



GENERAL OBSERVATIONS AND OPPORTUNITIES FOR IMPROVEMENT LIST

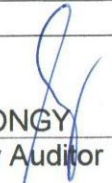
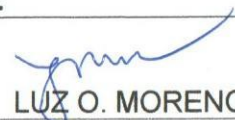


Audit No. : 03		Audit Date: October 13, 2021	Audited Area/Department: Procurement		
Control No.	General Observations and Opportunities for Improvement	PLANNED ACTIONS			Status
		Action Items	Target Date	Responsible	
Proc-OFI-21-01	Ensure to file the certificates of awareness seminar. Everyone attended the awareness seminar, however, the awareness certificates were not presented.	Request for the issuance of Certificates from ODQA	Dec. 15, 2021	ESEsguerra	To be implemented
Proc-OFI-21-02	Consider providing uncontrolled copies of the PMs and GLs among your employees.	Issue an uncontrolled copies of office PMs and GLs to all Procurement staff.	Nov. 2021	ESEsguerra	Completed
Proc-OFI-21-03	Ensure to conduct monitoring of the OTPs. OTP 2021 is in place and retained as documented information. However, no monitoring of the Action Plans has been done yet.	Conduct monitoring of ^{the Action Plans of the OTP} actions in the RECA by accomplishing / filling-up the ^{OTP} Monitoring portion of the RECA form.	Nov. 2021 Dec. 2021	JCEleo	On-Going Completed

Proc-OFI-21-04	Ensure to monitor the actions in the RFCAs of the 2 nd IQA. To date, no monitoring of the actions has been done yet.	Conduct monitoring of the actions in the RFCA by accomplishing / filling-up the Monitoring portion of the RFCA form.	Nov. 2021	JCEdeco	Completed
Proc-OFI-21-05	Review all PMs to indicate the decision points after evaluation, assessment, or checking to present the possible outcomes before it will lead to approval or disapproval. Process maps of the existing PM (i.e PM-SUP-01) do not indicate decision points.	Revise the PMs of the Procurement Office to indicate the decision points after evaluation, assessment, or checking to present the possible outcomes before it will lead to approval / disapproval.	March 2022	JCEdeco, ESEsguerra	To be implemented
Proc-OFI-21-06	Consider the bottlenecks and problems of the process as an input of your risk assessment (to be documented in SWOT and ROAM) including the impact of the pandemic on the operation of the office.	Include the identified bottlenecks and problems of the Procurement Office process in the SWOT and ROAM 2022 including the impact of pandemic on the operation.	January 2022	JCEdeco, ESEsguerra	To be implemented

Vision:
Mission:

A globally competitive university for science, technology, and environmental conservation.
Development of a highly competitive human resource, cutting-edge scientific knowledge and innovative technologies for sustainable communities and environment.

Proc-OFI-21-07	Revise the actions for FSA-PRO-OFI-21-01 to include the accreditation of suppliers/ external service providers in PM-SUP-01. Ensure to document the list of accredited suppliers in an auditable document. Ensure to indicate the criteria or process before accrediting the supplier. This is for further verification.	1.) Revise the actions for the FSA-PRO-OFI-21-01 to include the accreditation of suppliers in PM-SUP-01. 2.) Indicate ⁱⁿ the PM-SUP-01 the List of Accredited Suppliers as ^a generated record.	Dec. 2021	JUEdo	To be implemented
Proc-OFI-21-08	Fast track the implementation of PM on Performance Evaluation of Suppliers to address the actions for FSA-PRO-OFI-21-01.	Follow-up the ODQA for the registration of the submitted PM on Evaluation of Supplier's Performance.	Dec. 2021 ^{mb} Jan. 2022	ESEsguerra	On-Going
Proc-OFI-21-09	Fast track the implementation of the actions for 2nd IQA OFIs and FSA OFIs.	1.) Revisit the action plans of the 2nd IQA OFIs and FSA OFIs to check those unimplemented. 2.) Implement the action plans by January 2022.	Dec. 2021 Jan. 2022	JUEdo, ESEsguerra	To be implemented

Prepared by:	Reviewed by:	Acknowledged by:
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Date: November 22, 2021	Date: November 22, 2021	Date: Nov. 24, 2021