



## NONCONFORMITY REPORT

<b>Control No. :</b>	<b>Audit Date :</b> September 27- October 18, 2021	<b>Area/ Activity :</b> GISSU, CASL, Grants Development Office, UIIC, CAC, GSO, ODPP, RDE Network Secretariat, CFES, ODAS, NSTP, Dept. of Statistics, <b>NCRC-V</b> , OSHEA
<b>NCRC-NC-21-01</b>		
<b>Auditor(s) :</b>	MCMagdadaro Jr., EGCagasan, MEMUmpad, MGBurlas, JGFJansalin, SBLina, LOMoreno, RBArmecin, RCGuinocor, <b>DPPeque</b>	<b>Auditee(s) :</b> Unit Heads and dDRCs
<b>Nonconformance Category :</b>	<input type="checkbox"/> Major <input checked="" type="checkbox"/> Minor	<b>Audit Type:</b> <input checked="" type="checkbox"/> Internal <input type="checkbox"/> External _____

## NONCONFORMITY STATEMENT

### Description of Nonconformity:

The organization fails to monitor and review the internal and external issues (4.1), needs and expectations of interested parties (4.2), risks and opportunities (6.1), and establish its own quality objectives, targets/OTPs relevant to its functions (6.2)

### Relevant Evidences:

1. Copy of the 2021 ROAM, SWOT and OTP of OVPREI are available, however, the unit did not establish its own OTPs relevant to its functions (**GISSU**)
2. No 2021 OPCR/IPCR was prepared for the unit, the unit head files his IPCR at FARMI, being his mother unit (**GISSU**)
3. The lab has no OTP for 2021. There is no record of monitoring and reporting of lab OTPs; the current lab head has no IPCR on file, it could not be determined if her IPCR includes her responsibilities at CASL (**CASL**)
4. The office has not formulated its own quality objectives, as well as its plans and targets. It has no OTP for 2021, OPCR target for 2021, and OPCR with accomplishments for January to June 2021 (**GDO**)
5. The office has not identified the risk and opportunities for the unit especially during this pandemic. The office has no copy of its ROAM and SWOT for 2021 (**GDO**)
6. The unit has no ROAM, OTP and NEIP. The auditee was not able to prepare and submit said documents to the Planning Office (**UIIC**)
7. The unit does not have SWOT, ROAM and OTP (**CAC**)
8. The unit has no copy of approved SWOT, ROAM and OTP. The unit fails to make SWOT, ROAM and OTP for 2021 but plans to hold a meeting to make the documents (**GSO**)
9. The unit has not prepared a set of OTPs relevant to its level in the organization. No monitoring of OTPs was done. Many items in the unit's OPCR were not aligned to the VP-level OTP's (**ODPP**)
10. No copy of approved OPCR (targets and accomplishments) Jan-Dec 2021 on file specific to the unit, what is available is OVPREI's OPCR. Copy of approved IPCR targets (Jan-Dec 2021) and accomplishments (Jan-June 2021) on file is ViCARP consortium staff and VP for REI (**RDE Network Secretariat**)
11. The College submitted their OPCR (Jan-June 2021 accomplishment) using the "unsigned/not approved" consolidated outputs (OPCR accomplishment) from the units. There were no IPCR documents (accomplishment for Jan -June 2021) from ITEEM and DFS received by the Dean's Office as of the time of

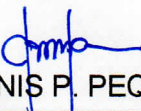

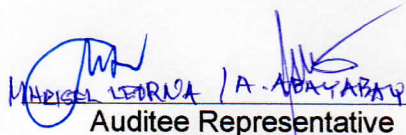


- audit interview. As per audit trail to ITEEM and DFS, the IPCRs of all faculty and staff are still on process at their respective units. Only the staff of the office of the College Dean have an approved IPCR. As per guideline on Monitoring of OPCR (GL-VPR-02 v2, Oct. 02, 2020, 3.2.1) the Department Head meets with the faculty/staff to consolidate the accomplishments based on their IPCRs, then the consolidated outputs of the unit/department will be the input of the accomplishment (OPCR) of the College. (CFES)
12. The unit does not have updated SWOT, ROAM and OTP (ODAS)
13. No IPCR for the director was presented since the director is confused whether he will make an IPCR or not because he is an academic employee performing administrative function in the NSTP office (NSTP)
14. No approved IPCR with accomplishment from Jan-June 2021 was presented during the audit. An approved OPCR of the Department with accomplishment for January-June 2021 was however presented. As per guideline, an OPCR should be based on the consolidated outputs of the IPCRs of the faculty and staff. (Dept. Statistics)
15. There is no copy of ROAM, SWOT and OTP for 2021 presented during the audit. These documents are useful in preparing the OPCR. (NCRC-V)
16. The office has not prepared and submitted its own OPCR, no ROAM, SWOT and OTP (Office of Student Housing and Employee Accommodation/ OSEHA)

ISO 9001: 2015 Clause and Requirement:

Clauses 4.1, 4.2, 6.1.1 and 6.2.1(a,e)

- 4.1 The organization shall monitor and review information about external and internal issues.
- 4.2 The organization shall monitor and review information about the interested parties and their relevant requirements
- 6.1.1 When planning for the quality management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that needs to be addressed to achieve improvement
- 6.2.1 (a,e) The organization shall establish quality objectives at relevant functions, levels and processes needed for the quality management system. The quality objectives shall a) be consistent with the quality policy, e) be monitored

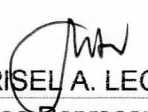
Prepared by:	Reviewed by:	Acknowledged by:
 DENNIS P. PEQUE Internal Auditor	 LUZO O. MORENO Lead Auditor	 MARIBEL LEORNA / A. BAYABAY Auditee Representative
Date: November 22, 2021	Date: November 22, 2021	Date: 11/23/21
ROOT CAUSE ANALYSIS		

Root Cause Analysis:

NCRC-V did not receive a hard copy of ROAM, SWOT, and OTP from OVPREI.

# CORRECTION AND CORRECTIVE ACTION

#	Action	Target Date	Responsible Person
	During the audit (September 27, 2021) the dDRC of NCRC-V called OVPREI and requested a copy of <b>ROAM, SWOT, and OTP for 2021</b> . He also requested a copy of the procedural manual for <b>Risk Assessment</b> . OVPREI advised NCRC-V to secure an e-copy of the said documents at OVPREI QMS folder which the dDRC did.	September 27, 2021	Director dDRC
	Make sure an updated copy of ROAM, SWOT, and OTP when available are on file	Second week of December	dDRC
	Schedule a planning meeting, and make OPCR Targets for 2022 according to OVPREI OTP addressing needs and expectations of interested parties (4.2), risks and opportunities (6.1), and establish its own quality objectives, targets/OTPs relevant to its functions (6.2)	Second week of December 2021	Director

Prepared by:	Reviewed by:	Approved by:
 MARISEL A. LEORNA Auditee Representative	DENNIS P. PEQUE Internal Auditor	LUZ O. MORENO Lead Auditor
Date:	Date:	Date:

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

ACTION VERIFICATION / FOLLOW-UP				
#	Verification Remarks	Date	Verified by	Status

Date:

☐ Closed  
☐ Failed (for re-issuance)