



**ACADEMIC & ADMINISTRATIVE
AUDIT REPORT
2018-2019**



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 : 2018-2019

DATE(s) OF Internal AUDIT: 4th April 2019 to 15th April 2019

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
		Nuclear Physics
	Prof. M.Vijaya Santhi Dept. of Mathematics	Geo-Engineering
		Electrical Engineering
		Philosophy
C	Prof. M.Jaganadha Rao Dept. of Geology	Principal office, College of Engineering
		School of Economics
		Chemical Engineering
		Biotechnology
	Dr. P.Suneeta Dept. of Meteorology & Oceanography	Microbiology
		Environmental Sciences
		Computer Science & System Engineering
D	Prof. V.Girija Sastry Dept. of Pharmacy	Journalism and Mass Communication
		Library Information Science
		Dr.V.S.Krishna Library
		History & Archaeology
	Prof. K.Basavaiah Dept. of Chemistry	Meteorology & Oceanography
		Instrument Technology
		Humanities and Social Sciences
E	Prof. K.Srinivasa Rao Dept. of Civil Engineering	Principal office, College of Pharmaceutical Science
		Psychology & Parapsychology
		Metallurgical Engineering
	Dr. Balaram Padal Dept. of Mechanical Engineering	Mechanical Engineering, Section for Women
		Sanskrit
		Architecture
	Prof. G.Girija Sankar Dept. of Pharmacy	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
		Engineering Physics
	Dr. M.S. Anuradha Dept. of ECE	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
		Education
	Dr. T.Anuja Dept. of Geography	Zoology
		Systems Design
		Marine Living Resources
I	Prof. T.V.K.Bhanu Prakash Dept. of Marine Engineering	College Development Council
		Principal office, Science & Technology
		Civil Engineering
		Geo-Physics
	Prof. V.Sridevi Dept.of Chemical Engineeirng	Geology
		Hindi
		English
J	Prof. P.Vasudeva Reddy Dept. of Engineering Mathematics	Politics and Public Administration
		Human Genetics
		Botany
		Commerce & Management studies
	Dr. K. Sita Manikyam College of Law	Organic Chemistry
		Physical and Nuclear Chemistry
		Inorganic & Analytical Chemistry
Prof.D.Lalitha Bhaskari Dept.of Computer Science & Systems Engineering & Coordinator, IQAC The Office of IQAC, VC office & Registrar’s office will be audited by senior Internal auditors		

3. General Observations:

1. The University is Category – 1 institute recognised by MHRD, GOI
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. Total number of programs offered during 2018-2019 are 244.

Among them UG Programmes offered are 22; PG Programmes- 115,

Integrated programs – 5, Ph.D-58, M.Phil – 42, PG Diploma-2

10. Faculty members - 538
11. 95% faculty members are with PhD
12. Being a reputed Government funded state university, the demand ratio is very high and student enrolment is always high
13. A total of 10541 students are enrolled in the campus and nearly 2800 outgoing students during 2018-2019 .
14. Total Research centres – 13
15. JRFs, SRFs, Post Doctoral Fellows, Research Associates and other research fellows enrolled in the institution : 169

4. NCRs:

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



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D57

Dept./ Function : Dept. of Electrical Engineering	Responsibility :
Audit No. : Sai. K. Chandrasekhar	Date of Audit : 30-4-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : Purchase of Equipment is done but not recorded in the minutes of staff meeting/DC meeting	
Auditor Name : Prof. K. K. Sudeh	Signature & Date : Kona Chandrasekhar 30.04.2019
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : It is proposed to implement from next academic year (2019-2020).	Er. KONA CHANDRASEKHAR Associate Professor & Head Dept. of Electrical Engineering A.U. College of Engineering for Women Andhra University Visakhapatnam-530 003, A.P., INDIA
Root Cause Analysis : Since college is in developing process, we have to get acquainted with procedures.	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date : Kona Chandrasekhar 30.04.2019 Er. KONA CHANDRASEKHAR Associate Professor & Head
Verification of corrective actions (To be filled by Auditor at the time of closure)	Dept. of Electrical Engineering A.U. College of Engineering for Women Andhra University Visakhapatnam-530 003, A.P., INDIA
Status: Open / Closed. ✓	Auditor Name : 2. M. S. Anuradha Signature & Date : Anuradha M. S. 30/4/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign Date	



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VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/058

Dept / Function : <u>Civil Engineering</u> <u>AUCE(W)</u>	Responsibility :
Audit No. :	Date of Audit : <u>30/4/19</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>No NCR</u>	
Auditor Name : <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u> <u>Dr. G. Suresha</u>	Signature & Date of the Auditor : <u>M. S. Anusudhe</u> <u>Dr. G. Suresha</u>
CORRECTIVE ACTION REPORT (To be filled by Auditor)	
Proposed correction : <u>No NCR</u>	Signature & Date of the Department Head : <u>Dr. G. Suresha</u> <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u>
Root Cause Analysis :	Signature & Date of the Department Head : <u>Dr. G. Suresha</u> <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u>
Proposed Corrective Action :	Signature & Date of the Department Head : <u>Dr. G. Suresha</u> <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u>
Proposed Completion Date :	Signature & Date of the Department Head : <u>Dr. G. Suresha</u> <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u>
Auditee Name : <u>Dr. G. Suresha</u>	Signature & Date of the Department Head : <u>Dr. G. Suresha</u> <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	Signature & Date of the Department Head : <u>Dr. G. Suresha</u> <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u>
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u> <u>Dr. G. Suresha</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	Signature & Date : <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anusudhe</u> <u>Dr. G. Suresha</u>
Auditor Name / Sign Date	



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No 2019/04/15

Principal's office -

Department / Section: College of Pharmaceutical Sciences	
Audit No: ; Principal	Date of Audit: 30 th April - 2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause	Reference Document(s) :
Nonconformity - NIL -	
Auditor Name: Prof. K. Srinivasa Rao	Signature & Date: [Signature] 30/4/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	- NA -
Root Cause Analysis	- NA -
Proposed Corrective Action	- NA -
Proposed Completion Date	
Auditee Name: Prof. D. Gowni Shankar	Signature & Date: [Signature] 30/4/19
PRINCIPAL A.U. College of Pharmaceutical Sciences Andhra University VISAKHAPATNAM-530 015	
Verification of corrective actions (To be filled by Auditor at the time of next audit)	
- NA -	
Status: Open / Closed	Auditor Name: Prof. K. T. Balaram Padal
Signature & Date: [Signature] 30/4/19	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/CDC

Dept./ Function : CDC	Responsibility : DEAN CDC
Audit No. :	Date of Audit : 29-04-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
1 TVK Bhanuprakash 2 V. Sri Devi Auditor Name :	Signature & Date : 29-04-2019
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : To update the above Documents	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date : May 06, 2019	Signature & Date : ch. m. ...
Auditee Name : Dean CDC	Signature & Date : ... College Development Council Andhra University Visakhapatnam - 530 003
Verification of corrective actions (To be filled by Auditor at the time of closing)	
Have been updated.	
Status: Open / Closed.	Auditor Name : ... Signature & Date : 29-04-2019
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. 2019/04/D.041

Dept / Function : Directorate of Admissions	Responsibility :
Audit No :	Date of Audit : 26-04-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name : 1. Prof. N.V.E.S. Murthy 2. Prof. M. Vijaya Sathya	Signature & Date : [Signature] 26/4/19 [Signature] 26/04/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : None	
Root Cause Analysis : No NCR.	
Proposed Corrective Action : - None	
Proposed Completion Date :	
Auditee Name : Prof. Nimone Venkatesh Rao	Signature & Date : [Signature] 26/4/19
Verification of corrective actions (To be filled by Auditor at the time of next audit)	
DIRECTORATE OF ADMISSIONS Andhra University, Visakhapatnam-17	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : [Signature] Signature & Date : [Signature] 26/4/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
(N.V.E.S. Murthy) 26/4/19 (M. Vijaya Sathya) 26/4/19	
Auditor Name / Sign. Date	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/P6

Dept./ Function : College of Law ; AU	Responsibility :
Audit No. :	Date of Audit : 02-05-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NO NCR</u>	
Auditor Name : Prof. K. R. Sudha Prof. M. S. Anuradha	Signature & Date : <u>[Signature]</u> Principal
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>NO NCR</u>	Dr. B. R. Ambedkar College of Law Andhra University Visakhapatnam
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	<u>[Signature]</u> Signature & Date : Principal
Auditee Name :	Dr. B. R. Ambedkar College of Law Andhra University Visakhapatnam
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	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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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/Exm I

Dept./ Function : <u>Examinatory - PG ad</u>		Responsibility :	
Audit No. :		Date of Audit : <u>05/08/2019</u>	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : —			
Auditor Name : <u>Prof. G. Girijashankar</u> <u>Prof. P. Yedukondalakhoo</u>		Signature & Date : <u>[Signature]</u> <u>05/08/2019</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : — NIL —			
Root Cause Analysis : — NIL —			
Proposed Corrective Action : — NIL —			
Proposed Completion Date : <u>M. J. Rao</u>		Signature & Date : <u>[Signature]</u> <u>05/08/2019</u>	
Auditee Name : <u>S. V. Reddy</u> <u>Dean of Examinations</u> <u>(PG & Professional)</u>		Signature & Date : <u>[Signature]</u> <u>05/08/2019</u> <u>Dean of Examinations</u> <u>(PG & Professional)</u>	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / Closed. <u>✓</u>		Auditor Name : <u>Prof. G. Girijashankar</u> Signature & Date : <u>Prof. P. Yedukondalakhoo</u> <u>05/08/2019</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.: 2019/04/Exam 2

Dept./ Function : Examination - UG	Responsibility :
Audit No. :	Date of Audit : 05/08/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : —	
Auditor Name : Prof. G. Girija Shankar	Signature & Date : 05/08/2019
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : — NIL —	
Root Cause Analysis : — NIL —	
Proposed Corrective Action : — NIL —	
Proposed Completion Date : M. J. Rao	Signature & Date : 5/8
Auditee Name : S. V. S. Reddy	Signature & Date : 5/8
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	Auditor Name : Prof. G. Girija Shankar
	Signature & Date : 05/08/2019
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.: 2019/04/VSK1

Dept./ Function : V.S. Krishna Library Responsibility :	
Audit No. :	Date of Audit : 30.4.2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) : nil -
Nonconformity : Prof. K. Basavaiah Prof. V. GIRIJA SASTRY	 V. Girijastry 30/4/19.
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	— NA —
Root Cause Analysis :	— NA —
Proposed Corrective Action :	— NA —
Proposed Completion Date:	— NA —
Auditee Name :	 Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	Prof. K. Basavaiah Prof. V. GIRIJA SASTRY.



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D47

Dept./ Function : <u>Marine Engineering</u>	Responsibility :
Audit No. :	Date of Audit : <u>29-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : 1 <u>P.K. Ramesh</u> 2 <u>G. Nagaraj</u>	<u>-1-</u> <u>1 P.K. Ramesh</u> <u>2 Nagaraj</u> - <u>29/4</u>
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>Nil</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <u>Prof. V.V.S. Prasad</u>	Signature & Date : <u>[Signature]</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <u>Closed</u>	Auditor Name : <u>Head of the Department</u> <u>Department of Marine Engineering</u> <u>College of Engineering</u> <u>Andhra University</u> <u>Visakhapatnam-530003</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	<u>1. P.K. Ramesh</u> <u>2. Nagaraj</u>
Date :	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D48

Dept./ Function : <u>Dept. of Mechanical Engineering</u>		Responsibility :	
Audit No. :		Date of Audit : <u>2/5/2019</u>	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : 1. P.K.R.J. 2. G. Nageswari		Nil	
Auditor Name :		Signature & Date : <u>[Signature]</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : Nil			
Root Cause Analysis :			
Proposed Corrective Action :			
Proposed Completion Date :			
Auditee Name : <u>Prof. C.H. Reddy</u>		Signature & Date : <u>[Signature]</u> 2/5	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status : Open / Closed <input checked="" type="checkbox"/>		Auditor Name : Signature & Date : <u>[Signature]</u> 2/5/19	
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.: 2019/04/D49

Dept./ Function : <u>Dept of Metallurgical Engineering</u> <u>Prof. K. Srinivasa Rao</u>	Responsibility : <u>Prof. K. Srinivasa Rao HOD</u>
Audit No. : <u>14.0-D</u>	Date of Audit : <u>04-07-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF - NIL</u>	
1. <u>Prof. K. Srinivasa Rao</u>	1. <u>N. W.</u>
Auditor Name : <u>Prof. K. T. Balaram Padala</u>	Signature & Date : <u>[Signature]</u> <u>4/7/19</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>NA -</u>
Root Cause Analysis :	<u>- NA -</u>
Proposed Corrective Action :	<u>- NA -</u>
Proposed Completion Date:	
Auditee Name : <u>Prof. K. Srinivasa Rao</u> <u>HOD</u>	Signature & Date : <u>[Signature]</u> <u>Head of the Department of Metallurgical Engineering</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
<u>- NA -</u>	<u>N. W.</u> <u>Prof. K. Srinivasa Rao</u>
Status: Open / Closed.	Auditor Name : <u>[Signature]</u> Signature & Date : <u>Prof. K. T. Balaram Padala</u> <u>4/7/19</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.: 2019/04/D50

Dept. / Function : <u>Engineering Chemistry</u>		Responsibility :	
Audit No. :		Date of Audit : <u>14-8-2019</u>	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
<u>ISO 9001 Clause :</u>		<u>Reference Document(s) :</u>	
Nonconformity : <u>1 P.K. Reddy</u> <u>2 Nagaraj S</u>		<u>1 P.K. Reddy</u> <u>2 Nagaraj S</u>	
Auditor Name :		Signature & Date : <u>14/8/2019</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : <u>Nil</u>			
Root Cause Analysis :			
Proposed Corrective Action :			
Proposed Completion Date :			
Auditee Name : <u>Dr. S PAUL DOUGLAS</u>		Signature & Date : <u>14/8/2019</u> <u>Head of the Department</u> <u>Dept. of Engineering Chemistry</u> <u>ATI College of Engineering</u> <u>Andhra University</u> <u>Visakhapatnam-530003, A.P.</u>	
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / <u>Closed</u>		Auditor Name : <u>2 Nagaraj S</u> Signature & Date : <u>14/8/2019</u>	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign. Date :			



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VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No: 2019/04/DS1

Dept / Function	Engineering Mathematics AU CE (A)	Responsibility :
Audit No		Date of Audit : 06-07-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)		
ISO 9001 Clause :	Reference Document(s) :	
Nonconformity :	— NO NCR	
Auditor Name	Prof K.R. Sudha Prof M.S. Anuradha	Signature & Date Head of the Department of Engineering Mathematics AU College of Engineering (A) Visakhapatnam - 530 003
CORRECTIVE ACTION REPORT (To be filled by Auditor)		
Proposed correction	— NO NCR	
Root Cause Analysis	—	
Proposed Corrective Action :		
Proposed Completion Date:		
Auditee Name	Head of the Department of Engineering Mathematics AU College of Engineering (A) Visakhapatnam - 530 003	
Verification of corrective actions (To be filled by Auditor at the time of closure)		
Status: Open / Closed	✓ 1. Prof K. Rama Sudha 2. M. Satya Anuradha	
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.: 2019/04/052

Dept / Function	Engineering Physics	Responsibility :
Audit No.	AUCE(A)	Date of Audit 06-07-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)		
ISO 9001 Clause :	Reference Document(s) :	
Nonconformity :	No NCR	
Auditor Name	Signature & Date	
Prof. K. R. Sudha	Prof. M. S. Anuradha	
CORRECTIVE ACTION REPORT (To be filled by Auditor)		
Proposed correction	No NCR.	
Root Cause Analysis		
Proposed Corrective Action :		
Proposed Completion Date		
Auditee Name	Signature & Date	
	HEAD	
Verification of corrective actions (To be filled by Auditor at the time of closure)	Dept. of Engineering Physics	
	Andhra University	
	Visakhapatnam - 530 003	
Status Open / Closed	Auditor Name	
	1. Prof. K. Rama Sudha	
	Signature & Date	
	2. Prof. M. S. Anuradha	
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.: 2019/041.D53

Dept./ Function : Dept of Humanities & Social Service, Engineering	Responsibility :
Audit No. :	Date of Audit : 23/7/19
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) : (nil)
Nonconformity : Prof. V. GIRIDHARASTRY Prof. K. Basavaiah	NA V.L. 23/7/19, * Basavaiah 23-07-2019
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis : — NA —	
Proposed Corrective Action :	
Proposed Completion Date:	V.L. 23/7/19,
Auditee Name : Prof. V. GIRIDHARASTRY Prof. K. Basavaiah	Signature & Date : Basavaiah 23-07-2019
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> Open	V. Giridharastri 23/7/19
	Auditor Name : Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date	Prof. V. GIRIDHARASTRY V.L. 23/7/19 Prof. K. Basavaiah Basavaiah 23-07-2019

Head
Dept. of Humanities & Social Sciences
A.U. College of Engineering (A)
ANDHRA UNIVERSITY
VISAKHAPATNAM-530003



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/P4

Dept./ Function : AU College of Engg Responsibility : Principal office.
Audit No. : Principal office Date of Audit : 30/4/2019

DETAILS OF NONCONFORMITY (To be filled by Auditor)

ISO 9001 Clause :

Reference Document(s) :

Nonconformity :

— NIL —

Prof. K. R. Sudhe
Prof. M. S. Anusudha

Signature
H. Selva Reddy

Auditor Name : Prof. M. Pramila Devi

Signature & Date :

M. P. Reddy

30/4/19

CORRECTIVE ACTION REPORT (To be filled by Auditee)

PRINCIPAL

Proposed correction :

— All well maintained

A.U. College of Engineering for Women
Visakhapatnam-530 017

Root Cause Analysis :

—

Proposed Corrective Action :

—

Proposed Completion Date:

Auditee Name : Prof. M. Pramila Devi

Signature & Date :

M. P. Reddy

30/4/19

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

Status: Open / Closed. ☒

Auditor Name :

Signature & Date :

Prof. K. R. Sudhe
Prof. M. S. Anusudha
Signature
H. Selva Reddy

A.U. College of Engineering
Visakhapatnam-530

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.: 2019/04/54

Dept./ Function : <u>Dept of CS & SE</u>	Responsibility :
Audit No. : <u>AUCEW</u>	Date of Audit : <u>18/4/19</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>— NIL —</u>	
Auditor Name : <u>Prof. N. Kishore B.Sc</u>	Signature & Date : <u>N. Kishore</u> <u>Anuja Tigga</u> 18.4.19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>NO NCR</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	Signature & Date : <u>Anuja Tigga</u>
Auditee Name : <u>HOD, Dept of CS & SE</u> <u>AUCEW</u>	(<u>Prof. ANUJA TIGGA</u>) <u>N. Kishore B.Sc</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed. ✓	Signature & Date : <u>Anuja Tigga</u> <u>(Prof. ANUJA TIGGA)</u> <u>N. Kishore B.Sc</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	

B. S. S.
Head of the Department
Dept. of CS & SE
AU College of Engg. for Women
Visakhapatnam-530 017



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No 2019/04/D55

Department	Mechanical Engineering	Responsibility	Prof. S.K. Bhatti
Audit No	AUEC(W)	Date of Audit	25/04/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause	Reference Document(s) :		
Nonconformity	- NIL -		
Auditor Name	Prof. K. Srinivasa Rao	Signature & Date	u. w. 25/04/19
Auditor Name	Prof. K.T. Balaram Padal	Signature & Date	25/4/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction	- NIL -		
Root Cause Analysis	- NA -		
Proposed Corrective Action	- NA -		
Proposed Completion Date	25/04/2019		
Auditee Name	Prof. S.K. Bhatti	Signature & Date	u. w. 25/04/2019
Verification of corrective action (To be filled by Auditor at the time of closure)			
Status	- NA -		
Status	Open	Auditor Name	Prof. K. Srinivasa Rao
	Closed	Signature & Date	Prof. K.T. Balaram Padal 25/04/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
- NA -			
Auditor Name	Prof. K. Srinivasa Rao	Signature & Date	u. w. 25/04/19
Date	Prof. K.T. Balaram Padal	Signature & Date	25/4/19

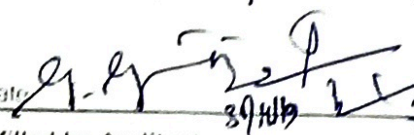
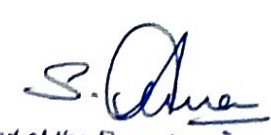


ANDHRA UNIVERSITY
VISAKHAPATNAM

AUB 06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No 2019/04/DSX

Dept / Function	E.C.E (b)	Responsibility	
Audit No		Date of Audit	30/04/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :	Reference Document(s) : AUF-38		
Nonconformity : AUF-38 to be updated (Monthly during April, 2019)			
Auditor Name	Prof. P. yodurudalamb	Signature & Date	 30/04/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction	AUF-38 to be updated		
Root Cause Analysis	Due to examinations		
Proposed Corrective Action	To be taken		
Proposed Completion Date	01/05/2019		
Auditee Name	Dr. S. ARUNA	Signature & Date	 Head of the Department - Electronics & Communication Engineering A.U. College of Engineering for Women 30/04/19 University Visakhapatnam-530 003
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status	Open / Closed	Auditor Name	Prof. G. Vinjarewar
	✓	Signature & Date	Prof. P. yodurudalamb 30/04/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign	Prof. G. Vinjarewar		
Date	01/05/2019		



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D39

Dept./ Function : <u>Zoology</u>	Responsibility :
Audit No. :	Date of Audit : <u>23.04.2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>None</u>	
Auditor Name : <u>Prof. ANUJA TIGGA</u>	Signature & Date : <u>Anuja Tigga 23.04.19.</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>No NCR</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	Signature & Date : <u>Anuja Tigga</u>
Auditee Name :	Signature & Date : <u>(Prof. N. KISHORE BABU)</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed. <input checked="" type="checkbox"/>	Signature & Date : <u>(Prof. ANUJA TIGGA)</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	Signature & Date : <u>(C. MANJULAKHA)</u>
Date :	Signature & Date : <u>(Prof. N. KISHORE BABU)</u>

Department of Zoology
Andhra University
Visakhapatnam



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/PS

Dept./ Function : <u>Principal Office</u>	Responsibility : <u>Prof. P. Seetha Rao</u>
Audit No. : <u>AO College of Engineering</u>	Date of Audit : <u>23/7/2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NA</u>	
Auditor Name : <u>Prof. P. Seetha Rao</u>	Signature & Date : <u>P. Seetha Rao</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>NA</u>	
Root Cause Analysis : <u>NA</u>	
Proposed Corrective Action :	
Proposed Completion Date :	<u>Prof. P. Seetha Rao</u>
Auditee Name : <u>AO</u>	Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <u>Open</u>	Auditor Name : <u>P. Seetha Rao</u>
	Signature & Date : <u>23/7/2019</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. : <u>P. Seetha Rao</u>	
Date : <u>25/7/2019</u>	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/040

Dept./ Function : Architecture	Responsibility : HOP
Audit No. A. Revathi Devi	Date of Audit : 05/07/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
1. Prof. K. Srinivasa Rao	
2. Prof. K.T. Balaram Padal	
Auditor Name :	Signature & Date : u. w. 05/07/19 B. Srinivas Rao 5/7/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	— NIL
Root Cause Analysis :	— NA —
Proposed Corrective Action :	— NA —
Proposed Completion Date:	— NA —
Auditee Name : Smt. A. Revathi Devi	Signature & Date : P. Srinivas Rao Department of Architecture College of Engineering (A) Visakhapatnam
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name : Signature & Date : 1. Prof. K. Srinivasa Rao u. w. 05/07/19 2. Prof. K.T. Balaram Padal B. Srinivas Rao 5/7/19
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.: 2019/04/041

Dept./ Function : <i>Chemical Engineering</i>	Responsibility : <i>Head of Department</i>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>N/A</i>	
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction <i>N/A</i>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <i>Prof. P. Keig</i>	Signature & Date : <i>[Signature]</i> Head of the Department Department of Chemical Engineering College of Engineering (A) Visakhapatnam
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <i>[Signature]</i> Signature & Date : <i>P. Senthil</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. <i>P. Senthil</i>	<i>[Signature]</i>
Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/042

Dept./ Function : <u>Civil Engg.</u>	Responsibility :
Audit No. :	Date of Audit : <u>25-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>-NIL-</u>	
Auditor Name : <u>1) Prof. T.V.K. Bhaskarprasad</u> <u>2) Prof. V. Sridevi</u> Signature & Date : <u>(S) [Signature]</u> <u>(S) [Signature]</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>Head of the Dept</u>	Signature & Date : <u>[Signature]</u> Head of the Department Department of Civil Engineering College of Engineering (A) Andhra University, Visakhapatnam
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed.	Auditor Name : <u>Prof. T.V.K. Bhaskarprasad</u> <u>Prof. V. Sridevi</u> Signature & Date : <u>[Signature]</u> <u>25/4/19</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date : <u>25-4-2019</u>	



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/042

Dept./ Function : <u>Computer Science Engineering</u>	Responsibility : <u>Prof. K. Nageshwar Rao</u>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NA</u>	
Auditor Name : <u>P. Sreetha</u>	Signature & Date : <u>P. Sreetha</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>N/A All the records as per the observation report are to be updated.</u>	
Root Cause Analysis : <u>Lack of staff and the office was closed for nearly 3 months due to election.</u>	
Proposed Corrective Action :	
Proposed Completion Date : <u>31-07-2019</u>	
Auditee Name : <u>Prof. K. Nageshwar Rao</u>	Signature & Date : <u>[Signature]</u> HEAD OF THE DEPARTMENT COMPUTER SCIENCE AND ENGINEERING COLLEGE OF ENGINEERING (A) VISAKHAPATNAM
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>P. Sreetha</u> Signature & Date : <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. : <u>P. Sreetha</u>	Date : <u>[Signature]</u>

* The head of the Dept is not available at the time of internal audit visit.



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/043

Dept. / Function	Electrical Engineering (AUCE)	Responsibility	
Audit No		Date of Audit	26-04-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity :			
Auditor Name : 1. Prof. N.V. E.S. Murthy 2. Prof. M. Vijaya Santhi		Signature & Date 26/4/19	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction None			
Root Cause Analysis Nothing			
Proposed Corrective Action Nil			
Proposed Completion Date.			
Auditee Name Prof. G.V. Siva Krishna Rao		Signature & Date	
		Head of the Department Dept. of Electrical Engineering A.U. 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 / Closed. <input checked="" type="checkbox"/>		Auditor Name : Signature & Date	
		26/4/19	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)		Signature & Date	
		26/4/19	
Auditor Name / Sign. Date			



AUDIT NON-CONFORMANCE REPORT (NCR)

Dept./ Function : E. C. E (A)	Responsibility :
Audit No. :	Date of Audit : 8/04/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : —	
Auditor Name : Prof. G. G. Nijalankar	Signature & Date : 08/04/2019
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : — N.I.L —	
Root Cause Analysis : — N.I.L —	
Proposed Corrective Action : — N.I.L —	
Proposed Completion Date :	8/04/2019
Auditee Name : G. S. S. J. Nijalankar	Signature : Prof. G. G. Nijalankar
HOD, ECE	Head of the Department Dept. of Electronics & Commn. Engg. J. J. Somaiya Institute of Engg. (A) Andhra University Visakhapatnam - 530 003
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. ✓	Auditor Name : Prof. G. G. Nijalankar
	Signature & Date : Prof. P. Yedukondalapati
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. 2019/04/D45

Dept./ Function : <u>Geo-Engineering</u> <u>(A.U.E)</u>	Responsibility :
Audit No. :	Date of Audit : <u>26-04-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
1. Prof. N.V.E.S. Murthy Auditor Name : 2. Prof. M. Vijaya Sankar Signature & Date : <u>26/4/19</u> <u>M. Sankar</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction <u>Nil</u>	
Root Cause Analysis : <u>Nothing particular</u>	
Proposed Corrective Action <u>None</u>	
Proposed Completion Date:	
Auditee Name : <u>Prof. G. Tadavankar</u>	Signature & Date : <u>26/4/19</u> <u>[Signature]</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.	Auditor Name : <u>N.V.E.S. Murthy</u> Signature & Date : <u>26/4/19</u> <u>(N.V.E.S. Murthy)</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date : <u>26/4/19</u> <u>(M. Vijaya Sankar)</u>	



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/046

Dept. / Function : Instrument Technology (Engineering)	Responsibility :
Audit No. :	Date of Audit : 23/7/19
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : AUF 18 (Activity diary)	
AUF 26 (Results Review register)	
Prof. V. GIRIDHARASASTRY Auditor Name	V. L. S. 23/7/19 Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : 23/7/2019	
Root Cause Analysis : in activity diary students percentage attendance, staff class engagement to be updated for the past 6 months	
Proposed Corrective Action : 25/7/2019	
Proposed Completion Date : 25/7/19	
Prof. V. GIRIDHARASASTRY Auditee Name	V. L. S. 25/7/19 Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : V. GIRIDHARASASTRY Signature & Date : 25/7/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Verified AUF 18, AUF 26 updated	
Auditor Name / Sign. Date	V. L. S. 25/7/19 [V. GIRIDHARASASTRY]

Srinivasan
(Y. Srinivas Rao)

Head of the Department of
Instrument Technology
V.U. College of Engineering (A)
Andhra University
Visakhapatnam-530 003.



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D27

Dept./ Function : <u>Human Genetics</u>	Responsibility :
Audit No. :	Date of Audit : <u>17-04-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NIL</u>	1. <u>[Signature]</u>
Prof. P. Vasudeva Reddy	2. <u>K. Sitamanyam</u>
Auditor Name : <u>Prof. Sitamanyam</u>	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>Research Scholars Report shall be taken every month or quarterly</u>
Root Cause Analysis :	
Proposed Corrective Action :	<u>we will collect the progress report from the Research scholars for every month/quarterly in future.</u>
Proposed Completion Date :	
Auditee Name : <u>V. Lakshmi Kalpana</u>	<u>V.L. Kalpana</u> Head of the Department 17-4-19 Dept. of Human Genetics Andhra University Visakhapatnam-530 007
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed.	Auditor Name : 1. <u>[Signature]</u>
	Signature & Date : 2. <u>K. Sitamanyam</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	1. <u>[Signature]</u>
Date	2. <u>K. Sitamanyam</u>



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/b28

Dept./ Function : <u>Dept. of Inorganic & Analytical Chemistry</u>	Responsibility :
Audit No. :	Date of Audit : <u>8-5-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NIL</u>	
Auditor Name : <u>Dr. K. Sita Manikya</u>	Signature & Date : <u>1. [Signature]</u> <u>2. K. Sita Manikya</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>AUF 30 Original Copies of DRC resolutions are to be maintained.</u>
Root Cause Analysis :	<u>AUF 24. Stock register must show the original copies are kept with Principal Office.</u>
Proposed Corrective Action :	<u>AUF 24 sent to C.A.O</u> <u>AUF 30. From next line onwards two originals will be maintained</u>
Proposed Completion Date:	
Auditee Name :	Signature & Date : <u>B. Sava</u> <u>08-05-2019</u> HEAD OF THE DEPARTMENT <small>Department of Inorganic & Analytical Chemistry College of Science & Technology Andhra University Visakhapatnam</small>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <u>✓</u>	Auditor Name : <u>1. [Signature]</u> Signature & Date : <u>2. K. Sita Manikya</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date : <u>1. [Signature]</u> <u>2. K. Sita Manikya</u>	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

Dept. of MLR

NCR No.: 2019/04/529

Dept./ Function : Marine Library Resource Responsibility :	
Audit No. :	Date of Audit : 18-4-19
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : - NIL -	
Auditor Name : Prof. Anuja Tigga	Signature & Date : Nkhar Anuja Tigga
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : NO NCR	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date : Nkhar (Prof. N. KISHORE BABU)
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. ✓	Signature & Date : Nkhar (Prof. N. KISHORE BABU)
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.: 2019/04/D30

Dept./ Function : <u>Mathematics</u>	Responsibility :
Audit No. :	Date of Audit : <u>23-04-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : 1 <u>P.K. Reddy</u> 2 <u>G. Nagaraj</u>	1 <u>P.K. Reddy</u> 2 <u>Nagaraj</u>
Auditor Name :	Signature & Date : <u>23/4/19</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>Nil</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>N.V.E.S. Murthy</u>	Signature & Date : <u>[Signature]</u> <u>HEAD</u>
Verification of corrective actions (To be filled by Auditor at the time of next audit) Status: Open / Closed. <u>Closed</u>	
Auditor Name : <u>P.K. Reddy</u> Signature & Date : <u>23/4/19</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.: 2019/04/D31

Dept./ Function : <u>Meteorology & Oceanography</u>		Responsibility :	
Audit No. :		Date of Audit : <u>22-7-2019</u>	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : <u>Nil</u>			
Auditor Name : <u>Prof. V. Girishastri</u> <u>Prof. K. Basavaiah</u>		Signature & Date : <u>V. Girishastri</u> <u>22/7/19</u> <u>Prof. K. Basavaiah</u> <u>22-07/19</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : <u>- NA -</u>			
Root Cause Analysis : <u>- NA -</u>			
Proposed Corrective Action : <u>- NA -</u>			
Proposed Completion Date : <u>- NA -</u>			
Auditee Name : <u>Prof. V. Girishastri</u> <u>Prof. K. Basavaiah</u>		Signature & Date : <u>Prof. V. Girishastri</u> <u>22/7/19</u> <u>Prof. K. Basavaiah</u> <u>22/7/19</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>Prof. V. Girishastri</u> <u>Prof. K. Basavaiah</u>	
		Signature & Date : <u>Prof. V. Girishastri</u> <u>22/7/19</u> <u>Prof. K. Basavaiah</u> <u>22/7/19</u>	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign. : <u>Prof. K. Basavaiah</u> <u>Prof. V. Girishastri</u>		Signature & Date : <u>Prof. K. Basavaiah</u> <u>22/7/19</u> <u>Prof. V. Girishastri</u> <u>22/7/19</u>	

Head
Department of Meteorology
and Oceanography
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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D32

Dept./ Function : <i>Microbiology</i>	Responsibility : <i>Head of the Department</i>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>NA</i>	
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <i>NA</i>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <i>Dr. V. L. Kalpana</i>	Signature & Date : <i>V. L. Kalpana 22/4/19</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. <i>P. Suresh</i>	Date :



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D33

Dept / Function : <u>Nuclear Physics</u>	Responsibility :
Audit No. :	Date of Audit : <u>25-04-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name : <u>1. Prof. N.V.E.S. Murthy</u> <u>2. Prof. M. Vijaya Sankar</u> Signature & Date : <u>M.V. Sankar</u> <u>25/4/19</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction <u>Nothing particular</u>	
Root Cause Analysis : <u>None</u>	
Proposed Corrective Action : <u>Nil</u>	
Proposed Completion Date:	
Auditee Name : <u>P.V. Madhu Sudhana Rao</u>	Signature & Date : <u>M.V. Sankar</u> <u>25/4/19</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.	Auditor Name <u>M.V. Sankar</u> Signature & Date <u>M.V. Sankar</u> <u>25/4/19</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. <u>(N.V.E.S. Murthy)</u> <u>(M. Vijaya Sankar)</u> Date : <u>25/4/19</u> <u>25/4/19</u>	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No 2019/04/D34

Department Organic Chemistry and PDW	Responsibility HOD
Auditor Dr. Siddaiah V	Date of Audit 25/04/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause	Reference Document(s) :
Nonconformity :	
Auditee Name Prof. K. Srinivasa Rao Prof. K. T. Balaram Padal	
Signature & Date 25/4/19	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction — NIL	
Root Cause Analysis — NA	
Proposed Corrective Action — NA	
Proposed Completion Date V. Siddaiah	
Auditee Name Prof. V. Siddaiah HEAD OF THE DEPT. OF ORGANIC CHEMISTRY FOODS DRUGS & WATER ANDHRA UNIVERSITY, WALTAIR VISAKHAPATNAM-530 003	
Verification of corrective actions (To be filled by Auditor)	
Signature of Auditor	Auditor Name Signature & Date
	Prof. K. Srinivasa Rao Prof. K. T. Balaram Padal
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditee Name Signature	

25/4/19



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D35

Dept./ Function : PNCO	Responsibility :
Audit No. :	Date of Audit : 29-04-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : NIL	
Auditor Name : Prof. Vasudevareddy Dr. K. Sita Mainiyen	Signature & Date : 29/4/19 K. Sita Mainiyen
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	AUF 24 is to be corrected / up dated AUF 8, 31, 38, 39 are to be updated.
Root Cause Analysis :	not properly understood.
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : Dr. P. Shyanale	Signature & Date : Shyanale Head of the Dept. of P.N.C.O.
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	Auditor Name Dr. K. Sita Mainiyen Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. 1. K. Sita Mainiyen	
Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/36

Dept./ Function : <u>Psychology</u>	Responsibility : <u>Head of the department</u>
Audit No. :	Date of Audit : <u>08-08-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>Prof. K. Srinivasa Rao</u> <u>Prof. K.T. Balaram Padu</u>	<u>H.W.</u> <u>Chandrababu</u> <u>8/8/19</u>
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>NIL</u>
Root Cause Analysis :	<u>NA</u>
Proposed Corrective Action :	<u>NA</u>
Proposed Completion Date:	<u>NA</u>
Auditee Name : <u>Prof. M.V.R. Rao</u>	Signature & Date : <u>8/8/2019</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed.	<u>Head of the department</u> <u>Dept. of Psychology and Parapsychology</u> <u>Andhra University</u> <u>Visakhapatnam</u> <u>Prof. K. Srinivasa Rao</u> <u>Chandrababu</u> <u>2. Prof. K.T. Balaram Padu</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.: 2019/04/037

Dept./ Function : Physics (AUCST)	Responsibility :
Audit No. :	Date of Audit : 26-04-2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name : 1. Prof. N.V.E.S. Murthy 2. Prof. M. Vijaya Santhi	Signature & Date : 26/4/19 26/4/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction Nil.	
Root Cause Analysis : Nothing major	
Proposed Corrective Action : None	
Proposed Completion Date:	
Auditee Name : Prof. K. Samatha	Signature & Date : 26/4/19 Head
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : Prof. N.V.E.S. Murthy Signature & Date : 26/4/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D38

Dept./ Function : <u>Dept. of Statistics</u>	Responsibility :
Audit No. : <u>1</u>	Date of Audit : <u>29-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
<u>ISO 9001 Clause :</u>	<u>Reference Document(s) :</u>
Nonconformity : <u>No. NCR.</u> <u>1. P.K. Ratan</u> <u>2. G. Nagaraj</u>	
Auditor Name :	Signature & Date : <u>P.K. Ratan</u> <u>Nagaraj</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : 	
Root Cause Analysis : 	
Proposed Corrective Action : 	
Proposed Completion Date: <u>2. Venkateswara Rao</u>	
Auditee Name <u>L. VENKATESWARA RAO</u>	Signature & Date : <u>HEAD</u> <u>Department of Statistics</u> <u>Andhra University</u> <u>Visakhapatnam-530003</u> <u>Andhra Pradesh, India</u>
Verification of corrective actions (To be filled by Auditor after closure) Status: <input checked="" type="checkbox"/> Open / <input type="checkbox"/> Closed.	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date : <u>29/4</u>	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No : 2019/04/D15

Dept / Function	sociology	Responsibility	
Audit No		Date of Audit	25/04/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :	Reference Document(s) : Communication Matrix AUP-38		
Nonconformity : Communication Matrix to be updated according to Quarter for Dec-April, 2019			
Auditor Name	Prof. G. Girijashankar Prof. P. Yedukondalaxmi	Signature & Date	G. Girijashankar 25/4/19 P. Yedukondalaxmi 25/4/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction Communication Matrix to be updated			
Root Cause Analysis Due to heavy work load			
Proposed Corrective Action update the Communication Matrix			
Proposed Completion Date 27/04/2019			
Auditee Name	DR.D. Ramcharao	Signature & Date	DR.D. Ramcharao 25/4/2019
Verification of corrective actions (To be filled by Auditor at the time of closure)			
AUF-38 - Verified			
Status	Open / Closed	Auditor Name	Prof. G. Girijashankar
	✓	Signature & Date	Prof. P. Yedukondalaxmi 27/4/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
AUF-38 - updated			
Auditor Name / Sign	Prof. G. Girijashankar	Signature & Date	G. Girijashankar 27/4/19
Date	27/04/2019	Signature & Date	P. Yedukondalaxmi 27/4/19



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/316

Dept./ Function : <u>Dept of Telugu</u>	Responsibility :
Audit No. :	Date of Audit : <u>27-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>- NIL -</u>	
Auditor Name : <u>Prof. Anuja Tigga</u>	Signature & Date : <u>Anuja Tigga</u> <u>27.4.2019</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>No NCR</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	Signature & Date : <u>Anuja Tigga</u> <u>Nkr</u>
Auditee Name :	Signature & Date : <u>Prof. N. KISHORE BABU</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed. ✓	Signature & Date : <u>Anuja Tigga</u> <u>Nkr</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	

[Signature]
Head of the Dept. of Telugu
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Visakhapatnam-530 003, A.P



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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/017

Dept./ Function : <u>Physical Education</u>	Responsibility :
Audit No. :	Date of Audit : <u>15-5-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NIL</u>	
Auditor Name : 1. Prof. P. Vasudhara Reddy 2. Dr. K. Sitamurthyam	Signature & Date : <u>[Signature]</u> K. Sitamurthyam
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>AUF 18, AUF 23, AUF 24, AUF 34, AUF 35 are to be updated.</u>
Root Cause Analysis :	<u>Due to lack of staff records not updated.</u>
Proposed Corrective Action :	<u>Recommended to update.</u>
Proposed Completion Date :	<u>20-5-2019.</u>
Auditee Name : <u>Prof. Vijayamohan</u>	Signature & Date : <u>[Signature]</u> Head of the Department
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <input checked="" type="checkbox"/> Closed.	Auditor Name : <u>Prof. P. Vasudhara Reddy</u> Signature & Date : <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign.	1. <u>[Signature]</u> 2. <u>K. Sitamurthyam</u>



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/10

Dept./ Function : <u>PRINCIPAL OFF SC College</u>	Responsibility : <u>PRINCIPAL</u>
Audit No. :	Date of Audit : <u>02-May-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>TVK Bhanuprakash</u> Auditor Name : <u>V. S. R. Devi</u>	<u>NIL</u> Signature & Date : <u>[Signature] 02-5-2019</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>NIL</u>
Root Cause Analysis :	<u>NIL</u>
Proposed Corrective Action :	<u>NIL</u>
Proposed Completion Date:	
Auditee Name : <u>PRINCIPAL A. V. S. R. Devi</u>	Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed.	Auditor Name : <u>[Signature]</u> Signature & Date : <u>02-5-2019</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	

[Signature]
PRINCIPAL
College of Science & Technology
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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/018

Dept. / Function : <u>Applied Mathematics</u> Responsibility :	
Audit No. :	Date of Audit : <u>22-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>Nil</u>	
Auditor Name : <u>1. P.K. Reddy</u> <u>2. G. Nagaraj</u> Signature & Date : <u>22/4/19</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>Nil</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>Prof. M. Vijaya Santhi</u>	Signature & Date : <u>M. Santhi</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. : <u>Closed</u>	Auditor Name : <u>1. P.K. Reddy</u> <u>2. Nagaraj</u> Signature & Date : <u>22/4/19</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date	

Head of the Department
of Applied Mathematics
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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/019

Dept./ Function : <u>Bio-Chemistry</u>	Responsibility :
Audit No. :	Date of Audit : <u>30-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>1 P.R. Radhika</u> <u>2 G. Nagalakshmi</u>	
Auditor Name :	Signature & Date : <u>30/4</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>—</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>PROF. P. RADHIKA</u>	Signature & Date : <u>P. Radhika</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <u>Closed</u>	Auditor Name : <u>P. R. Radhika</u> Signature & Date : <u>30/4</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.: 2019/04/D20

Dept./ Function : <u>Bio-Technology</u>	Responsibility :
Audit No. :	Date of Audit : <u>22/4/2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>N21</u>	
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>NA</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <u>x Dr. K. L. Kalpura</u>	Signature & Date : <u>V. L. Kalpura</u> <u>22/4/19</u>
	Head Dept. of Biotechnology Andhra University Visakhapatnam
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <u>✓</u>	Auditor Name : <u>P. Suresh</u> Signature & Date : <u>[Signature]</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. <u>[Signature]</u>	<u>x P. Suresh</u>
Date :	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/024

Dept./ Function : <u>Dept. of Botany</u>	Responsibility :
Audit No. :	Date of Audit : <u>20/4/2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NIL</u>	
Auditor Name : <u>1. Prof. Vasudevareddy</u> <u>2. Dr. K. Sitaramaiah</u>	Signature & Date : <u>1. [Signature]</u> <u>2. K. Sitaramaiah</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>AUF-8 is to be updated</u>	
Root Cause Analysis : <u>Collected latest information and is to be updated in AUF-8.</u>	
Proposed Corrective Action :	
Proposed Completion Date : <u>22-04-2019</u>	
Auditee Name : <u>Sujatha</u>	Signature & Date : <u>[Signature] 20/4/19</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open / Closed</u>	Auditor Name : <u>1. [Signature] (P. Vasudevareddy)</u> <u>2. [Signature] (K. Sitaramaiah)</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. : <u>1. [Signature]</u> <u>2. K. Sitaramaiah</u>	



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AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/023

Dept./ Function : Environmental Science Responsibility :	
Audit No. :	Date of Audit : 22/4/20
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : NA	
Auditor Name : Prof. M. Jagannatha Rao	Signature & Date : [Signature]
Auditor Name : Prof. P. Senthil	Signature & Date : [Signature]
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : NA	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : P. V. V. Prasada Rao	Signature & Date : P. V. V. Rao
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. ✓	Auditor Name : [Signature] Signature & Date : [Signature]
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign : [Signature]	Auditor Name / Sign : P. Senthil

Head of the Department
Dept. of Environmental Science
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VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/02²³

Dept./ Function : <u>Food & Nutrition</u>	Responsibility : <u>Head of the Department</u>
Audit No. :	Date of Audit : <u>22/4/2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>N/A</u>	
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>N/A</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <u>Dr. V.L. Kalpana</u>	Signature & Date : <u>V.L. Kalpana</u> <u>22-4-19</u>
Head of the Department Food, Nutrition & Dietetics Andhra University VISAKHAPATNAM-530 003, India	
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <u>P. Senthil</u>
	Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. <u>[Signature]</u>	<u>[Signature]</u>
Date	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/024

Dept./ Function : <u>Department of Geography</u>	Responsibility :
Audit No. : <u>Prof. Anuja Tigga</u>	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NO NCR</u>	
Auditor Name : <u>Prof. K.R. Sudhe</u> <u>Prof. M.S. Anuradha</u>	Signature & Date : <u>Anuja Tigga</u> 28.04.19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	Head Department of Geography Andhra University Visakhapatnam-530003
Root Cause Analysis :	—
Proposed Corrective Action :	—
Proposed Completion Date:	
Auditee Name <u>Prof. Anuja Tigga</u>	Signature & Date : <u>Anuja Tigga</u> 28.04.2019
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : 1. <u>Anuradha</u> 2. <u>M. Satya Anuradha</u>
Signature & Date : <u>Anuradha</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.: 2019/04/D25

Dept./ Function : <u>Dept of Geophysics</u>	Responsibility : <u>Head of The Dept</u>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>AUF 08, AUF 27</u>	
Auditor Name : <u>TVK Bhargava</u>	Signature & Date : <u>[Signature] 29/4/19</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction	: <u>The above records will be updated as per our university norms.</u>
Root Cause Analysis :	<u>Head, Department of Geophysics</u> <u>Andhra University</u> <u>VISAKHAPATNAM</u>
Proposed Corrective Action :	<u>//</u>
Proposed Completion Date:	<u>29/4/19</u>
Auditee Name : <u>Dr. S. K. Bhargava</u> <u>Head, Geophysics</u>	Signature & Date : <u>[Signature] 29/4/19</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed.	Auditor Name : <u>TVK Bhargava, S. Sridhar</u> Signature & Date : <u>[Signature] 29/4/19</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.: 2019/04/D26

Dept./ Function : GEOLOGY Dept.	Responsibility : H.O.D.
Audit No. :	Date of Audit : May 2, 2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document (s) :
Nonconformity :	
Auditor Name : V. Sridhar	Signature & Date : [Signature] 25.5.2019
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : NIL	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : Prof. M. Jagannatha Rao HOD	Signature & Date : [Signature] 25.5.2019
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 : [Signature] 25.5.2019
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	

Auditee: [Signature]
Head of the Department
DEPARTMENT OF GEOLOGY
Andhra University
Visakhapatnam-530003



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/04

Dept./ Function : <u>Dept of Education</u>	Responsibility :
Audit No. :	Date of Audit : <u>27-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NIL</u>	
Auditor Name : <u>Prof. N. KISHORE BABU</u>	Signature & Date : <u>[Signature]</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
<u>No NCR</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name :	Signature & Date : <u>[Signature]</u> <u>(Prof. N. KISHORE BABU)</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed. ✓	Signature & Date : <u>[Signature]</u> <u>(Prof. N. KISHORE BABU)</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign Date :	

HEAD
Department of Education
Andhra University
Visakhapatnam-530 003
Andhra Pradesh-India

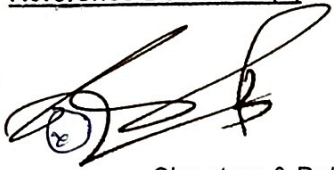

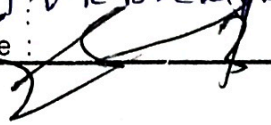


ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/05

Dept./ Function : <u>Dept. of English</u>	Responsibility : <u>Head of the Dept.</u>
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : 	
Auditor Name : <u>(1) Card</u>	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>All the records as per observation are to be updated</u>	
Root Cause Analysis : <u>No proper coordination among staff</u>	 D. PEDA RAJU Head of the Department Department of English Andhra University Visakhapatnam-530
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <u>Dr. D. Peda Raju</u> <u>Head of English</u>	Signature & Date :
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 : <u>D. J. V. K. Bhenu Prasad</u> 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.: 2019/04/D6

Dept./ Function : FINE ARTS	Responsibility :
Audit No. :	Date of Audit : 07/08/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : the following Registers to be updated : AUF- 09, 20, 26, 27, 33, 34 and 35	
Auditor Name : Prof. G. G. N. Jashakar	Signature & Date : [Signature] 7/8/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : the above said files to be updated	
Root Cause Analysis : Heavy workload due to introduction of Master degree course.	
Proposed Corrective Action : To be rectified in a couple of days	
Proposed Completion Date:	
Auditee Name : D. Srinivasachalam	Signature & Date : [Signature] 7/8/19
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. ✓ All the above files are updated	
Auditor Name	Signature & Date : Prof. G. G. N. Jashakar
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.: 2019/04/07

Dept./ Function : <u>Dept. of Hindi</u>	Responsibility :
Audit No. :	Date of Audit : <u>25.4.2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>- NIL -</u>	
Auditor Name : <u>1) Prof. T. K. L. Bhargava</u> <u>2) Prof. V. Sridhar</u>	Signature & Date : <u>[Signature]</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>No NCR</u>	
Root Cause Analysis : <u>All well maintained</u>	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>Head of the Dept.</u>	Signature & Date :
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : Signature & Date :
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date : <u>25.4.2019</u>	

HEAD OF THE DEPARTMENT
DEPARTMENT OF HINDI
ANDHRA UNIVERSITY
VISAKHAPATNAM - 530 007.


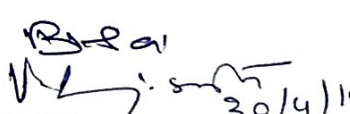
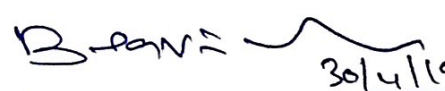



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/08

Dept./ Function :	History & Archeology	Responsibility :	
Audit No. :		Date of Audit :	30.4.2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :	Reference Document(s) :		
Nonconformity :	Prof K. Basavaiah - Nil - Prof V. GIRIJASASTRY		
Auditor Name :	Signature & Date :  30/4/19		
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction :	- NA -		
Root Cause Analysis :	- NA -		
Proposed Corrective Action :	- NA -		
Proposed Completion Date:	- NA -		
Auditee Name :	Signature & Date :		
Verification of corrective actions (To be filled by Auditor at the time of closure)			
Status: Open / Closed.	Auditor Name :  Signature & Date : 30/4/19		
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign.	Prof K. Basavaiah  Prof V. GIRIJASASTRY  Date 30/4/19		



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VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/08

Dept. / Function : <u>Human Resources Management</u>	Responsibility :
Audit No. :	Date of Audit : <u>19-06-2019.</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name : <u>1. Prof. N.V.E.S. Murthy</u> <u>2. Prof. M. Vijaya Saurthi</u>	Signature & Date : <u>19/6/19</u> <u>M. Saurthi</u> <u>19/6/19</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction <u>Nil</u>	
Root Cause Analysis <u>Nothing major</u>	
Proposed Corrective Action : <u>None</u>	
Proposed Completion Date:	
Auditee Name <u>Dr. J. John</u>	Signature & Date : <u>19/6/2019</u> <u>HEAD</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/> <u>✓</u>	
Auditor Name : <u>Dr. Murthy</u> Signature & Date : <u>19/6/19</u> <u>M. Saurthi</u>	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D9

Dept./ Function : Journalism and Mass Communication	Responsibility :
Audit No. :	Date of Audit : 30.4.2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : Nil	Signature & Date : V. L. Srinivasan 30/4/19
Auditor Name : Prof. K. Basavayya	Signature & Date : B. Srinivasan 30-04-2019
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	Nil
Root Cause Analysis :	Nil
Proposed Corrective Action :	
Proposed Completion Date :	30-04-2019
Auditee Name : X	Signature & Date : X
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. ✓	Auditor Name : Prof. K. Basavayya Signature & Date : V. L. Srinivasan 30/4/19
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
- NA - Auditor Name / Sign. : V. L. Srinivasan Date : 30/4/19	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/510

Dept./ Function : <u>Library and Information Science</u>	Responsibility :
Audit No. :	Date of Audit : <u>31/7/2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>- NA - (not applicable) nil</u>	
Auditor Name : <u>V. GIRITASTRY</u>	Signature & Date : <u>V. Girity. 31/7/19</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>- NA -</u>
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name :	Signature & Date : <u>[V. GIRITASTRY] 31/7/19</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>V. Girity</u> Signature & Date : <u>[V. GIRITASTRY] 31/7/19</u>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. : <u>V. Girity</u> Date : <u>31/7/19</u>	<u>no next visit.</u>

V. Girity 31/7/2019
Head of the Department
Library and Information Science
Andhra University
Visakhapatnam-530 003



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D11

Dept./ Function : <u>Dept. of Music & Dance</u>	Responsibility :
Audit No. :	Date of Audit : <u>20-4-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>— NIL —</u>	
Auditor Name : <u>Prof. ANUJA TIAGGA</u>	Signature & Date : <u>Anuja Tigga 20.4.2019.</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>NO NCRs</u>	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name :	Signature & Date : <u>(Prof. ANUJA TIAGGA) (Prof. N. KISHORE BABU)</u>
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <u>Open</u> / Closed. ✓	Signature & Date : <u>(Prof. ANUJA TIAGGA) (Prof. N. KISHORE BABU)</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.: 2019/04/012

Dept./ Function : Philosophy	Responsibility :
Audit No. :	Date of Audit : 03-07-2019.
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	
Auditor Name : 1. Prof. N.V.E.S. Murthy 2. Prof. M. Vijaya Sathya	Signature & Date : 3/7/19 M. V. Sathya - 3/7/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : None	
Root Cause Analysis : None	
Proposed Corrective Action : Nil	
Proposed Completion Date:	
Auditee Name : B. RAVI BATSU	Signature & Date : B. Ravi 03/07/19
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 : Head of the Dept. Dept. of Philosophy Andhra University Visakhapatnam
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign : 3/7/19 (N.V.E.S. Murthy)	
Date : 3/7/19.	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AU.

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/D13

Dept./ Function : <u>Dept. of Political Science and Public Administration</u>		Responsibility :	
Audit No. :		Date of Audit : <u>29-04-2019</u>	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : <u>NIL</u>			
Auditor Name : <u>Prof. Vasudeva Reddy</u> <u>Dr. K. Sitamaraju</u>		Signature & Date : <u>[Signature]</u> <u>K. Sitamaraju</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : <u>AUF 26 and AUF 8, 31, 38, 39</u> <u>are to be updated</u>			
Root Cause Analysis : <u>① AUF 26, Results are yet to be received?</u> <u>② AUF 8, 31, 38, 39 (since there are new forms not understood properly)</u>			
Proposed Corrective Action : <u>to be updated</u>			
Proposed Completion Date: <u>30-4-2019</u>			
Auditee Name : <u>Dr. P. Premchand</u>		Signature & Date : <u>[Signature]</u> <u>HEAD</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>K. Sitamaraju</u>	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign.		1. <u>[Signature]</u>	
Date		2. <u>K. Sitamaraju</u>	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No 2019/04/04

Dept. Function	Social work	Responsibility	
Audit No		Date of Audit	29/04/2019
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :	Reference Document(s) : AUF-09, AUF-24, 25, 26, 27, 29, 35, 36, AUF-8		
Nonconformity :	At above said files are not available at the time of visit due to HOD on leave (out of India) / Prof. G. Girisalawar		
Auditor Name	Prof. G. Girisalawar	Signature & Date	29/4/19
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction	The above said files will be submitted after re-joining of HOD to duties.		
Root Cause Analysis	HOD on leave		
Proposed Corrective Action	After July 1st, 2019 will be submitted		
Proposed Completion Date	10th July, 2019		
Auditee Name	Prof. R. Swami Jay	Signature & Date	29/4/2019
Verification of corrective actions (To be filled by Auditor at the time of closure)			
An the above files are verified and updated			
Status	Open / Closed	Auditor Name	29/4/19
Verification of effectiveness of corrective action to be filled by auditor during next internal audit			
Auditor Name	Sign		
Date			

Sobhan
Place
Department of Social Work
Andhra University
Visakhapatnam-530 009

2019



ANDHRA UNIVERSITY VISAKHAPATNAM

AUT-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/TMI

Dept./ Function : <u>TOP Management (CAO)</u>		Responsibility : <u>Administration of University</u>	
Audit No. : <u>1</u>		Date of Audit : <u>12/9/2019</u>	
DETAILS OF NONCONFORMITY (To be filled by Auditor)			
ISO 9001 Clause :		Reference Document(s) :	
Nonconformity : <u>NO NCR</u>			
Auditor Name : <u>1) Prof. M. Jagannadha Rao</u> <u>2) Prof. D. Lalitha Dasari</u>		Signature & Date : <u>1) M. Jagannadha Rao</u> <u>2) D. Lalitha Dasari</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)			
Proposed correction : <u>NU</u>			
Root Cause Analysis : <u>—</u>			
Proposed Corrective Action : <u>—</u>			
Proposed Completion Date:			
Auditee Name : <u>Vice Chancellor AU</u>		Signature & Date : <u>[Signature]</u> <u>12/9/2019</u> VICE-CHANCELLOR	
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 : <u>1) Prof. M. Jagannadha Rao</u> <u>2) Prof. D. Lalitha Dasari</u>	
		Signature & Date : <u>[Signature]</u> <u>12/9/19</u>	
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)			
Auditor Name / Sign.			
Date :			



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUT-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/Tm2

Dept./ Function : TDP Management (LAB)	Responsibility :
Audit No. : 01	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : No NCR	
Auditor Name : 1) Prof M. Jagannadha Rao 2) Prof D. Lalitha Bhaskari	Signature & Date : 1) [Signature] 2) [Signature]
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : Rector, AU	Signature & Date : M. Prasad Rao RECTOR Andhra University 12/9/19
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : 1) Prof M. Jagannadha Rao 2) Prof D. Lalitha Bhaskari Signature & Date : [Signature] [Signature]
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date :	



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUT-06

AUDIT NON-CONFORMANCE REPORT (NCR)

NCR No.: 2019/04/Tm3

Dept./ Function : <u>TOP management</u> <u>(CISO)</u>	Responsibility :
Audit No. : <u>01</u>	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>No NCR's</u>	
Auditor Name : <u>1) Prof M. Jagannadha Rao</u> <u>2) Prof D. Lalitha Bhaskari</u>	Signature & Date : <u>1) T. J. J. 12/9/19</u> <u>2) D. Lalitha Bhaskari 12/9/19</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <u>Registrar, AU</u>	Signature & Date : <u>12/9/19</u> REGISTRAR
Verification of corrective actions (To be filled by Auditor at the time of internal audit)	
Status: <u>Open</u> / Closed. ✓	Auditor Name : <u>Prof M. Jagannadha Rao</u> Signature & Date : <u>12/9/19</u> <u>Prof D. Lalitha Bhaskari</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.: 2019/04/mro'

Dept./ Function : <u>IQAC office.</u>	Responsibility :
Audit No. :	Date of Audit : <u>15/4/19</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <u>NIL</u>	
Auditor Name : <u>Prof. K. Rama Sudha</u> <u>Prof. G. Gija Shankar</u>	Signature & Date : <u>Sudha</u> <u>15/4/19</u> <u>G. Gija Shankar</u> <u>15/4/19</u>
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>- NIL -</u>
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date:	
Auditee Name : <u>D. Lalitha Bhaskari</u> <u>Coordinator, IQAC</u>	Signature & Date : <u>D. Lalitha Bhaskari</u> <u>15/4/19</u> Prof. D. LALITHA BHASKARI Coordinator IQAC & ISO
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <u>Sudha</u> Signature & Date : <u>G. Gija Shankar</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.: 2019/04/01

Dept./ Function : <u>Principal's Office</u> Responsibility :	
College of Arts and Commerce	
Audit No. :	Date of Audit : <u>08/08/2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : —	
Auditor Name : <u>Prof. G. Girijashankar</u>	Signature & Date : <u>[Signature] 08/08/2019</u>
Auditor Name : <u>Prof. P. Yedukondalana</u>	
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <u>NIL</u>	
Root Cause Analysis : <u>NIL</u>	
Proposed Corrective Action : <u>NIL</u>	
Proposed Completion Date:	
Auditee Name : <u>Prof. K. Rama Mahana Rao</u>	Signature & Date : <u>[Signature] 08/08/2019</u>
PRINCIPAL College of Arts and Commerce	
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / Closed. <input checked="" type="checkbox"/>	Auditor Name : <u>Prof. G. Girijashankar</u>
	Signature & Date : <u>Prof. P. Yedukondalana</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.: 2019/04/D1

Dept./ Function : <u>Anthropology</u>	Responsibility :
Audit No. :	Date of Audit : <u>25-04-2019</u>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : 1 <u>P.R.R.</u> 2 <u>G. Nagaraj</u>	<u>NO NCR</u> 1 <u>P.R.R.</u> 2 <u>Nagaraj</u>
Auditor Name :	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	<u>N/A</u>
Root Cause Analysis :	
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name : <u>D. RAMESH</u>	Signature & Date : <u>[Signature]</u> Department of Anthropology Visakhapatnam-530 015
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: Open / <u>Closed</u>	Auditor Name : Signature & Date : <u>[Signature]</u> <u>25/4</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.: 2019/04/D2

Dept./ Function : <i>Dept of Commerce & Management Studies</i>	Responsibility :
Audit No. :	Date of Audit : <i>24-04-2019</i>
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity : <i>NIL</i>	
<i>1. Prof. Vasudeva Reddy</i>	
Auditor Name : <i>Dr. K. Sibi Hankey</i>	Signature & Date :
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction : <i>1. AUF-26 not to be up dated</i>	
<i>2. AUF-36, AUF-35 to be up dated</i>	
<i>3. AUF-8, 31, 38, 39 to be up dated</i>	
Root Cause Analysis : <i>1. Results not received/ given/ announced</i>	
<i>2. clarity has to be taken</i>	
Proposed Corrective Action : <i>will be up dated</i>	
Proposed Completion Date : <i>27-04-2019</i>	
Auditee Name : <i>Prof. A. Satyanarayana</i>	Signature & Date : <i>G. Satyanarayana</i> Head of the Department Commerce & Mgt. Studies Andhra University VISAKHAPATNAM-530 003
Verification of corrective actions (To be filled by Auditor at the time of closure)	
Status: <i>Open / Closed</i>	Auditor Name : <i>Prof. Vasu Deva Reddy</i> Signature & Date : <i>Dr. K. Sibi Hankey</i>
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. Date : <i>1. G. Satyanarayana</i> <i>2. K. Sibi Hankey</i>	



ANDHRA UNIVERSITY
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AUF-06

AUDIT NON-CONFORMANCE REPORT (NCR)

School of Economics

NCR No.: 2019/04/D3

Dept./ Function :	Responsibility :
Audit No. :	Date of Audit :
DETAILS OF NONCONFORMITY (To be filled by Auditor)	
ISO 9001 Clause :	Reference Document(s) :
Nonconformity :	N/A
Auditor Name : P. Suresh	Signature & Date : [Signature]
CORRECTIVE ACTION REPORT (To be filled by Auditee)	
Proposed correction :	
Root Cause Analysis :	N/A
Proposed Corrective Action :	
Proposed Completion Date :	
Auditee Name :	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 : P. M. J. Rao Signature & Date : [Signature]
Verification of effectiveness of corrective action (to be filled by auditor during next internal audit)	
Auditor Name / Sign. : [Signature]	P. Suresh
Date :	

Auditee sign : HOY [Signature]

V. Suresh
HEAD

DEPARTMENT OF ECONOMICS
ANDHRA UNIVERSITY
VISAKHAPATNAM-530 003

Internal Audit NCR Summary:



ANDHRA UNIVERSITY
VISAKHAPATNAM

AUF-07

INTERNAL AUDIT NCR SUMMARY

Audit Date(s) : 4th April - 15th April 2019

Sl. No.	College / Departments / 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	Nil
6.	Anthropology	Nil
7.	Commerce & Mgt. Studies	Nil
8.	Economics	Nil
9.	Education	Nil
10.	English	Nil
11.	Fine Arts	7
12.	Hindi	Nil
13.	History and Archaeology	Nil
14.	Human Resource Management	Nil
15.	Journalism & Mass Communication	Nil
16.	Library & Information Science	Nil
17.	Music & Dance	Nil
18.	Philosophy	Nil
19.	Political Science & Public Administration	Nil
20.	Sanskrit	Nil
21.	Social Work	10
22.	Sociology	1
23.	Telugu	Nil
24.	Physical Education	Nil
25.	Principal, AU College of Science & Technology	Nil
26.	Applied Mathematics	Nil
27.	Biochemistry	Nil
28.	Biotechnology	Nil
29.	Botany	Nil
30.	Environmental Sciences	Nil
31.	Food & Nutrition and Dietetics	Nil
32.	Geography	Nil
33.	Geology	Nil
34.	Geophysics	2

35.	Human Genetics	Nil
36.	Inorganic & Analytical Chemistry	Nil
37.	Marine Living Resources	Nil
38.	Mathematics	Nil
39.	Meteorology & Oceanography	Nil
40.	Microbiology	Nil
41.	Nuclear Physics	Nil
42.	Organic Chemistry	Nil
43.	PNCO	Nil
44.	Psychology & Parapsychology	Nil
45.	Physics	Nil
46.	Statistics	Nil
47.	Systems Design	Nil
48.	Zoology	Nil
49.	Principal, College of Engineering(A)	Nil
50.	Architecture	Nil
51.	Chemical Engineering	Nil
52.	Civil Engineering	Nil
53.	Computer Science & Systems Engineering	Nil
54.	Electrical Engineering	Nil
55.	E C E	Nil
56.	Geo-Engineering	Nil
57.	Instrument Technology	2
58.	Marine Engineering	Nil
59.	Mechanical Engineering	Nil
60.	Metallurgical Engineering	Nil
61.	Engineering Chemistry	Nil
62.	Engineering Mathematics	Nil
63.	Engineering Physics	Nil
64.	Humanities and Social Sciences	Nil
65.	Principal, College of Engineering for Women	Nil
66.	Computer Science Engineering (AUCEW)	Nil
67.	Mechanical Engineering (AUCEW)	Nil
68.	ECE (AUCEW)	1
69.	Electrical Engineering & Civil Engineering (AUCEW)	Nil
70.	Principal, College of Pharmaceutical Sciences	Nil
71.	Principal, Dr. B.R.Ambedkar College of Law	Nil
72.	College Development Council	Nil
73.	Directorate of Admissions	Nil
74.	Examination Branch	Nil
75.	Dr. V.S.Krishna Library	Nil

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 28/09/2019 at 11:30am with all the Heads, Deans, Directors, Registrar, Principals, Rector and Hon'ble VC as Chair in EC hall, CAO, Andhra University.

6) Action Taken report:

Minutes of the previous meeting were presented and ratified by the Top Management. The agenda points were discussed for the present MR meeting and following is the action taken report on Academic and Administrative audit.

- 1) The Top Management has discussed Quality objectives at department level and decided to carryout trend analysis annually with all the Principals and Head of the Departments concerned.
- 2) To maintain Nonconformities related to process performance and corrective action to be taken if any in the departments.
- 3) 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.
- 4) The Hon'ble VC has expressed that quality should be maintained in teaching and research. He expressed to improve industry institute interaction and maintain Stock registers properly.
- 5) To obtain feedbacks at the end of every semester and the stakeholders feedback will be taken as and when required. As per the suggestions of external auditors, Hon'ble VC has instructed the office of IQAC to initiate the process of Online student feedback system in coordination with AU computer centre.
- 6) The effectiveness of action taken should be reviewed in next MR.
- 7) To review QMS documents by MR and Heads of the departments.
- 8) Hon'ble VC has briefed all the HoDs, Dean and Principals about Collaborative training with centre for Defense Research, MoU with Avanthi Aqua Seeds which resulted in 100% placements.

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 : 2019-09-30 to 2019-10-01

External audit members from TUV-SUD: 1. Sri G.Venkata Chalapati

2. K. Sundaresan

3. Gopu Suresh

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):	5. Surveillance Audit (ISO 9001:2015)		
Audit date (on site):	2019-09-30 - 2019-10-14 [2019-08-31]		
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:	Venkata Chalapati Gouravaram / K. Sundaresan, Gopu Suresh		
Technical expert/ trainee:	NA		
Observer:	NA		
Scope of certification:	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		
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		
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; maintenance of certificate recommended.		
Next audit date scheduled:	Aug.2020		
Re-Audit:NA	<input type="checkbox"/> on site / date: NA <input type="checkbox"/> submit documentation NA	Duration in hours:NA	

14/10/2019

Date

Lead Auditor 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.

ISO 9001:2015: Audit Report

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

Client: Andhra University



Management Service

1.4 Significant changes which took place since the last audit

Topic	Changes
Management System / documented information	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
Scope of certification	<input checked="" type="checkbox"/> none <input type="checkbox"/> yes:
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

The audit team evaluated the corrective action taken for the nonconformities/ areas of concern from the previous audit.

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.

The corrective actions were found to be:

☐ Effective

☐ Not effective (MiN or NC)

☒ Not applicable (no existing MiN or NC)

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. PVGD Prasad Reddy – Vice Chancellor and Registrar periodically conduct management review meetings with the Principals/Directors, Heads of departments, faculty and supporting staff to monitor and evaluate the quality management system and take appropriate measures for improvement. Effective Internal audit and management review. Last Internal audit conducted from 04/04/19 to 20/04/19 and management review on 29/09/19. Quality objectives are consistent with quality policy and monitored in academic committee meetings at departmental level and management review meetings.

the University has a formal mechanism to obtain feedback on curriculum and other aspects periodically from parents, alumni, employers, community, academic peers and industry. In addition, feedback is obtained from the participants of seminars/ conferences, company representatives who visit the University. Feed backs are discussed in MRM for improvement.

infrastructure include – Academic building, Administrative & Supportive Services, Common halls,e classrooms,Seminor halls,Guest house,Hostel for men,women,Post office, Canteen, ,medical facilities.,Sports infrastructure,Infrastructure for cultural activities.consultancy assignments in government and non-governmental organizations

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	NIL	3

Standard elements with findings are listed in the action list (Annex 1).

ISO 9001:2015: Audit Report

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

Client: Andhra University



Management Service

The audit findings are based on the audit evidence collected during the audit and available to the certification body.

ISO 9001:2015: Audit Report

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

Client: Andhra University



Management Service

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: .Certification documents and marks are not being used.

☐ 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

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Management Service

- 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