


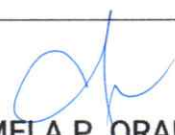




CORRECTIVE ACTION REPORT

Control No.: CAR-IQA-ARIC-NC-24-01	Actual Date of Audit: September 30, 2024	CAR Issued Date: 11/04/2024	Area/Activity: Advanced Research and Innovation Center (ARIC)
Auditor(s): SUSANA B. MIÑOZA		Auditee/Process Owner:	Head, Advanced Research and Innovation Center (ARIC)
Source of Nonconformity: Internal Audit: <input type="checkbox"/> Complaints: _____ Others: _____			
Classification of Findings: Major Nonconformity: _____ Minor Nonconformity: <input type="checkbox"/> Observation: _____ Others: _____			
NONCONFORMITY STATEMENT			
Description of Nonconformity: <p>The organization fails to ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.</p>			
Relevant Evidences: <p>There is an approved turn-over of research responsibilities however, there was no appointment of the project leader on file for the project entitled, "Bioactivity and Molecular Characterization of Lead Compounds from Candidate Antidiabetic Indigenous Plants." The turn-over of research responsibilities was approved by the Vice-President for Research, Extension and Innovation (VPREI) but there was no recommendation from the VPREI to designate/appoint a new project leader.</p>			
ISO 9001: 2015 Clause and Requirement: <p>Clause 5.3 The organization shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.</p> <p>The organization shall assign the responsibility and authority for:</p> <ul style="list-style-type: none">a) ensuring that the quality management system conforms to the requirements of this international standard;b) ensuring that the processes are delivering their intended outputs;c) reporting on the performance of the quality management system and on opportunities for improvement;d) ensuring the promotion of customer focus throughout the organization;e) ensuring that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented.			

INTERNAL QUALITY AUDIT OFFICE

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Date: <u>September 30, 2024</u>	Date: <u>November 9, 2024</u>	Date: <u>November 15, 2024</u>	
Checking for Similar Nonconformity (To be conducted by Auditor) Do similar nonconformities exist or could potentially occur? Yes _____ No _____ If yes, Where it happen or what process?			
ROOT CAUSE ANALYSIS			
Root Cause Analysis: <p style="color: blue; font-style: italic;">Please see attached Fishbone Diagram</p>			
CORRECTION(S)			
No.	Immediate Action	Date	Responsible Person
	The dDRC did the immediate follow-up of the appointment at OVPREL.	<u>Oct 4, 2024</u>	Director and dDRC

CORRECTIVE ACTION(S)				
No.	Actions	Date	Responsible Person	
	closely communicate and follow-up appointment of research staff with the OVPREI.	Jan. 21, 2025	Director and dBRC	
Prepared by:  JAMES A. PATINDOL Auditee/Process Owner Date:		Approved by: Lead Auditor/QMO Date:		
MONITORING				
No.		Date	Monitored by	Status

ACTION VERIFICATION / FOLLOW-UP				
No.	Verification Remarks	Date	Verified by	Status
Final Status: <input type="checkbox"/> Closed <input type="checkbox"/> Failed (for re-issuance)		Remarks:		Approved by: Date:
If Corrective Action(s) are not effective, issue another CAR and formulate countermeasures. New CAR # _____				
Is there a need to update the Risk Register (ROAM): Yes _____ No _____ If yes, update the Risk Register. Date of Update: _____ Risk ID: _____				
Is there a need to make changes to the Quality Management System? Yes _____ No _____ If yes, update the QMS. Date of Update/Revision: _____ Version Number: _____				