the 1st general University in the country to have ISO certification.

Andhra University conducts internal and external academic and administrative audits annually. The office of IQAC conducts academic and administrative audits through its 20 trained internal auditors. The external audits are done annually by TUV SUD.

Academic and Administrative Audit enhances quality and continuous improvement leading to one of the best practices of Andhra University. The audits aim to identify any drawbacks or weakness in any department or section based on the observation of the trained internal auditors. They are reviewed by the Top Management regularly and the audit findings help the administration in implementing the necessary steps for quality enhancement.

1.Scope of the Internal AAA:

The audit process strictly adhered to a proforma structured by the IQAC for the evaluation based on NAAC criteria's as given:

- i. **Curricular Aspects:** Curriculum design, development, BOS, framing of COs, POs, PEOs, PSOs for each course and programs , Curriculum enrichment, feedback
- ii. **Teaching-Learning & Evaluation:** Student mentoring, student assessment, student diversity, Teaching learning process, usage of ICT enabled tools, evaluation process and reforms, Faculty profiles, Student learning outcomes
- iii. **Research, innovation & extension: Research facilities, papers published, patents, research projects**
- iv. **Feedback system**
- v. **Research**
- vi. **Infrastructure**
- vii. **Department Administration**
- viii. **Other academic-oriented activities**

PERIOD OF ASSESSMENT : 2017-2018

DATE(s) OF AUDIT: 23rd July 2018 to 3rd August 2018

2. The list of trained internal auditors and the departments to be audited are as follows:

The Internal Audit Committee and departments to audit by the auditors:

Team	Name of the Internal Auditor	Principal office/Department/others
A	Prof. P.K.Ratna Kumar Dept. of Biology	Anthropology
		Statistics
		Applied Mathematics
		Mathematics
	Dr. G.Naga Raja Dept. of Economics	Marine Engineering
		Biochemistry
		Engineering Chemistry
		Mechanical Engineering
B	Prof. N.V.E.S.Murthy Dept. of Applied Mathematics	Directorate of Admissions
		Human Resources Management
		Physics
	Prof. M.Vijaya Santhi Dept. of Mathematics	Nuclear Physics
		Geo-Engineering
		Electrical Engineering
C	Prof. M.Jaganadha Rao Dept. of Geology	Philosophy
		Principal office, College of Engineering
		School of Economics
		Chemical Engineering
	Dr. P.Suneeta Dept. of Meteorology & Oceanography	Biotechnology
		Microbiology
		Environmental Sciences
D	Prof. V.Girija Sastry Dept. of Pharmacy	Computer Science & System Engineering
		Journalism and Mass Communication
		Library Information Science
	Prof. K.Basavaiah Dept. of Chemistry	Dr.V.S.Krishna Library
		History & Archaeology
		Meteorology & Oceanography
		Instrument Technology
E	Prof. K.Srinivasa Rao Dept. of Civil Engineering	Humanities and Social Sciences
		Principal office, College of Pharmaceutical Science
		Psychology & Parapsychology
	Dr. Balaram Padal Dept. of Mechanical Engineering	Metallurgical Engineering
		Mechanical Engineering, Section for Women
		Sanskrit
	Prof. G.Girija Sankar Dept. of Pharmacy	Architecture
		Examination section, AU
		Electronics & Communication Engineering, Section for Women
		Electronics & Communication Engineering

F	Dr. P.Yedukondala Rao Dept. of Marine Living Resources	Fine Arts
		Social Work
		Sociology
		College of Arts & Commerce
G	Prof. K.Rama Sudha Dept. of Electrical Engineering	Engineering Mathematics
		Geography
		College of Law
	Dr. M.S. Anuradha Dept. of ECE	Engineering Physics
		Principal office,all sections for women
		Electrical Engineering & Civil Engineering A.U. Engineering College for Women
H	Prof. N.Kishore Babu Dept. of Commerce & Management Studies	Computer Science & System Engineering, Section for Women
		Music
		Telugu
	Dr. T.Anuja Dept. of Geography	Education
		Zoology
		Systems Design
I	Prof. T.V.K.Bhanu Prakash Dept. of Marine Engineering	Marine Living Resources
		College Development Council
		Principal office, Science & Technology
	Prof. V.Sridevi Dept.of Chemical Engineeirng	Civil Engineering
		Geo-Physics
		Geology
J	Prof. P.Vasudeva Reddy Dept. of Engineering Mathematics	Hindi
		English
		Politics and Public Administration
	Dr. K. Sita Manikyam College of Law	Human Genetics
		Botany
		Commerce & Management studies
		Organic Chemistry
		Physical and Nuclear Chemistry
		Inorganic & Analytical Chemistry
<p>Prof.D.Lalitha Bhaskari Dept.of Computer Science & Systems Engineering & Coordinator, IQAC</p> <p>The Office of IQAC, VC office & Registrar's office will be audited by senior Internal auditors</p>		

3. General Observations:

1. The University is one of the oldest and number one state university in Andhra Pradesh
2. The University accredited by NAAC with a CGPA of 3.60 in 2016 valid upto 7 years(cycle
3. Progressive vision of the Top Management with a definite plan of action following a decentralised and participative management.
4. Qualified and committed faculty members with rich experience
5. Most of the departments are funded by government agencies like DST, DBT, AICTE, DRDO, TEQIP
6. The University is RUSA funded
7. The University is ISO 9001:2015 certified
8. Departments function in alignment with the University Quality policies
9. UG Programmes-21; PG Programmes- 116, Integrated programs – 4, Ph.D-56, M.Phil - 43
10. Faculty members - 538
11. 95% faculty members are with PhD
12. Being a reputed Government funded state university, the demand ration is very high and student enrolment is always high
13. A total of 10199 students are studying in the campus and 2750 outgoing students during 2017-2018 .
14. Total Research centres – 13
15. JRFs, SRFs, Post Doctoral Fellows, Research Associates and other research fellows enrolled in the institution : 75

4. NCRs:

The Non conformities (NCRs) of all the departments are attached here

2018



ANDHRA UNIVERSITY

**AUDIT NON-CONFORMITY
REPORT**

**VISAKHAPATNAM
ANDHRA PRADESH**



ANDHRA UNIVERSITY VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMITY REPORT (NCR)

NCR No.: 2018/07/TM1

Dept./ Function : <i>Vice Chancellor</i> Responsibility :	
Audit No. :	Date of Audit : <i>3/Aug/2018</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name: <i>1) Prof. M. Sagarreddha Rao</i> <i>2) Prof. D. Lalitha Bhasani</i> Signature & Date: <i>[Signatures]</i>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <i>-NIL-</i>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <i>Prof. A. Nagaraj Rao</i> Signature & Date : <i>[Signature] 3.8.18</i> <i>Vice Chancellor, AU</i>	
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed.	Auditor Name Signature & Date : <i>1) Prof. M. Sagarreddha Rao</i> <i>2) Prof. M. D. Lalitha Bhasani</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMITY REPORT (NCR)

NCR No.: 2018/7/TM2

Dept./ Function : <i>Rector</i>	Responsibility :
Audit No. :	Date of Audit : <i>31 Aug 2018</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name: <i>1) Prof. M. Jagannadha Rao 2) Prof. D. Lalitha Bhaskari</i>	Signature & Date: <i>[Signatures] 2/8/18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>- Nil -</i>
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name: <i>Prof. K. Gayathri Devi Rector, AU</i>	Signature & Date: <i>K. Gayathri Devi 3/8/18</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed.	Auditor Name Signature & Date: <i>1) Prof. M. Jagannadha Rao 2) Prof. D. Lalitha Bhaskari</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMITY REPORT (NCR)

NCR No.: 2018/7/Tm3

Dept./ Function : Registrar	Responsibility :
Audit No. :	Date of Audit : 31 Aug 2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name : Prof. M. Jagannadha Rao M. D. Lalitha Bhaskar	Signature & Date : 1) M. J. Rao 2) M. D. Lalitha Bhaskar 31/8/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	- Nil -
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date : Recheck, AC	Signature & Date : K. N. N. Rao 31/8/18
Auditee Name :	
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed.	Auditor Name : Prof. M. S. Rao Signature & Date : Prof. Lalitha Bhaskar 31/8/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	M. J. Rao
Date :	

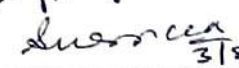



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/TMY

Dept / Function : MR office, Andhra University		Responsibility : MR	
Audit No. :		Date of Audit : 3/8/18	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
<u>ISO 9001 Clause :</u>		<u>Reference Document(s) :</u>	
Nonconformity : Prof. G. Anja Shankar		NIL e.g. - r may 2/9/18	
Auditor Name : Prof. K. Rame Suddhe		Signature & Date :  3/8/18	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction :		NIL	
Root Cause Analysis :			
Proposed Corrective Action :			
Proposed Completion Date:			
Auditee Name : Prof. D. Lalitha Bhaskar		Signature & Date : 3/8/18	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / <input checked="" type="checkbox"/> Closed.		Auditor Name : Signature & Date :	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign. Date :			



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/P6

Principal office

Dept./ Function : College of Pharmaceutical Science	Responsibility : Principal, AUCOPS
Audit No. :	Date of Audit : 26-07-2018

DETAILS OF NONCONFORMITY (To be filled by Auditor)

ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF-08 and AUF-31 acts to be updated	
Auditor Name : 1. Prof. K. Srinivasa Rao 2. Prof. K.T. Balaram Padal	Signature & Date : 1. <i>[Signature]</i> 26/7/18 2. <i>[Signature]</i> 26/7/18

CORRECTIVE ACTION REPORT (To be filled by Auditee)

Proposed correction	<i>Proposed to update the registers of AUF 08 & 31</i>
Root Cause Analysis :	<i>Due to new introduction of these registers some information is missing and rectified</i>
Proposed Corrective Action :	<i>In future proper care will be taken for preventing recurrence</i>
Proposed Completion Date :	<i>27-07-2018</i>
Auditee Name : <i>Principal, AUCOPS.</i>	Signature & Date : <i>[Signature]</i> 27/7/18 PRINCIPAL A.U. College of Pharm

Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed.	<i>updated the two files as required</i>
Auditor Name	1. Prof. K. Srinivasa Rao <i>[Signature]</i> 27/7/18
Signature & Date	2. Prof. K.T. Balaram Padal <i>[Signature]</i> 27/7/18

Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)
Auditor Name / Sign.
Date :



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/P3

Dept./ Function : <i>College of Law</i>	Responsibility : <i>Principal</i>
Audit No. :	Date of Audit : <i>28/1/18</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF-38 communication matrix not maintained</i>	
Auditor Name : <i>Prof. K.R. Sudhe Dr. M.S. Anuadhe</i>	Signature & Date : <i>Sudheer M. Satya Adh 28/1/18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>Communication matrix as has noticed not proper by inspection committee and updated on 2-8-2018</i>
Root Cause Analysis :	<i>Not properly understood by ITe office</i>
Proposed Corrective Action :	<i>Record maintained</i>
Proposed Completion Date:	<i>2-8-2018</i>
Auditee Name :	Signature & Date : <i>[Signature] PRINCIPAL Dr. B.R. Ambedkar College of Law Andhra University Visakhapatnam-530 003</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
<i>Communication matrix not maintained.</i>	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : <i>Sudheer</i> Signature & Date : <i>28/1/18 ; M. Satya Adh 28/1/18</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
<i>Communication matrix is properly done</i>	
Auditor Name / Sign. <i>Sudheer</i>	Date : <i>28/1/18</i> <i>M. Satya Adh 28/1/18</i>



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7 / DOR 1

Dept./ Function : <u>Directorate of Admissions</u>	Responsibility :
Audit No. :	Date of Audit : <u>26/7/18/TW</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : _____	
Auditor Name : <u>Prof. NIVESH Murthy</u> <u>Prof. M Vijaya Sankar</u>	Signature & Date : <u>[Signature]</u> <u>M. Sankar</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : _____	
Root Cause Analysis : _____	
Proposed Corrective Action : _____	
Proposed Completion Date: _____	
Auditee Name : <u>Prof. K. Rajendra Prasad</u>	Signature & Date : <u>[Signature]</u> <u>26/7/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <input checked="" type="checkbox"/> Closed.	Auditor Name <u>[Signature]</u> Signature & Date : <u>[Signature]</u> <u>M. Sankar</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 (COE)

Dept./ Function : <i>College Development Council</i>	Responsibility : <i>Dean of CDC</i>
Audit No. : <i>CDC</i>	Date of Audit : <i>26/7/2018 & 1/8/2018</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>T.V.K. Bhanu Prakash Pm & Sridhar</i>	<i>NIL</i>
Auditor Name :	Signature & Date : <i>[Signature] 1/8/2018 leidi</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date : <i>[Signature] DEAN</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name Signature & Date : <i>[Signature] leidi</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/USK1

Dept./ Function : Dr. V. S. Krishna Library	Responsibility :
Audit No. : 02	Date of Audit : 27-7-2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : B-B-MEM 27-07-2018	— Nil — PROF. V. GIRIJASASTRY V. Girijastri
Auditor Name : PROF. K. BASAVAI AH	Signature & Date : (V. GIRIJA)
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	Nil
Root Cause Analysis :	Nil Nil
Proposed Corrective Action :	27-7-2018
Proposed Completion Date:	
Auditee Name : K. Visweswara Rao	Signature & Date : K. Visweswara Rao 27/7/18
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	[V. GIRIJASASTRY] V. Girijastri K. Basavai AH Auditor Name : Signature & Date : Basavai AH
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	V. Girijastri — NA — K. Basavai AH
Date :	

Impression: — All registers are very well maintained.
Library Ambience was very good






**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/P2

Dept./ Function : <i>Science college principal's office</i>		Responsibility : <i>Principal</i>	
Audit No. :		Date of Audit :	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : <i>Prof. JVK. Bhanu Prakash</i> <i>Prof. V. Sridevi</i>		<i>NIL</i>  Signature & Date :	
Auditor Name :			
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction :		<i>NA</i>	
Root Cause Analysis :			
Proposed Corrective Action :			
Proposed Completion Date:			
Auditee Name :		 Signature & Date : PRINCIPAL <i>College of Science & Technology</i> <i>at the time of closure</i> <i>Visakhapatnam</i>	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / Closed.		Auditor Name  Signature & Date :	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign.			
Date :			



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D1

Dept./ Function : Dept. of PNCO	Responsibility :
Audit No. :	Date of Audit : 25-7-2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : AUF 18, 24, 28, 30, 34	
Auditor Name : Prof. P. Vasudevarreddy	Signature & Date : <i>[Signature]</i>
Auditor Name : Dr. K. Sitamurthy	Signature & Date : K. Sitamurthy 25/7/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: AUF 18, 24, 28, 30, 34
Root Cause Analysis :	Shortage of Man power.
Proposed Corrective Action :	
Proposed Completion Date:	26-07-2018
Auditee Name : Dr. P. Shyamala	Signature & Date : <i>[Signature]</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name : <i>[Signature]</i>
	Signature & Date : K. Sitamurthy 31/7/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	<i>[Signature]</i>
Date :	31-7-18



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/1/02

Dept./ Function : <i>Zoology</i>	Responsibility :
Audit No. :	Date of Audit : <i>25.07.18</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AVF 18, 20, 30, 8, 31, 38 are not updated.</i>	
Auditor Name : <i>Dr. Anuja Rigg</i> <i>Prof. P. Vasudera Reddy</i>	Signature & Date : <i>Anuja Rigg 25.07.18</i> <i>[Signature]</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: <i>The files will be updated</i>
Root Cause Analysis :	<i>Ignorance about the work procedure</i>
Proposed Corrective Action :	<i>Files will be updated regularly</i>
Proposed Completion Date :	<i>30th July 2018</i>
Auditee Name : <i>C. MANJULATHA</i>	Signature & Date : <i>[Signature]</i> <i>HEAD 118</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	<i>Verified</i>
Auditor Name :	<i>Anuja Rigg</i>
Signature & Date :	<i>[Signature]</i> <i>31.07.18</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D₃

Dept./ Function : Dept. of Engineering & Analytical Chemistry	Responsibility :
Audit No. :	Date of Audit : 25-7-2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : NIL	
Auditor Name : Prof. P. Vasu Deva Reddy	Signature & Date : K. Sita Manikya 25/7/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : NIL	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : PROF. K. BACAVAI AH	Signature & Date : [Signature]
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : [Signature]
	Signature & Date : K. Sita Manikya
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/04

Dept./ Function : <i>Physics</i>	Responsibility :
Audit No. :	Date of Audit : <i>28/7/18/Sc</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>None</i>	
Auditor Name : <i>Prof. N. V. S. Murthy</i> <i>Prof. M. Vijaya Santhi</i>	Signature & Date : <i>[Signature]</i> <i>M. V. Santhi</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>Nil</i>
Root Cause Analysis :	<i>Nil</i>
Proposed Corrective Action :	<i>Nil</i>
Proposed Completion Date:	<i>—</i>
Auditee Name : <i>Prof. K. Samatha</i>	Signature & Date : <i>[Signature]</i> <i>28/7/18</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name: <i>[Signature]</i> Signature & Date : <i>[Signature]</i> <i>M. V. Santhi</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	

Department of physics
Andhra University
VISAKHAPATNAM-530 003

Samatha_K 2002 @ Yahoo.co.in



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/05

Dept./ Function : Dept of Psychology & Para psychology		Responsibility : Prof T.V. Ananda Rao	
Audit No. :		Date of Audit : 27-7-18	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : 1) AUF-8, 2) AUF-31, 3) AUF-31 to be update 11 Prof. K. Sujinivasa Rao 11 4. 23/6/18			
Auditor Name : Prof K.T. Balaram Rao		Signature & Date : [Signature] 27/7	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : Updating of the three files will be done			
Root Cause Analysis : The above files are introduced in the latest guide lines.			
Proposed Corrective Action : As per the requirement, they will be updated			
Proposed Completion Date : 28-07-2018			
Auditee Name : Prof. T.V. Ananda Rao		Signature & Date : [Signature] 27-07-18	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / Closed. <input checked="" type="checkbox"/>		1. Prof. K. Sujinivasa Rao 23/6/18	
		2. Prof K-T. Balaram Rao [Signature] 27/7	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign. Date :			



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D6

Dept./ Function : <i>Dept. A Human Resources</i> Responsibility :	
Audit No. :	Date of Audit : <i>23-7-2018</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF 22, 35 are to be updated</i>	
Auditor Name : <i>Prof. P. Vasudeva Reddy</i>	Signature & Date : <i>[Signature] 23/7/18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>The above said documents are to be updated</i>
Root Cause Analysis :	<i>Lack of procedural</i>
Proposed Corrective Action :	
Proposed Completion Date:	<i>30/7/18</i>
Auditee Name : <i>Dr. V. Lakshmi Kalpana</i>	Signature & Date : <i>[Signature] V.L. Kalpana</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : <i>[Signature]</i> Signature & Date : <i>[Signature] K. S. Srinivasan</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 D7

Dept./ Function : *organic chemistry* Responsibility : *Head of the Department*
 Audit No. : _____ Date of Audit : *25-7-2018*

DETAILS OF NONCONFORMITY (To be filled by Auditor)

ISO 9001 Clause : _____ **Reference Document(s) :** _____
Nonconformity : *1) AUF-8 2) AUF-31, 3) AUF-38 and 4) AUF-39 are to be updated.*
Prof K. Srinivas Rao
 Auditor Name : *Prof K.T. Balasubrahmanyam* Signature & Date : *21/7/18*

CORRECTIVE ACTION REPORT (To be filled by Auditee)

Proposed correction : *The above files will be updated*
Root Cause Analysis : *As per the new regulations.*
Proposed Corrective Action : *updated the files as per the requirement.*
Proposed Completion Date : *28.07.2018*
 Auditee Name : *Dr. V. SIDDARATH* Signature & Date : *V. Siddarath*

Verification of corrective actions (To be filled by Auditor at the time of closure)
The said files have been updated.
 Status: Open / Closed. Auditor Name : *1. Prof K. Srinivas Rao*
 Signature & Date : *2. Prof K.T. Balasubrahmanyam*

Verification of effectiveness of corrective action
(to be filled by auditor during next internal audit)

Auditor Name / Sign.
Date :

HEAD OF THE DEPT. OF ORGANIC CHEMISTRY, FOODS & NUTRITION
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VISAKHAPATNAM
21/7/18



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/38

Dept./ Function : <i>Microbiology</i>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF-35, 08, 31, 38, 39</i>	<i>Need to be updated.</i>
Auditor Name : <i>Dr. P. Suresh</i>	Signature & Date : <i>M. J. P. Suresh</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>—</i>
Root Cause Analysis :	<i>Staff is not adequate</i>
Proposed Corrective Action :	
Proposed Completion Date:	<i>2 days.</i>
Auditee Name : <i>Prof. P. K. Ratnakumar</i>	Signature & Date : <i>P. K. Ratnakumar</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>M. J. P. Suresh</i>
	Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D9

Dept./ Function : <u>Meteorology Dept</u> Responsibility :	
Audit No. : <u>8</u>	Date of Audit : <u>25/7/18</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : Prof V. GIRIASASTRY Prof K. Basavaiah Auditor Name :	<u>AUF 18, AUF 39</u> <u>V. Girija S 25/7/2018</u> <u>* BANIM 27-07-2018</u> Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>AUF 18, AUF 39</u>	
Root Cause Analysis : <u>To be updated</u>	
Proposed Corrective Action : <u>26-7-2018</u>	
Proposed Completion Date : <u>26-7-2018</u>	
Auditee Name : <u>P. Sonitha</u>	<u>P. Sonitha</u> Signature & Date : <u>25/7/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	<u>BANIM</u> <u>(K. Basavaiah)</u> Auditor Name Signature & Date : <u>28/7/18</u>
Verification of effectiveness of corrective action completed <u>(U. GIRIASASTRY)</u> (to be filled by auditor during next internal audit)	
Prof V. GIRIASASTRY <u>V. Girija S 26/7/18</u>	
Auditor Name / Sign. <u>Prof K. Basavaiah</u>	<u>* BANIM 27-07-18</u>
Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/010

Dept./ Function : <u>Marine Living Resources</u> Responsibility : <u>MOD</u>	
Audit No. :	Date of Audit : <u>28.07.18</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause : <u>(AUF-18)</u>	Reference Document(s) :
Nonconformity : <u>Activity Diary is not maintained perfectly.</u>	
Auditor Name : <u>Dr. Anuja Tigga</u>	Signature & Date : <u>Anuja Tigga 28.07.18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>Activity Diary : Student Attendance</u>	
Root Cause Analysis : <u>over look</u>	
Proposed Corrective Action : <u>it will be rectified</u>	
Proposed Completion Date: <u>30/07/18</u>	
Auditee Name : <u>P. YEDUKONNALARAO</u>	Signature & Date : <u>28/07/2018</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed. <u>Corrections were verified.</u>	
Auditor Name : <u>Dr. Anuja Tigga</u>	Signature & Date : <u>Anuja Tigga 30.07.18</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D11

Dept./ Function : <u>Dept of Geophysics</u>	Responsibility : <u>HOD</u>
Audit No. :	Date of Audit : <u>26/7/2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>TVK Bhampirakesh By V. Sridhar</u>	<u>NIL</u>
Auditor Name :	Signature & Date : <u>[Signature] 26/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>Prof. P. RAMA RAO</u> <u>I/c HOD, Dept of Geophysics, AU.</u>	Signature & Date : <u>[Signature] 26/7/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed.	Auditor Name : Signature & Date : <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D12

Dept./ Function :	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
<p>AUF 20 Nonconformity : Research scholars register is marked ' - ' instead of Absent. Prof. K. R. Sudha Auditor Name : Dr. M. S. Anuradha</p>	
<p style="text-align: right;"><i>Susarla</i> Signature & Date : M. S. Anuradha 2/8/18</p>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	' - ' mark will be changed to absent
Root Cause Analysis :	Research scholars are not attending and not communicated to the head.
Proposed Corrective Action :	Attendance particulars are sent to principals office for taking action
Proposed Completion Date:	
Auditee Name : Dr. Anuja Tigga	Signature & Date : Anuja Tigga HoD, 2018 Department of Geography Andhra University Visakhapatnam-530003
Verification of corrective actions (To be filled by Auditor at the time of closure)	
AUF 20 is updated.	
Status: Open / Closed.	Auditor Name : <i>Susarla</i> Signature & Date : M. S. Anuradha 2/8/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D13

Dept./ Function : <u>Dept of Geology</u>	Responsibility : <u>HOD</u>
Audit No. :	Date of Audit : <u>26/7/2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	<u>NIL</u>
Auditor Name : <u>Prof. TYK Bhamphakar</u> <u>Prof. V. Sridhar</u>	Signature & Date : <u>[Signature]</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	<u>NL</u>
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date : <u>[Signature]</u> <u>Head of the Department</u> <u>26/7/2018</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	DEPARTMENT OF GEOLOGY Andhra University Visakhapatnam-530003
Status: <u>Open</u> / Closed.	Auditor Name : <u>[Signature]</u> Signature & Date : <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 D14

Dept./ Function : <i>Food & Nutrition</i>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AVF-09, 28, 30, 08, 31, 38, 29</i>	<i>- Need to be updated -</i>
Auditor Name : <i>Prof M. Sagarreddy</i>	Signature & Date : <i>M. Sagarreddy</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>New department</i>
Root Cause Analysis :	<i>Need to be established.</i>
Proposed Corrective Action :	<i>-</i>
Proposed Completion Date:	
Auditee Name : <i>Prof. B. V. Sandeep.</i>	Signature & Date : <i>B. Sandeep</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>P. Srinivas</i> Signature & Date : <i>P. Srinivas</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/1/D15

Dept./ Function : Environmental Science Responsibility :	
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF-35, 08, 31, 38, 39 : Need to updated.	
Auditor Name : Prof. M. Saganmadhava D. P. Suneetha	Signature & Date : P. Suneetha
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	AUF 8, 38, 39
Root Cause Analysis :	Do not know how to make last 4 files.
Proposed Corrective Action :	
Proposed Completion Date:	2 days.
Auditee Name : Prof. Byrangi Reddy.	Signature & Date : Byrangi Reddy
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : P. Suneetha Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 D1A

Dept./ Function : Dept. of Botany	Responsibility :
Audit No. :	Date of Audit : 25-7-2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF18, 24, 34	
Auditor Name : Dr. K. Sita Manikya Prof. Vasudeva Reddy	Signature & Date : K. Sitamanyu 25/7/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : AUF18, 24, 34	
Root Cause Analysis :	
Proposed Corrective Action : AUF18, 24, 34 are to be maintained.	
Proposed Completion Date: 30-07-2018	Signature & Date : Sujatha (B. SUJATHA) 25/7/18
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Closed All documents are updated and verified.	Auditor Name : K. Sitamanyu Signature & Date : 25/7/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D17

Dept./ Function : <i>Dept. of Botany</i>	Responsibility :
Audit No. :	Date of Audit : <i>25-7-2018</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF 18, 24, 34</i>	
Auditor Name : <i>Dr. K. Sita Manikya Prof. Vasudeva Reddy</i>	Signature & Date : <i>K. Sita Manikya 25/7/18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <i>AUF 18, 24, 34</i>	
Root Cause Analysis :	
Proposed Corrective Action : <i>AUF 18, 24, 34 are to be maintained</i>	
Proposed Completion Date: <i>30-07-2018</i>	
Auditee Name :	Signature & Date : <i>Sujatha (B. SUJATHA) 25/7/18</i>
Verification of corrective actions (To be filled by Auditor at the time of closure) <i>All the records are updated</i>	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>Reddy</i> Signature & Date : <i>K. Sita Manikya 30/7/18</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 D18

Dept./ Function : <i>Bio-Technology</i>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : <i>AUF-18, 28, 30, 08, 31, 38, 29 - Need to be updated.</i>	
Auditor Name : <i>Dr. P. Srinivasa Rao</i>	Signature & Date : <i>P. Srinivasa Rao</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <i>AUF - 8, 38.</i>	
Root Cause Analysis : <i>Do not know how to make files</i>	
Proposed Corrective Action :	
Proposed Completion Date: <i>2 days.</i>	
Auditee Name : <i>Prof. B. V. Suresh</i>	Signature & Date : <i>B. V. Suresh</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>P. Srinivasa Rao</i>
	Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71/D19

Dept./ Function : <u>maths secp</u>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF 25, AUF 28, AUF 29, AUF 30, AUF 32</u>	
Auditor Name : <u>I.P.K. RATNA KOMAR</u> <u>2. G. NAGARAJA</u>	Signature & Date : <u>I.P.K. Ratna</u> <u>2. Nagaraj</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>AUF-25 - Library is common for both Maths & Applied Math</u>
Root Cause Analysis :	<u>AUF-28 - The Registers are combined & they will be separate</u> <u>AUF-29 - Will be updated</u> <u>AUF-30 - will be with Legal Section. at hand</u> <u>AUF-32 - Lab not available.</u>
Proposed Corrective Action :	<u>AUF-34 - Lab not available.</u>
Proposed Completion Date : <u>28/7/18</u>	
Auditee Name : <u>Prof. N.V. Srinivas</u>	Signature & Date : <u>[Signature]</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <u>I.P.K. Ratna</u> Signature & Date : <u>2. Nagaraj</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D20

Dept./ Function : <i>Statistical</i>	Responsibility : <i>POD</i>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF-09, AUF-32, AUF-08, AUF-31, AUF-38, AUF-39</i>	
Auditor Name : <i>I. P. K. RATNA KUMAR</i>	Signature & Date : <i>I. P. K. Ratu</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>AUF-32 is with legal section. AUF-09, AUF-08, AUF-31, AUF-38, AUF-39 will be updated by 30-7-2018.</i>
Root Cause Analysis :	<i>Lack of awareness</i>
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <i>L. VENKATESWARA RAO</i>	Signature & Date : <i>L. Venkateshwar Rao 25/7/18</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed: <i>1/8/18</i>	Auditor Name : <i>I. P. K. Ratu</i>
	Signature & Date : <i>2. Nagaraj</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D 21

Dept./ Function : <i>Biochemistry</i>	Responsibility :
Audit No. :	Date of Audit : <i>25-07-2018</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause : <i>4.1, 4.2</i>	Reference Document(s) :
Nonconformity : <i>AUF 20, AUF 32, AUF-32, AUF-08, AUF-31, AUF-38</i>	
Auditor Name : <i>1. P.K. RATNAKONAR</i> <i>2. G. Nagaraj</i>	Signature & Date : <i>1. P.K. Ratna →</i> <i>2. Nagaraj → 25/7/18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <i>AUF 20, AUF - 32</i>	
Root Cause Analysis : <i>1- Lack of hostel facility</i> <i>2- Minutes of PG Board of Studies book with legal section</i>	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <i>DR. P. RADHIKA</i>	Signature & Date : <i>DR. P. RADHIKA</i> <i>P. Radhika</i> <i>25/07/2018</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. ✓ <i>4/8/18</i>	Auditor Name : <i>1. P.K. Ratna →</i> Signature & Date : <i>2. Nagaraj</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71022

Dept./ Function: <u>Applied Mathematics</u>	Responsibility :
Audit No. :	Date of Audit : <u>25.07.2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF 29, AUF 32</u>	
Auditor Name : <u>1. P.K. Raha</u> <u>2. G. Nagaraja</u>	Signature & Date : <u>1. P.K. Raha</u> <u>2. Nagaraja</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>AUF 32, Register in Legal Section.</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <u>Prof. M. Vijaya Santhi</u>	Signature & Date : <u>M. Santhi</u> <u>25-07-2018.</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <u>1. P.K. Raha</u> Signature & Date : <u>2. Nagaraja</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/P

Dept./ Function : <u>Principal Office</u> <u>AU Arts & Commerce Dept</u>	Responsibility : <u>PRINCIPAL</u>
Audit No. :	Date of Audit : <u>28-07-2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity :	<u>ADF-08 to be processed & monitored</u> <u>ADF-38 to be updated</u>
Auditor Name : <u>Prof. G. R. Venkatesh</u>	Signature & Date : <u>[Signature]</u> <u>28/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	<u>Processing and updating the above documents.</u>
Root Cause Analysis :	<u>Information received from IQAC to Principal's Email. ID</u>
Proposed Corrective Action :	<u>All Procurement and updated the above documents</u>
Proposed Completion Date:	<u>01-08-2018</u>
Auditee Name <u>V. RAMESH.</u>	Signature & Date : <u>[Signature]</u> <u>PRINCIPAL 1-8-2018</u>
Verification of corrective actions (To be filled by Auditor at the COLLEGE OF ARTS & COMMERCE)	
<u>All the above document verified as updated</u>	
Status: <u>Open</u> / Closed.	Auditor Name : <u>Prof. G. R. Venkatesh</u>
	Signature & Date : <u>[Signature]</u> <u>1/8/18</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
<u>[Signature]</u> <u>1/8/2018</u>	
Auditor Name / Sign.	
Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/Py

Dept./ Function : <i>Principal's Office Arts & Commerce College, AU</i>	Responsibility : <i>PRINCIPAL</i>
Audit No. :	Date of Audit : <i>28.07.2018</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	<i>AUF-09 to be updated AUF-12 to be updated AUF-15 & AUF-16 to be updated</i>
Auditor Name : <i>Prof. P. Yedundelala</i>	Signature & Date : <i>[Signature] 28/7/18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	<i>updating the above documents.</i>
Root Cause Analysis :	<i>Lack of awareness to new non-Teaching Staff</i>
Proposed Corrective Action :	<i>will be updated</i>
Proposed Completion Date:	<i>01-08-2018</i>
Auditee Name : <i>V. RAMESH</i>	Signature & Date : <i>[Signature] 1 PRINCIPAL 2018</i>
Verification of corrective actions (To be filled by Auditor at the time of next audit)	
<i>✓ All the above documents updated as per above.</i>	
Status: <i>Open / Closed.</i>	Auditor Name : <i>Prof. P. Yedundelala</i> Signature & Date : <i>[Signature] 28/7/18</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	

COLLEGE OF ARTS & COMMERCE
ANDHRA UNIVERSITY
VISAKHAPATNAM 530 003
[Signature]
28/7/18



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71023

Dept./ Function : Telugu	Responsibility :
Audit No. :	Date of Audit : 26.07.18
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF 18, 23, 35, 20 is not maintained	
Auditor Name : Prof. Anuj Reddy	Signature & Date : 26.07.18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : Files will be updated	
Root Cause Analysis : challenge of manpower	
Proposed Corrective Action :	
Proposed Completion Date: 30-7-2018	
Auditee Name : Prof. J. Appa Rao	Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
updated files verified.	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : 1. Head of the Dept. of Telugu
	Signature & Date : 2. Anuja Tigga 01.08.18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



**ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D24

Dept / Function : <u>Sociology Dept.</u> <u>College of Art & Comm. - AU</u>	Responsibility : <u>Head of the Department</u>
Audit No. : _____	Date of Audit : <u>27-07-2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause : _____	Reference Document(s) : _____
Nonconformity : <u>AUF-08 to be procured as maintained</u> <u>AUF-38 to be updated</u> <u>AUF-09, to be updated</u>	
Auditor Name : <u>Prof. G. S. R. JASANKAR</u> <u>Prof. P. Yedunandhan</u>	Signature & Date : <u>[Signature]</u> <u>27/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	<u>procuring of AUF-08 Documents</u> <u>update of AUF-38 & AUF-09 Documents.</u>
Root Cause Analysis	<u>not received record documents information</u>
Proposed Corrective Action	<u>insufficient manpower</u> <u>will update and procure AUF-08, 38 and 09.</u>
Proposed Completion Date	<u>31/7/2018</u>
Auditee Name : <u>DR. D. Rama Rao</u>	Head of the Dept of Sociology & <u>Andhra University</u> <u>Visakhapatnam</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed	<u>Procured as updated documents AUF 08, AUF 38 & AUF 09.</u>
Auditor Name	<u>Prof. G. S. R. JASANKAR</u> <u>Prof. P. Yedunandhan</u>
Signature & Date	<u>[Signature]</u> <u>31/7/18</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign	
Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No 2018/7/D25

Dept / Function	Social Work Department College of Arts & Commerce AU	Responsibility	Head of ISO Department
Audit No	HOD	Date of Audit	27-07-2018

DETAILS OF NONCONFORMITY (To be filled by Auditor)

ISO 9001 Clause : Reference Document(s) :

Nonconformity : AUF-08 to be processed
 AUF-38 to be updated
 AUF-35 to be updated

Auditor Name Prof. G. GIRIJAKANAR Signature & Date *[Signature]* 27/7/18

CORRECTIVE ACTION REPORT (To be filled by Auditee)

Proposed correction ① Procuring of documented information AUF-08.
 ② updating of communication Matrix AUF 38 and
 AUF 35.

Root Cause Analysis Recently obtained information from I.Q.A.C.

Proposed Corrective Action will update soon.

Proposed Completion Date 31st July 2018

Auditee Name Sobhasri T. Signature & Date *[Signature]* 31/7/18
Head
Department of Social Work
Andhra University
Visakhapatnam-530 001

Verification of corrective actions (To be filled by Auditor at the time of closure)

Status: Open / Closed Auditor Name *[Signature]* 31/7/18
 Procured updated documents AUF 08, 38 & AUF 35 Signature & Date

Verification of effectiveness of corrective action
(to be filled by auditor during next internal audit)

Auditor Name / Sign
Date :



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D24

Dept./ Function : Dept of Sanskrit	Responsibility : HOD
Audit No. :	Date of Audit : 27-7-18
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF-8, AUF-31, AUF-38, and AUF-39 Dr K. Srinivasa Rao to be update	
Auditor Name : Pr. K. T. Balakrishna	Signature & Date : [Signature]
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : AUF-8, AUF-31, AUF-38, and AUF-39 will be updated.	
Root Cause Analysis :	as per new Regulation
Proposed Corrective Action :	They will be updated
Proposed Completion Date :	30-07-18
Auditee Name :	Signature & Date : [Signature] DEPARTMENT OF SANSKRIT ANDHRA UNIVERSITY WALTAIR-530 003
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : [Signature] Signature & Date : Pr. K. Srinivasa Rao [Signature]
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D27

Dept./ Function : <u>Philosophy & Religious Studies</u>	Responsibility :
Audit No. :	Date of Audit : <u>28/7/18/Sa</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause : <u>8.7.2(a)</u>	Reference Document(s) :
Nonconformity : <u>AUF-18, AUF-23, AUF-30, AUF-35, AUF-36</u>	
Auditor Name : <u>Prof. N.V.E.S. Murthy</u> <u>Prof. M. Vijaya Santhi</u>	Signature & Date : <u>[Signature]</u> <u>M. Santhi</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: <u>THE ABOVE WILL BE CORRECTED</u>
Root Cause Analysis :	
Proposed Corrective Action:	<u>INFORMATION WILL BE UPDATED</u>
Proposed Completion Date:	<u>02.08.2018</u>
Auditee Name : <u>B. RAVI DASU</u>	Signature & Date : <u>[Signature]</u> <u>28/7/18</u> Head of the Department
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name : <u>NVES Murthy</u> / <u>M. Vijaya Santhi</u> Signature & Date : <u>[Signature]</u> / <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	

rbunga@gmail.com



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/17/D 28

Dept./ Function : <i>MUSIC</i>	Responsibility : <i>HOD</i>
Audit No. :	Date of Audit : <i>28.07.18</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : <i>New files are not maintained (AUF 8, 31, 38 & 39)</i>	
Auditor Name : <i>Dr. Anuja Tigga</i>	Signature & Date : <i>Anuja Tigga 28.7.18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <i>It will be maintained</i>	
Root Cause Analysis : <i>Information not reached</i>	
Proposed Corrective Action : <i>It will be maintained</i>	
Proposed Completion Date:	
Auditee Name : <i>Prof. K. Saraswathi</i>	Signature & Date : <i>K. Sarinivasi 28.07.18</i>
<i>Head of the Department</i> Andhra University Visakhapatnam	
Verification of corrective actions (To be filled by Auditor)	
Status: Open / <input checked="" type="checkbox"/> Closed.	Auditor Name : <i>Anuja Tigga</i> Signature & Date : <i>Anuja Tigga 31.07.18</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D29

Dept./ Function : <u>Library information sciences</u> Responsibility :	
Audit No. :	Date of Audit : <u>27/7/2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF 26, AUF 27, AUF 36, AUF 154, AUF 08, AUF 31, AUF 35, AUF 39</u>	<u>V. Girijasthry 27/7/18</u> <u>K. Basaviah 27/7/18</u>
Auditor Name : <u>V. GIRIJASTHRY</u> <u>K. Basaviah</u>	Signature & Date : <u>[Signature] 27/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>AUF 09, 18, 20, 22, 23, 25, 28, 29, 30</u> <u>AUF 32, 35</u>
Root Cause Analysis :	<u>To be updated</u>
Proposed Corrective Action :	<u>31-7-2018</u>
Proposed Completion Date :	<u>31-7-2018</u>
Auditee Name : <u>Prof. V. Phaneekaj</u> <u>HOD.</u>	Signature & Date : <u>[Signature] 29/7/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	<u>V. GIRIJASTHRY</u> <u>V. Girijasthry 27/7/18</u> <u>[K. Basaviah]</u> <u>[Signature]</u> Auditor Name Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. <u>Prof. V. GIRIJASTHRY</u>	<u>[Signature] 31/7/18</u>
Date :	<u>[Signature]</u>

Impression: All records are not well maintained chronologically.



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D30

Dept./ Function : Journalism & mass communication	Responsibility :
Audit No. : Prof. V. Girijastri	Date of Audit : 24-7-2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF 18, AUF 23, AUF 26, 27, 29, 38, 89	
Auditor Name : Prof. V. GIRIJASTRI	Signature & Date : V. Girijastri 24/7/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: AUF 18, AUF 23, AUF 26, AUF 27, AUF 29, AUF 38, AUF 39
Root Cause Analysis :	Small corrections to be done lack of non teaching staff
Proposed Corrective Action :	28-7-2018 morning
Proposed Completion Date:	
Auditee Name : Prof. V. Girijastri Prof. K. Basaraj Journalism & MC	Signature & Date : K. Basaraj 24/7/2018
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : V. Girijastri Signature & Date : V. Girijastri 28/7/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Completed	
Auditor Name / Sign. Prof. V. GIRIJASTRI	V. Girijastri
Date :	

Prof. K. Basaraj x K. Basaraj 24-07-2018



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/031

Dept./ Function : <u>Human Resources Management</u> Responsibility :	
Audit No. :	Date of Audit : <u>27/7/18/F.</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause : <u>8.7.2 (a)</u> Reference Document(s) :	
Nonconformity : <u>AUF-9, AUF-26, AUF-28, AUF-29, AUF-33, AUF-36, AUF-08, AUF-31, AUF-38, AUF-39.</u>	
Auditor Name : <u>Pr. NVES Murthy</u> <u>Pr. M Vijaya Santhi</u>	Signature & Date : <u>[Signature]</u> <u>M. Santhi</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	<u>wiki updated, ^{re-arranged} all files</u>
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	<u>one week, 31/7/18.</u>
Auditee Name : <u>P. ALANKUMAR</u>	Signature & Date : <u>[Signature]</u> <u>27/7/18</u> HEAD
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <input checked="" type="checkbox"/> Closed.	ANDHRA UNIVERSITY VISAKHAPATNAM-530 003 Auditor Name : <u>NVES Murthy / M Vijaya Santhi</u> Signature & Date : <u>[Signature]</u> <u>M. Santhi</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 D32

Dept./ Function : <u>History & Archeology</u> . Responsibility :	
Audit No. : <u>02</u>	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>Nothing</u>	<u>PROF. V. GIRIJASTRY</u>
Auditor Name : <u>PROF. X B S RAO</u> <u>BASAVA 27-7-18</u>	Signature & Date : <u>V. Girijastri</u> <u>27/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>Nothing</u>
Root Cause Analysis :	<u>_____</u>
Proposed Corrective Action :	<u>_____</u>
Proposed Completion Date:	<u>27/7/18</u>
Auditee Name : <u>N. John Babu</u> .	Signature & Date : <u>N. John Babu</u> <u>27/07/2018</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name : <u>V. Girijastri</u> <u>K. Basavaiah</u>
	Signature & Date : <u>V. Girijastri</u> <u>27-07-18</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	<u>NA</u>
Date :	<u>V. Girijastri</u> <u>B. S. Rao</u>

Impression:— All records are well maintained systematically.

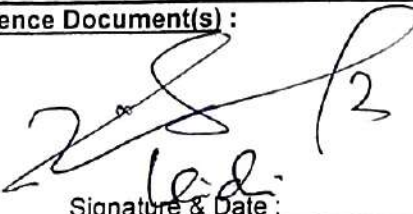

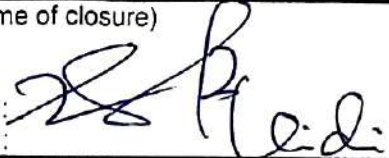


ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 D33

Dept./ Function : Dept. of Hindi	Responsibility : HOD
Audit No. :	Date of Audit : 30/7/2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : Prof. T.V.K. Bhavanipati Prof. V. Sridani Auditor Name :	Signature & Date :  led:
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date :  30/7/18
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name Signature & Date : 
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No 2018/7/Day

Dept./Function	FINE ARTS Dept. Arts & Commerce College AU	Responsibility	Head of the Department
Audit No.		Date of Audit	26.07.2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>		
Nonconformity :	AUF-18 to be updated AUF-23 to be updated AUF-29, AUF-30, AUF-35 to be updated <i>(Handwritten signature and date 26/7/18)</i>		
Auditor Name	Prof. G. GIRIJASANKAR Prof. P. Yodokadalam	Signature & Date	<i>(Handwritten signature and date 26/7/18)</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction	All the above documents are updating		
Root Cause Analysis	Lack of manpower		
Proposed Corrective Action	will update all the above documents 1-8-2018		
Proposed Completion Date	→		
Auditee Name	D. Srinivasulu Reddy	Signature & Date	<i>(Handwritten signature and date)</i> Head of Dept. of Arts and Commerce College
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / Closed	✓ Verify all the above documents		
	Auditor Name	Signature & Date	
	G. GIRIJASANKAR	<i>(Handwritten signature and date 11/8/18)</i>	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign.			
Date :			



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/1035

Dept / Function : FINE ARTS Dept. Arts & Commerce College, AU	Responsibility : Head of the Department
Audit No. :	Date of Audit : 26.07.2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF-08, AVF-38, AVF-39 are to be Procured and updated.	
Auditor Name : Prof. G. GIRIJANAM Prof. P. YEDUHANDALAM	Signature & Date : 26/7/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	All the above documents are procuring and updating.
Root Cause Analysis :	Lack of information in the CMA having with faculty.
Proposed Corrective Action :	will procure and update the above documents.
Proposed Completion Date :	3-8-2018
Auditee Name : D. Srinivasulu	Signature & Date : 3-8-2018
Verification of corrective actions (To be filled by Auditor at the time of re-audit)	Head of the Dept. of Fine Arts and Commerce College WALTAIR
Status: Open / Closed. All the above records verified	A U A
Auditor Name : Prof. G. GIRIJANAM Prof. P. YEDUHANDALAM	Signature & Date : 31/8/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71036

Dept./ Function : English Dept	Responsibility : HOD of English
Audit No. :	Date of Audit : 1/8/2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : Meetings of DC, SC, DRC not held regularly during 2017-2018	
Auditor Name : By TVK Bhannu Prakash Dr V. Sridhar	Signature & Date : 1/8/2018
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	Meetings of DC have been conducted in July 2017, The HOD promised to conduct meetings regularly from now onwards.
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date : D. Peela Raju
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/037

Dept./ Function : <i>Education</i>	Responsibility :
Audit No. : <i>3</i>	Date of Audit : <i>26.07.18</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : <i>AUF20 Scholars signature is missing at some dates</i>	
Auditor Name : <i>Dr. Anuja Tigga</i>	Signature & Date : <i>26.07.18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>Correction will be taken care of</i>
Root Cause Analysis :	<i>Lack of hostel facility</i>
Proposed Corrective Action :	<i>It can be updated soon.</i>
Proposed Completion Date:	
Auditee Name : <i>Prof. Gara Latchanna</i> <i>HOD, ED N. AU</i>	Signature & Date : <i>[Signature]</i> <i>26/7/18</i> HEAD
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <i>✓</i>	<i>All records updated and verified</i>
Auditor Name : <i>Prof. Vasudera Reddy</i>	Signature & Date : <i>Dr. Anuja Tigga</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	

Department of Education
 Andhra University
 Visakhapatnam-530 003
 Andhra Pradesh-India
1. [Signature]
2. Anuja Tigga
21.08.18



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/17/038

Dept./ Function : <u>Economics</u>	Responsibility : <u>Director</u>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AOF-18, 25, 26, 27, 28, 32, 33, 34, 35, 08, 31, 38, 39</u> <u>Need to be updated.</u>	
Auditor Name : <u>Prof. M. Sagarreddy</u> <u>Dr. P. Suresh</u>	Signature & Date : <u>P. Suresh</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>AOF 08, 38</u>	
Root Cause Analysis : <u>No information.</u>	
Proposed Corrective Action :	
Proposed Completion Date: <u>2 days.</u>	
Auditee Name : <u>Nagalakshmi</u>	Signature & Date : <u></u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name : <u>P. Suresh</u> Signature & Date : <u>P. Suresh</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/039

Dept./ Function : <u>Dept. of Commerce and Management</u>	Responsibility :
Audit No. :	Date of Audit : <u>23-07-2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : <u>The following documents are to be updated AUF 18, 24, 27, 35 and also AUF 20</u>	
Auditor Name : <u>Dr. K. Sita Hanikyan</u>	Signature & Date : <u>K. Sita Hanikyan</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>The above said documents are to be updated</u>
Root Cause Analysis :	<u>Lack of maintenance</u>
Proposed Corrective Action :	
Proposed Completion Date:	<u>30-07-2018</u>
Auditee Name : <u>Prof. G. Sathya Narayana</u>	Signature & Date : <u>G. Sathya Narayana</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
<u>All records are updated except AUF 20</u>	
Status: Open / Closed.	Auditor Name : <u>K. Sita Hanikyan</u>
	Signature & Date : <u>K. Sita Hanikyan</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/1040

Dept./ Function : Dept. of Political Science Public Administration		Responsibility :
Audit No. :	Date of Audit : 30-07-2018	
DETAILS OF NONCONFORMITY (To be filled by Auditor)		
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>	
Nonconformity :		
Auditor Name : Prof. P. Vasudeva Reddy Dr. K. Sita Manikyan	Signature & Date : K. Sita Manikyan 30/7/18	
CORRECTIVE ACTION REPORT (To be filled by Auditee)		
Proposed correction :	Activity diary, quality objectives and Performance indicator status are to be updated.	
Root Cause Analysis :	Lack of infrastructure and manpower	
Proposed Corrective Action :	AUF 18, AUF 19, AUF 20 document require HOD signatures	
Proposed Completion Date :	31-7-18	
Auditee Name : Dr. P. Prasad Rao	Signature & Date : 30-7-2018	
Verification of corrective actions (To be filled by Auditor at the time of closure)		
Status: Open / Closed. <input checked="" type="checkbox"/> Open	The above mentioned documents are updated	
Auditor Name :	Signature & Date : Prof. P. Vasudeva Reddy Dr. K. Sita Manikyan K. Sita Manikyan 31/7/2018	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)		
Auditor Name / Sign. Date :		



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/041

Dept. / Function: Dept. of Physical Education College	Responsibility:
Audit No.:	Date of Audit: 25-07-2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause:	Reference Document(s):
Nonconformity:	AUF 09, 18, 20 , 27, 28, 29, 34, 35, 36 are to be updated
Auditor Name: Prof. P. Vasudeva Reddy Dr. K. Sita maityan	Signature & Date: K. Sita maityan
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction:	AUF 09, 18, 20 , 27, 28, 29, 34, 35, 36
Root Cause Analysis:	shortage of manpower.
Proposed Corrective Action:	The above mentioned documents are to be updated
Proposed Completion Date:	30-07-2018
Auditee Name: Prof. N. VIJAY MOHAN	Signature & Date: N. Vijay Mohan 25/7/2018
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name: Prof. P. Vasudeva Reddy Signature & Date: K. Sita maityan 31/7/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date:	



**ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D42

Dept./ Function: <u>Anthropology</u>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF 32, AUF 33, AUF-08, AUF-31, AUF-38, AUF-39</u>	
Auditor Name : <u>I. P. K. RATNA KUMAR</u> <u>Z. G. Nayak</u>	Signature & Date : <u>I. P. K. Rati</u> <u>Z. G. Nayak</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis : <u>AUF 32 : Record lies with legal section.</u> <u>AUF 33 : submitted to the Dept but Preparation from IQAC is</u> <u>AUF-8; AUF-31; 38 & 39 - These concerns ISO need to be explained</u> <u>properly.</u>	
Proposed Corrective Action : <u>AUF 32: Better dispence with that document</u> <u>in the IQAC.</u>	
Proposed Completion Date : <u>IQAC and ISO need to be separately done.</u>	
Auditee Name : <u>Prof. P. D. Satya Gal</u>	Signature & Date : <u>[Signature]</u> <u>27/7/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <u>I. P. K. Rati</u> Signature & Date : <u>Z. G. Nayak</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2017/1043

Dept./ Function : <i>Principal office</i>	Responsibility : <i>Principal</i>
Audit No. : <i>AUC</i>	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>Auf - 08, 31, 38, 39</i>	<i>Need to be updated.</i>
Auditor Name : <i>Dr. Sujatha</i>	Signature & Date : <i>P. Sujatha</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>-</i>
Root Cause Analysis :	<i>- No information how to make these files -</i>
Proposed Corrective Action :	<i>-</i>
Proposed Completion Date:	<i>2 days.</i>
Auditee Name : <i>Dr. N. ANNAPURNA</i>	Signature & Date : <i>[Signature]</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name : <i>[Signature]</i>
	Signature & Date : <i>[Signature]</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



**ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71044

Dept./ Function : <u>Dept. of Humanities & Social Sciences</u> Responsibility :	
Audit No. :	Date of Audit : <u>25-7-2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
<u>Nonconformity : AUF 08, 31, and 39</u> <u>V. GIRIJASASTRY</u> <u>K. Baswarath</u>	<u>V. Girija</u> <u>25/7/18</u> <u>K. Baswarath</u>
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>AUF 08, 31, 38 and 39 to be updated</u>
Root Cause Analysis :	<u>To be updated</u>
Proposed Corrective Action :	<u>27-7-2018</u>
Proposed Completion Date :	<u>27-7-2018</u>
Auditee Name :	<u>C.H. PANDURANGA REDDY</u> <u>Head of the Department</u> <u>Dept. of Humanities & Social Sciences</u> <u>Signature Date of Engineering</u> ANDHRA UNIVERSITY VISAKHAPATNAM - 530 003
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <u>V. Girija</u> <u>27/7/18</u> Signature & Date : <u>K. Baswarath</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
<u>Completed</u> <u>PROF. V. GIRIJASASTRY</u>	
Auditor Name / Sign.	<u>V. Girija</u> <u>27/7/18</u> <u>K. Baswarath</u>
Date :	<u>PROF. K. BASWARATH</u>



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D45

Dept./ Function : <i>Engineering Physics</i>	Responsibility :
Audit No. :	Date of Audit : <i>27/7/18</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>One research scholar Mr. Lakshmi Narayana was irregular since Jan 2018.</i>	
Auditor Name : <i>Prof. K.R. Sudhe</i> <i>Dr. M.S. Anusada</i>	Signature & Date : <i>Sudhe</i> <i>M. Satya Adh</i> <i>27/7/18</i> <i>27/7/18</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	<i>Intimated to IG candidate and counselling done and letter taken from IG student</i>
Root Cause Analysis :	<i>Due to HENK problem.</i>
Proposed Corrective Action :	<i>will be in one week on 16/7/2018.</i>
Proposed Completion Date :	
Auditee Name : <i>Prof. Y. RAMAKRISHNA</i>	Signature & Date : <i>Y. Rama Krishna</i> <i>27/7/18</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>Prof. K.R. Sudhe</i> <i>Dr. M.S. Anusada</i> Signature & Date : <i>Sudhe</i> <i>M. Satya Adh</i> <i>27/7/18</i> <i>27/7/18</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
<i>corrective action verified</i>	
Auditor Name / Sign.	<i>Sudhe</i> <i>M. Satya Adh</i> <i>27/7/18</i> <i>27/7/18</i>
Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/046

Dept./ Function : <u>Department of Engg Mathematics</u> Responsibility :	
Audit No. :	Date of Audit : <u>25/7/18</u> 3PM
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>Ph.D scholars leaves to be recorded</u>	
Auditor Name : <u>Dr-M-S Anusudha</u>	Signature & Date : <u>[Signature]</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>Research Scholars leave registers to be updated</u>	
Root Cause Analysis : <u>Misplacement of papers.</u>	
Proposed Corrective Action : <u>Leave Register has been updated</u>	
Proposed Completion Date: <u>30-7-2018</u>	
Auditee Name : <u>Prof. T. Linge Raju</u>	Signature & Date : <u>[Signature]</u> 30/07/2018
Head of the Department of Engineering Mathematics A.V. College of Engineering (A) Visakhapatnam - 530 003	
Verification of corrective actions (To be filled by Auditor at the time of closure)	Auditor Name : <u>[Signature]</u>
Status: Open / <input checked="" type="checkbox"/> Closed.	Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71 D47

Dept./ Function : Dept of Metallurgical Engineering		Responsibility : Prof K. Srinivasa Rao	
Audit No. :		Date of Audit : 27-7-2018	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
<u>ISO 9001 Clause :</u>		<u>Reference Document(s) :</u>	
Nonconformity : — NIL —		11 11.01	
Auditor Name : Prof K.T. Balaram Padu		Signature & Date : [Signature]	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction :		—	
Root Cause Analysis :		—	
Proposed Corrective Action :		—	
Proposed Completion Date:		—	
Auditee Name :		Signature & Date : [Signature] Head of the Department of Metallurgical Engineering	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / Closed.		Auditor Name : Prof K.T. Balaram Padu	
[Signature]		Signature & Date : [Signature]	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign.			
Date :			



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/1/148

Dept./ Function: <u>Instrument Technos (AUCEA)</u> Responsibility:	
Audit No. :	Date of Audit : <u>26-7-2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity :	<u>AUF 18, AUF 33, AUF 34, AUF 35, AUF 36</u> <u>AUF 08, AUF 31, AUF 38, AUF 39</u>
Auditor Name : <u>K. Basavaiah</u>	Signature & Date : <u>V. Girija Sastri</u> <u>26/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: <u>AUF 18, AUF 33, AUF 34, AUF 35, AUF 36</u> <u>AUF 08, AUF 31, AUF 38, AUF 39</u>
Root Cause Analysis :	<u>To be updated</u>
Proposed Corrective Action :	<u>27-7-2018 Evening</u>
Proposed Completion Date :	<u>27-7-2018</u>
Auditee Name : <u>Dr D.V. RANA RAO</u>	Signature & Date : <u>[Signature]</u> <u>26/7/2018</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : <u>V. Girija Sastri</u> Signature & Date : <u>[Signature]</u> <u>27/7/18</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. : <u>Prof V. GIRIJA SASTRI</u> <u>K. Basavaiah</u>	Signature & Date : <u>[Signature]</u> <u>27/7/18</u> <u>[K. Basavaiah]</u>
Date :	<u>27/7/18</u>



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/049

Dept./ Function : <u>Geo Engg</u>	Responsibility :
Audit No. :	Date of Audit : <u>27/7/18/E.</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause : <u>8.7.2 (a)</u>	Reference Document(s) :
Nonconformity : <u>AUF-29, AUF-32</u>	
Auditor Name : <u>Prof. N.V.R.S. Murthy</u> <u>Prof. M. Vijaya Santhi</u>	Signature & Date : <u>[Signature]</u> <u>27/7/18</u> <u>M. Santhi</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	<u>AUF-29 It will be updated</u> <u>AUF-32 It is always with legal section</u>
Root Cause Analysis :	
Proposed Corrective Action :	<u>[Signature]</u> <u>27/7/18</u> Head of the Department GEO ENGINEERING A.U. Engg. College (A) VISAKHAPATNAM-530 003
Proposed Completion Date: <u>30/07/2018</u>	
Auditee Name : <u>Prof. G. Sai Sankar</u>	Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <u>Closed</u> .	Auditor Name : <u>NVES Murthy / M. Vijaya Santhi</u> Signature & Date : <u>[Signature]</u> <u>27/7/18</u> <u>M. Santhi</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71D50

Dept./ Function : Elec. Engrg.	Responsibility :
Audit No. :	Date of Audit : 27/7/18/F.
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause : 8.7.2(a).	Reference Document(s) :
Nonconformity : AUF-32.	
Auditor Name : Prof. NVKSMurthy Prof. M. Vijaya Santhi	Signature & Date : <i>[Signature]</i> 27/7/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	AUF-32 is always with legal section
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date: 27/7/18	
Auditee Name : Dr. K. Vaisach	Signature & Date : <i>[Signature]</i> Head of the Department Dept. of Electrical Engineering College of Engineering (A) Andhra University Visakhapatnam-530 003. A.P.
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <input checked="" type="checkbox"/> Closed.	Auditor Name : <i>[Signature]</i> Signature & Date : <i>[Signature]</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/71D51

Dept./ Function : <u>AUCE(A) ECE - Dept.</u> Responsibility : <u>Head of the Department</u>	
Audit No. : _____ Date of Audit : <u>25-07-2018</u>	
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : <u>AUF-08 to be procured</u>	
Auditor Name : <u>Prof. P. Yedunandana</u>	Signature & Date : <u>[Signature] 27/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>will procure the docs</u>	
Root Cause Analysis : <u>Recently only we obtained the information from IGAC.</u>	
Proposed Corrective Action : <u>will be procured.</u>	
Proposed Completion Date : <u>27.7.2018</u>	
Auditee Name : <u>G. S. Subrahmanya</u>	Signature & Date : <u>[Signature] 27/7/2018</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed.	<u>Verified the process documents</u> Auditor Name : <u>Prof. P. Yedunandana</u> Signature & Date : <u>[Signature] 27/7/18</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/151

Dept./ Function : <i>Dept of Computer Science & Engineering</i> Responsibility :	
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF-08, 31, 38, 39 - Need to be updated.</i>	
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name : <i>P. Srinath</i> Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D52

Dept./ Function : <u>Dept of CIVIL ENGS</u>	Responsibility : <u>HOD</u>
Audit No. :	Date of Audit : <u>26/7/2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NIL</u>	
Auditor Name : <u>Prof TVK Bhanuprakash</u> <u>Prof V. Sridewi</u>	Signature & Date : <u>[Signature]</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>Prof GUR Srinivasa Rao</u>	Signature & Date : <u>[Signature]</u> <u>26/7/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed. <input checked="" type="checkbox"/>	Auditor Name Signature & Date : <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/553

Dept./ Function : <i>Dept of Chemical Engineering</i>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF-08, 31, 38, 39 : Need to be updated.</i>	
Auditor Name : <i>Prof. M. Jagannadha Rao</i> <i>Dr. P. Suresh</i>	Signature & Date : <i>P. Suresh</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<i>AUF 08, 38.</i>
Root Cause Analysis :	<i>Need to be updated.</i>
Proposed Corrective Action :	<i>Explained how to make them files</i>
Proposed Completion Date:	<i>2 days</i>
Auditee Name : <i>Prof. S.V. Naidu</i>	Signature & Date : <i>S.V. Naidu</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>P. Suresh</i> Signature & Date : <i>P. Suresh</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D54

Dept./ Function : Dept of Architecture Responsibility : A. Revathi Devi	
Audit No. : Date of Audit : 27-7-2018	
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF-08, AUF-31, AUF-38, and AUF-39 1. Proj Ic. Srinivasa Rao ^{to be updated} 11. u. ch	
Auditor Name : S. Prasad K.P. Balaram Reddy	Signature & Date : 2. [Signature]
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : AUF-08, AUF-31 AUF-38 & AUF-39 will be updated.	
Root Cause Analysis : as per the new regulations of ISO-9001-2015	
Proposed Corrective Action : the above files will be updated.	
Proposed Completion Date: 30-7-18	
Auditee Name : A. Revathi Devi	Signature & Date : [Signature] Head of the Department Department of Architecture Autonomous College of
Verification of corrective actions (To be filled by Auditor at the time of Audit)	
Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed.	Auditor Name : Prj Ic. Srinivasa Rao u. ch Signature & Date : Prj Ic. Srinivasa Rao
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/1 D55

Dept./ Function : <i>Mechanical Engineering</i>		Responsibility :	
Audit No. :		Date of Audit :	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : <i>AUF-18, AUF-23, AUF 25, AUF 26, AUF-08, AUF 31, AUF-38</i> <i>not updated</i> <i>AUF-39</i>			
Auditor Name : <i>1. P.K. RATNA KUMAR</i> <i>2. G. NAGARAJU</i>		Signature & Date : <i>1. P.K. Ratna</i> <i>2. Nagaraju</i>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : <i>With the help of ^{vac} supporting staff all the updations will be done.</i>			
Root Cause Analysis : <i>Lack of adequate supporting staff</i>			
Proposed Corrective Action : <i>will request for additional staff, hence future will be maintained.</i>			
Proposed Completion Date:			
Auditee Name : <i>Head of the Dept, Mech. Engrg, Av.</i>		Signature & Date : <i>[Signature]</i> <i>26/7</i>	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / Closed. <input checked="" type="checkbox"/>		Auditor Name : <i>1. P.K. Ratna</i>	
		Signature & Date : <i>2. Nagaraju</i>	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign.			
Date :			



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/056

Dept / Function <i>Engineering Chemistry</i>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF 9, 18, 23, 26, 27, 33, 35, 36 - AUF 08, 31, 38 & 39</i>	
Auditor Name : <i>1. P.K. RATNA KUMAR</i> <i>2. G. Nagesh</i>	Signature & Date : <i>1. P.K. Rath</i> <i>2. Nagesh</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction <i>All the dues will be completed within one week.</i>	
Root Cause Analysis : <i>As the former HOD has taken charge as Registrar, Dr. B.R.A.U, SICLM, the registers will be updated. Stan</i>	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <i>Dr. S. PAUL DOUGLAS</i> <i>HOD</i>	Signature & Date : <i>[Signature]</i> <i>31/7/2018</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>P.K. Rath</i> Signature & Date : <i>G. Nagesh</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/DS7

Dept./ Function : <i>Marine Engineering</i>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>AUF-18, AUF 32, AUF-35, AUF-36, AUF-08, AUF-31, AUF-38, AUF-39</i>	
Auditor Name : <i>1. P.K. RATNA KUMAR. 2. Nagesh, S</i>	Signature & Date : <i>1. P.K. Ratna 2. G. Nagesh</i>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis : <i>AUF-18 not received, activity coming from IQAC. AUF 32 file with legal section AUF 35 & 36 may be updated with in these</i>	
Proposed Corrective Action : <i>AUF-38 & 39 move & clear information need.</i>	
Proposed Completion Date:	
Auditee Name : <i>Dr. V. V. S. Prasad Prof & HOD</i>	Signature & Date : <i>[Signature] 27/7/18</i>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <input checked="" type="checkbox"/> Closed.	Auditor Name : <i>P.K. Ratna</i> Signature & Date : <i>2. Nagesh</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/P7

Dept / Function : <u>AUCEW (College of Engg for women)</u>	Responsibility : <u>Principal</u>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : <u>Admission register not signed and not updated</u>	<u>Issued 27/7/18</u>
Auditor Name : <u>Prof. K.R. Sudhe Dr. M.S. Anuradha</u>	Signature & Date : <u>H. Satyaiah 27/9/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>Students information will be updated.</u>
Root Cause Analysis :	<u>Non availability of trained non teaching staff.</u>
Proposed Corrective Action :	<u>Students information updated</u>
Proposed Completion Date :	<u>31/7/18</u>
Auditee Name : <u>H. Pramibabu</u>	Signature & Date : <u>H.P. 27/7/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Closed	Auditor Name : <u>Prof. K.R. Sudhe Dr. M.S. Anuradha</u>
	Signature & Date : <u>Issued 27/7/18 H. Satyaiah 27/7/18</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. : <u>Prof. K.R. Sudhe, Dr. M.S. Anuradha</u>	<u>H. Satyaiah</u>
Date : <u>31/7/18</u>	<u>31/7/18</u>



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D58

Dept./ Function : Computer Sc. & Sy. Eng. AUCCEW	Responsibility : HOD
Audit No. :	Date of Audit : 27.07.18
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
<p>Nonconformity : AUF 22 Concerned teachers signature is missing at few places AUF-23 Leave files (non teaching) is not updated and signed. Prof. N. Kishore and signed, 11/12/18</p>	
Auditor Name : Dr. Anuja Iyer	Signature & Date : 27.07.18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	Teachers signatures at respective places will be taken.
Root Cause Analysis :	By mistake
Proposed Corrective Action :	Make the teachers sign at the proper place
Proposed Completion Date:	30/7/18
Auditee Name : M. Pramila Devi H. HOD	Signature & Date : M.P. PRINCIPAL / 18
Verification of corrective actions (To be filled by Auditor at the time of closure)	ANDHRA UNIVERSITY College of Engineering for Women VISAKHAPATNAM-531 030
Status: Open / Closed. <input checked="" type="checkbox"/> Closed	Auditor Name Signature & Date : 31/5/18 Prof. N. KISHORE (11/12)
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	

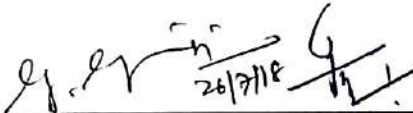

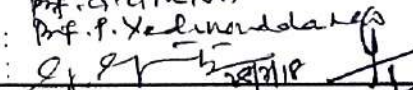


ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/1/1659

Dept./ Function : AUWEC - ECE Dept. Responsibility : Head of the Department	
Audit No. :	Date of Audit : 26.07.2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	AUF-08 to be maintained AUF-09 to be updated AUF-18 to be updated
Auditor Name : Prof. G. GIRINJASAMORE & Prof. P. Yedunandana Rao	Signature & Date :  26/7/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: Procurement and updation of above documents
Root Cause Analysis :	Insufficient manpower.
Proposed Corrective Action :	Will be procured and updated.
Proposed Completion Date :	28/07/2018
Auditee Name : Dr. S. Aruna	Signature & Date :  28/7/2018 Head of the Department Electronics & Communication Engineering College of Engineering for Women
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	✓ Verified the proposed correction. Auditor Name : Prof. G. GIRINJASAMORE & Prof. P. Yedunandana Rao Signature & Date :  28/7/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



**ANDHRA UNIVERSITY
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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/17/D60

Dept./ Function : <u>EEE, AU CEW</u>	Responsibility : <u>MOD</u>
Audit No. :	Date of Audit : <u>29/7/18</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>Teaching & Non-Teaching Leave reg. not updated</u> <u>AUF 23</u>	
Auditor Name : <u>Prof. K. R. Sudhe</u>	Signature & Date : <u>[Signature] 29/7/18</u>
Auditor Name : <u>Dr. M.S. Anuradh</u>	Signature & Date : <u>[Signature] 27/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: <u>The registers have been updated properly</u>
Root Cause Analysis :	<u>A slight lapse in maintaining it</u>
Proposed Corrective Action :	<u>The registers to be updated immediately to avoid any discrepancy in future</u>
Proposed Completion Date:	
Auditee Name :	<u>Prof. T.R. Jyoti</u> <u>Dr. T.R. Jyoti</u> <u>Dr. T.R. Jyoti</u> <u>[Signature]</u> , <u>27/07/2018</u> Professor & Head
Verification of corrective actions (To be filled by Auditor during closure)	<input checked="" type="checkbox"/> Status: Open / Closed. <div style="border: 1px solid blue; padding: 5px; display: inline-block; margin-top: 5px;"> A.U. College of Engineering (W) Andhra University VISAKHAPATNAM-530003 A.P., INDIA </div>
	Signature & Date : <u>[Signature] 29/7/18</u> <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	



**ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/D61

Dept./ Function : Mech. Engg. (AVEC(H))	Responsibility : Prof S.K. Bhatti
Audit No. :	Date of Audit : 25/07/2018
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : AUF-8 and AUF-39 - TO be updated	
By K. SRINIVASA Rao M. W. 25/07/18	
Auditor Name : Prof K.T. BALARAM Prasad	Signature & Date : (Balaram Prasad) 25/07/18
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : AUF-8 and AUF-39 has to be updated.	
Root Cause Analysis : As per the new guideline of ISO 9001 2015 the forms were to be filled and will be done.	
Proposed Corrective Action : As per the new guidelines stated above the corrective measures have been taken.	
Proposed Completion Date: 26-07-2018	
Auditee Name : Prof S.K. Bhatti	Signature & Date : (S.K. Bhatti) 25/07/2018
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <input checked="" type="checkbox"/> Open / <input checked="" type="checkbox"/> Closed.	Auditor Name : Prof. K. Srinivasa Rao M. W.
	Signature & Date : Prof K.T. B. Prasad (Balaram Prasad) 27/07/18
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
AUF-8 and AUF-39 have been verified and found satisfactory.	
Auditor Name / Sign.	Prof. K. Srinivasa Rao M. W. 27/07/18
Date :	Prof K.T. Balaram Prasad (Balaram Prasad) 27/07/18



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/Exam

Dept./ Function : <u>Examinations</u> <u>(UG & PG, Postgrad)</u>	Responsibility : <u>Deans (PG & UG)</u>
Audit No. :	Date of Audit : <u>14.08.2018 & 16.08.2018</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF-75, AUF-73 & AUF-85 to be updated.</u>	
Auditor Name : <u>Prof. G. GIRIJANAR</u>	Signature & Date : <u>[Signature] 16/8/18</u>
Auditor Name : <u>Prof. P. YEDUWALANAR</u>	
Signature & Date : <u>[Signature] 16/8/18</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	<u>update of the above documents</u> <u>Following old procedure</u> <u>lack of awareness</u> <u>lack of monitoring</u>
Root Cause Analysis	
Proposed Corrective Action	<u>The above documents will be updated and verified</u>
Proposed Completion Date	<u>16-08-2018</u>
Auditee Name : <u>K. Chandrababu, Dean (PG)</u>	Signature & Date : <u>[Signature] 16/8</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed	<u>verified</u>
Auditor Name	<u>Prof. G. GIRIJANAR</u>
Signature & Date	<u>Prof. P. YEDUWALANAR</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	

Prof. D. PALLA RAO
DEAN OF EXAMINATIONS (UG)
ANDHRA UNIVERSITY
VISAKHAPATNAM-530 003

Prof. G. GIRIJANAR
Prof. P. YEDUWALANAR

ANDHRA UNIVERSITY
VISAKHAPATNAM

16/8/18
16/8/18



**ANDHRA UNIVERSITY
VISAKHAPATNAM**

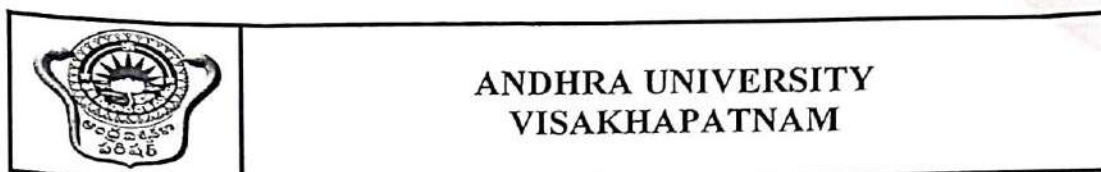
AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2018/7/062

Dept./ Function : <u>Nuclear Physics.</u>	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF 18, 8.7.2(a) AUF 23, AUF 26, AUF 28, AUF 29, AUF 30, AUF 32, AUF 33, AUF 36.</u>	
Auditor Name : <u>M. Vijaya Sankar</u>	Signature & Date : <u>[Signature]</u> <u>26/7/18</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>We will try to correct the short-comings in the above NCR records</u>
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date : <u>4/8/2018</u>	<u>[Signature]</u> <u>26/8/18</u>
Auditee Name : <u>P.V. Madhusudhana Rao</u>	Signature & Date : <u>[Signature]</u> <u>26/8/18</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <input checked="" type="checkbox"/> Closed.	Department of Nuclear Physics Andhra University Visakhapatnam-530 003
	Auditor Name : <u>N.V.E.S. Murthy</u> <u>M. Vijaya Sankar</u>
	Signature & Date : <u>[Signature]</u> <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	
Date :	

Internal Audit NCR Summary:



AUF-07

INTERNAL AUDIT NCR SUMMARY

Audit Date(s): 23rd July - 3rd August, 2018

Sl. No	College / Department / Section	Total No. of Nonconformities
1.	Vice-Chancellor	Nil
2.	Rector	Nil
3.	Registrar	Nil
4.	MR Office	Nil
5.	Principal, AU College of Arts & Commerce	06
6.	Anthropology	06
7.	Commerce & Mgt. Studies	05
8.	Economics	13
9.	Education	01
10.	English	03
11.	Fine Arts	08
12.	Hindi	Nil
13.	History and Archaeology	Nil
14.	Human Resource Management	10
15.	Journalism & Mass Communication	07
16.	Library & Information Science	08
17.	Music & Dance	04
18.	Philosophy	05
19.	Political Science & Public Administration	03
20.	Sanskrit	04
21.	Social Work	03
22.	Sociology	03
23.	Telugu	04
24.	Physical Education	07
25.	Principal, AU College of Science & Technology	Nil
26.	Applied Mathematics	01
27.	Biochemistry	05
28.	Biotechnology	07
29.	Botany	03
30.	Environmental Sciences	05
31.	Food . Nutrition and Dietetics	07
32.	Geography	01
33.	Geology	01
34.	Geophysics	Nil
35.	Human Genetics	02
36.	Inorganic & Analytical Chemistry	Nil



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37.	Marine Living Resources	01
38.	Mathematics	06
39.	Meteorology & Oceanography	02
40.	Microbiology	05
41.	Organic Chemistry	04
42.	P N C O	04
43.	Psychology & Parapsychology	03
44.	Physics, Systems Design	Nil
45.	Statistics	06
46.	Zoology	06
47.	Principal, College of Engineering (A)	04
48.	Architecture	04
49.	Chemical Engineering	04
50.	Civil Engineering	Nil
51.	Computer Science and Systems Engineering	04
52.	Electrical Engineering	01
53.	E C E	01
54.	Geo-Engineering	02
55.	Instrument Technology	09
56.	Marine Engineering	08
57.	Mechanical Engineering	08
58.	Metallurgical Engineering	Nil
59.	Engineering Chemistry	12
60.	Engineering Mathematics	01
61.	Engineering Physics	Nil
62.	Humanities and Social Sciences	02
63.	Principal, College of Engineering for Women	01
64.	Computer Engineering (AUCEW)	02
65.	Mechanical Engineering (AUCEW)	02
66.	E C E (AUCEW)	03
67.	Electrical Engineering (AUCEW)	01
68.	AU College of Pharmaceutical Sciences	Nil
69.	Dr.B.R.Ambedkar College of Law	01
70.	College Development Council	Nil
71.	Directorate of Admissions	Nil
72.	Examination Branch	03
73.	Dr.V.S. Krishna Library	Nil

Prof. D. LALITHA BHASKARI
Coordinator IQAC & ISO
Andhra University
Visakhapatnam-530 003

5) Management Review meeting:

Following the internal Academic and administrative audits done by the internal auditors team, the annual Top Management review meeting was conducted by the office of IQAC on 14/08/2018 at 4:00pm with all the Heads, Deans, Directors, Registrar, Principals, Rector and Hon'ble VC as Chair.

6) Action Taken report:

All the agenda points were discussed and following is the action taken report on Academic and Administrative audit in Management review(MR) meeting.

- 1) The Top Management has decided to review once in 6 months with all the Principals and Head of the Departments concerned
- 2) To obtain feedbacks at the end of every semester and the stakeholders feedback will be taken as and when required.
- 3) To maintain Nonconformities related to process performance and corrective action to be taken if any in the departments.
- 4) Corrective actions are suggested to the respective departments and Sections based on the NCRs observed by the internal auditors which are placed before the MR committee.
- 5) The Hon'ble VC has suggested the HoDs to submit requirements of infrastructure which needs upliftment for further action.
- 6) The effectiveness of action taken should be reviewed in next MR.
- 7) To review QMS documents by MR and Heads of the departments.

7) ISO 9001:2015 external audits by TUV SUD:

The ISO 9001:2015 surveillance audit to conduct academic and administrative audit is scheduled as follows:

Date of ISO surveillance Audit : 2018-08-30 - 2018-08-31

External audit members from TUV-SUD: 1. Sri Sreenivasulu Rupineni

2. K. Sundaresan

3. Pavan Kumar Venkata

8) The detailed audit report of TUV SUD is attached

ISO 9001:2015: Audit Report

Order no.: 4153154208 Client no.: 66843-01
Client: Andhra University



Management Service

Audit type (standard / Revision):	2. Preponed Repeat-Audit (ISO 9001:2015)		
Audit date (on site):	2018-08-30 - 2018-08-31 [2018-03-22]		
Company / customer:	Andhra University		
Street / P.O. box:	Andhra Pradesh		
Zip-Code / state / city:	IN - 530003 Visakhapatnam		
Audit representative:	Prof. D. Lalitha Bhaskari		
Leadauditor/ auditor:	Sreenivasulu Rupineni / K. Sundaresan, Pavan Kumar Venkata		
Technical expert/ trainee:	-/-		
Observer:	NA		
Scope of certification:	Design of Curriculum, Syllabus, regulations & eligibility norms for under graduate, post graduate and research programmes, offer education through admissions, teaching, conduct of examinations, evaluation, publication of results and awards of degree. Create infrastructure through sponsored research and consultancy. Grant of affiliation to the programmes offered by colleges and monitor the same.		
Branch scope (EA/NACE Code):	EA 35, EA 37		
Enclosed documents:	<input checked="" type="checkbox"/> <u>Audit report Annex 1</u> : Action list including opportunities for improvement and positive aspects <input checked="" type="checkbox"/> <u>Audit report Annex 2</u> : Site specific information <input checked="" type="checkbox"/> <u>Audit report Annex 3</u> : Audit program / audited elements <input type="checkbox"/> <u>Multi-Site / Sampling</u> : Multi-Site / Sampling plan <input checked="" type="checkbox"/> Print order		
Audit results ISO 9001:	<input checked="" type="checkbox"/> Audit objectives for the management system (MS) have been fulfilled; scope of certification is appropriate; a (centrally) managed MS is in place; release / maintenance of certificate recommended (subject to effective closure of nonconformities) <input type="checkbox"/> Audit objectives for the MS have NOT been fulfilled; suspension / withdrawal of certificate recommended; certification cannot be granted or maintained		
Next audit date scheduled:	Mar'2019		
Re-Audit:	<input type="checkbox"/> on site / date: <input type="checkbox"/> submit documentation	Duration in hours:	NA

2018-08-31

BYO

Date

Lead Auditor(s) ISO 9001



1 General information

1.1 Certification scheme

The audit in question has been conducted within:

- Single-site certification
- Multi-site certification (see Multi-site plan)
- Multi-site certification based on sampling (see Multi-site plan)
- Certificate transfer
- Combined / integrated certification
- Special audit
- Transition Audit (from ISO 9001:2008 to 9001:2015)
- Others (please add): _____

1.2 Specific information about the client

See "Annex 2: Site specific information".

1.3 Audit objectives

- Determination of the conformity of the management system with audit criteria.
- Evaluation of the ability of the management system to ensure that it meets the applicable statutory, regulatory and contractual requirements.
- Evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives.

1.4 Significant changes which took place since the last audit

Topic	Changes
Management System / documented information	<input type="checkbox"/> none <input checked="" type="checkbox"/> yes: Transitioned into new standard ISO 9001: 2015 and documented information is evident as per requirements.
Scope of certification	<input type="checkbox"/> none <input checked="" type="checkbox"/> yes: Design of Curriculum, Regulations, Eligibility norms and implementation of on-campus Undergraduate, Postgraduate, Professional teaching & Research programmes; Conduct of Examinations, Evaluation, Publication of Results and Award of Degrees; Grant of Affiliation and Academic monitoring to the programmes offered by colleges and other academic institutions; Create infrastructure through Sponsored Research & Consultancy

ISO 9001:2015: Audit Report

Order no.: 4153154208 Client no.: 66843-01

Client: Andhra University



Management Service

Number of employees	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Others	Nil

1.5 Particularities of this audit

Deviations from the audit plan:	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Significant issues impacting the audit program (<i>planned activities for the certification cycle</i>)	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Changes in audit objectives or audit criteria:	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Other particularities:	Nil

2 Effectiveness of corrections and corrective actions from previous audit

<p>The audit team evaluated the corrective action taken for the nonconformities/ areas of concern from the previous audit.</p> <p style="background-color: yellow;">In the case of RA / Re-Certification audits, the audit team considered the audit reports for the last two audits in the audit planning / performance of the audits and in particular checked the nonconformities / areas of concerns.</p> <p style="background-color: yellow;">The corrective actions were found to be:</p>	<p>Previous audit findings reviewed and verified the corrective actions taken found effective.</p> <p> <input checked="" type="checkbox"/> Effective <input type="checkbox"/> Not effective (MiN or NC) <input type="checkbox"/> Not applicable (no existing MiN or NC) </p>
---	--

3 General evaluation of effectiveness of the management system

Refer to level of maturity of the MS, commitment of top management, guaranteeing the continuous compliance with the legal and other requirements, application of performance indicators, continuous improvement, meeting of objectives and targets, competence of personnel, effectiveness of internal audits and management reviews, etc.

Prof. G. Nageswara Rao – Vice Chancellor along with other management team (Rector, Registrar & Principals) are heading the management review. Top management has demonstrated leadership and commitment with respect to quality management system to ensure intended process outputs are delivered. Process performance and opportunity for improvement is reported to top management.

ISO 9001:2015: Audit Report

Order no.: 4153154208 Client no.: 66843-01

Client: Andhra University



Management Service

QMS conforms to standard and customer requirements. At present customer satisfaction feedbacks received from students and parents on faculty & support facilities and overall CSL are higher service levels. 100% of training programs conducted as per calendar against target. Activities like organizing educational tours to students, encouraging students to participate in external paper presentation contests, conduct guest lectures by eminent persons, encouraging faculty for higher education, etc. carried-out for skills development of students and faculty members in the institution. New objectives set for 2018-19 after achievement of 2017-18 quality objectives. Highly qualified & trained faculty members with necessary competences.

Effective Internal audit and management review. Management reviews and IQA conducted once in six months. Last IQA conducted on 23/07/18 to 28/07/18 and management review held on 14/08/18.

Total number of findings for the certification area:

Certification area	Major non-conformities	Minor non-conformities	Opportunities for improvement	Positive aspects
ISO 9001	Nil	Nil	1	2

Standard elements with findings are listed in the action list (Annex 1). The audit findings are based on the audit evidence collected during the audit and available to the certification body.

For multi-site audits (with and without sampling): Not Applicable

Additional aspects for multi-site audits:	ISO 9001
All requirements by the certification body for conducting a multi-site audit were	<input type="checkbox"/> fulfilled <input type="checkbox"/> not fulfilled ^{1) 2)}
Under consideration of all audit reports from all sites, the management system of the organization is:	<input type="checkbox"/> effective <input type="checkbox"/> not effective ^{1) 2)}
When planning corrective actions for non-conformances, all sites of the organization were considered in order to detect systematic errors:	<input type="checkbox"/> effective <input type="checkbox"/> not effective ¹⁾
The organization effectively uses information from corrective actions from each individual site in order to increase the overall effectiveness of the management system:	<input type="checkbox"/> effective <input type="checkbox"/> not effective ¹⁾

1) listed in the action list (Annex 1) as a nonconformity
 2) Certification cannot yet be recommended

4 Controlling the use of certification documents and marks

The evidence collected during the audit demonstrates that the use of certification documents and marks applied by the organization is:

- Conformance
- Major non-conformance (NC)
- Not applicable (ex. initial certification)

5 Additional remarks

5.1 Disclaimer statement

Auditing is based on a sampling process of the available information. Any audit recommendations are subject to an independent review prior to a decision concerning the awarding or renewal of certification.

A management system certification audit (initial, surveillance or recertification audit) is not a legal compliance audit (ISO 17021:2015, 9.2.1.2).

5.2 Duty of information

The Certification Body shall be notified by the client without delay of all changes that may impact on the management system's capability to continue to fulfill the requirements of the relevant standard now and in the future.

These matters include major changes regarding:

- legal, commercial, organizational status or ownership
- organization and management (e.g. key managerial, decision-making or technical staff)
- change of address and sites
- scope of operations under the certified management system

5.3 Due dates

The due date (last day of the certification audit) must be considered for the planning of any additional audit. The respective due dates should be coordinated with the lead auditor.

5.4 Confidentiality

The Certification Body will treat all received documented information related to the certification process as strictly confidential.

Copies to:

- Members of the audit team
- Certification body
- Client