



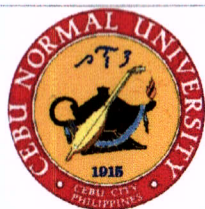
Quality Plan

Page No.:	Page 1 of 2
Revision No.:	0
Effectivity:	

Activity/Process	ITEMS / CONTROL AREA	MEASURE/TARGET	RISK	MITIGATION PLAN	Reference DOCUMENTS	RELATED RECORDS	PERSON RESPONSIBLE
POLICY-RELATED PROCESS							
Research Agenda Development and revision	BOR approved research agenda at least every 5 years	1 BOR approved research agenda	delays in the revision and approval by BOR	Agenda revision with stakeholders shall be done a year prior to its due for revision	CNU BOR Resolution approving the research agenda; previous research agenda	University Research Manual	CRD personnel; college Research Chairs and Deans
CORE BUSINESS PROCESS							
Capacity Building on Research	conducted at least 2 trainings semi-annual	two trainings conducted	changes in schedule due to conflicts with academic activities	submit training proposal a month prior to the schedule training	training proposals/ approved training program	training program, calendar of activities	CRD personnel
Research Grants	no. of researches completed with institutional or external funding	5 research grants completed on schedule	delays in the processing of MOA, completion of the projects	project review includes the feasibility of the project based on proposed duration, monitoring of projects	MOA	University Research Manual	CRD personnel; college Research Chairs and Deans

PROCESS NAME	-	Key activities, usually related to the output, that need to be monitored / checked / inspected / controlled in order to fulfill customer requirements
ITEMS / CONTROL AREA	-	Usually the quality characteristics or output of each key activity that need to be measured in terms of target objectives
MEASURE	-	The "means" of measuring the identified "item/ control" area in column 2 (could be in terms of either quantity or quality)
TARGET OBJECTIVES	-	Specific, Measurable (quantitative or qualitative), Attainable, Result-Oriented, Time-bound, and Traceable targets for each identified key activity
CONTROL METHODOLOGY	-	The activities to be conducted in order to monitor the identified "item/ control" area in column 2
RELATED DOCUMENTS	-	The SOP/SOIs, Quality Procedure, or any documented procedure/instruction involved in controlling the identified "item/ control" area in column 2
RELATED RECORDS	-	Accomplished forms or any documented evidence that the identified "item/ control" area in column 2 is monitored
PERSON RESPONSIBLE	-	The specific function of a person responsible for monitoring the identified "item/ control" area in column 2





## Quality Plan

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Effectivity:

Project Monitoring and Evaluation	conduct of regular monitoring and evaluation of projects	80% of the projects are monitored every month; 90% of the completed projects are reviewed externally	delays in the submission of monthly monitoring report; unavailability of external evaluators for completed projects	strict monitoring by research specialists and research assistants; pool of external reviewers per discipline	MOA	University Research Manual	CRD research personnel

### SUPPORT PROCESS

Technical review of research papers for presentation	no. of paper presentation grant approved	80% of the papers for presentation were reviewed and approved for presentation grant	late submission of request for assistance in paper presentation	set a deadline for the submission of paper for at least one month prior to travel	Approved request; acceptance letter	University Research Manual	Research specialists; CRD Director
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Prepared by:

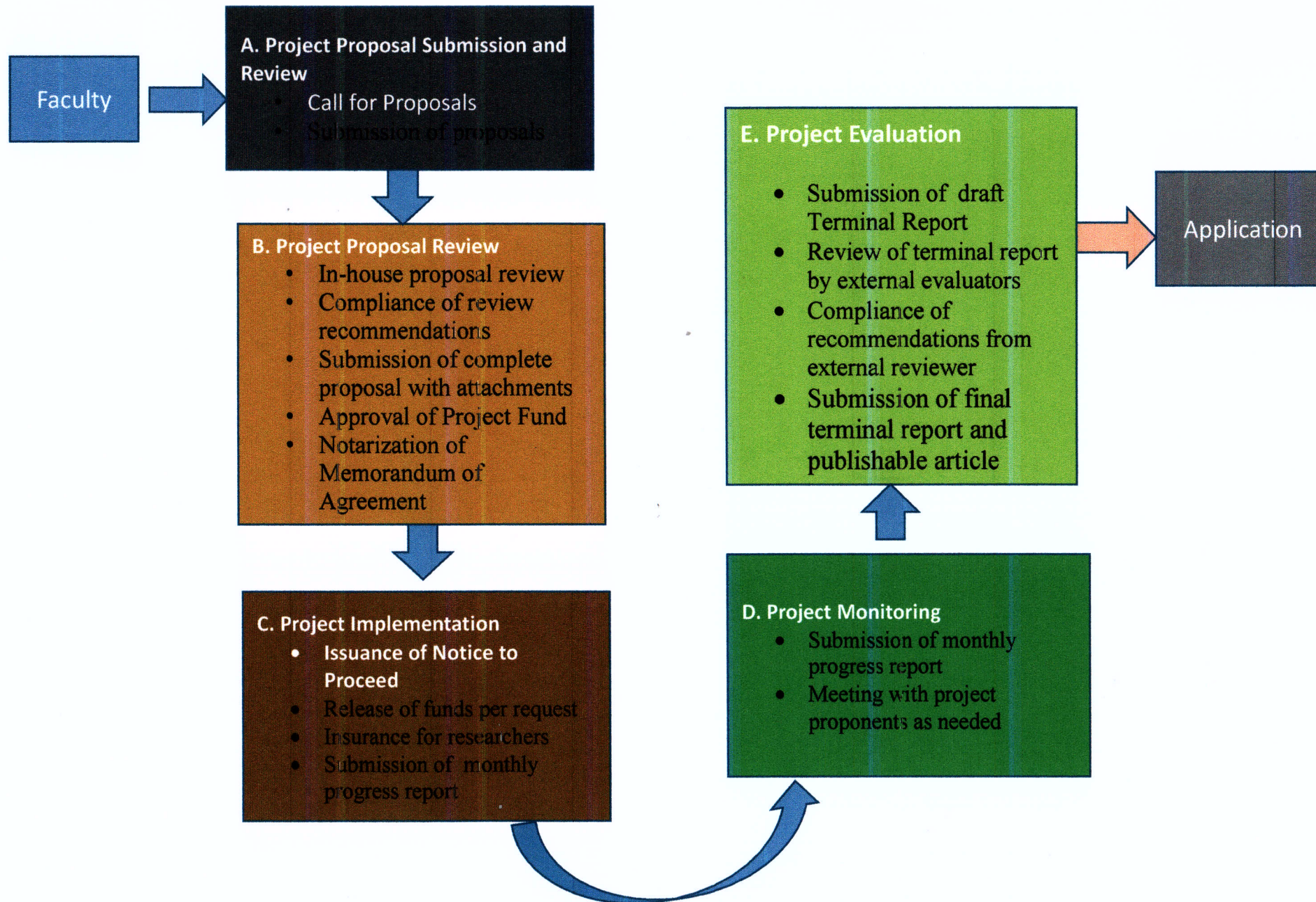
**DAISY R. PALOMPON, PhD**

**Vice-President for Research, Extension and Publication**

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## SERVICE PROCESS SCOPE: CENTER FOR RESEARCH AND DEVELOPMENT



**CONTROL OF NONCONFORMITY MATRIX**  
Center for Research and Development

Nature of Nonconformity	Disposition/Control Measures	Responsibility
<ul style="list-style-type: none"><li>• Delay in the submission of project proposals beyond the published deadline</li></ul>	<ul style="list-style-type: none"><li>• Intensify notices for Call for Proposal</li></ul>	<ul style="list-style-type: none"><li>• Vice-President for Research/ Research Specialists</li></ul>
<ul style="list-style-type: none"><li>• Unavailability of external experts to review the proposals and completed projects</li></ul>	<ul style="list-style-type: none"><li>• Pool research experts from external agencies</li></ul>	<ul style="list-style-type: none"><li>• Vice-President for Research/ Research Specialists</li></ul>
<ul style="list-style-type: none"><li>• Delay in the submission of completed projects within the approved duration</li></ul>	<ul style="list-style-type: none"><li>• Constant monitoring of project implementation</li></ul>	<ul style="list-style-type: none"><li>• Vice-President for Research/ Research Specialists</li></ul>

Prepared by:

  
**DAISY R. PALOMPON**

**Vice-President for Research, Extension and Publication**





# DOCUMENTED INFORMATION MASTERLIST

Issue No.: \_\_\_\_\_

Document No.	Document Title	Originator / Process Owner
CNU-CRD-01	Research Manual	CRD
CNU-CRD-02	RBPMS: MFO 3 Research Services	CRD, COLLEGE DELIVERY UNITS
CNU-CRD-03	SPMS: Research	CRD, COLLEGE DELIVERY UNITS
CNU-CRD-04	CNU Journal Editorial Policy and Guidelines	CRD JHE EDITORIAL BOARD
CNU-CRD-05	PRAISE	CRD/HRMO
CNU-CRD-06	Inventory of Equipment at CRD	CRD
CNU-CRD-07	Accreditation Standards for Research (AACCCUP)	AACCCUP
CNU-CRD-08	SUC Levelling Instrument: Research and Research Capability	PASUC/ CHED
CNU-CRD-09	OPCR	CRD
CNU-CRD-10	IPCR	CRD
CNU-CRD-11	CRD Personnel 201 Files	CRD
CNU-CRD-12	CRD Annual Accomplishment Report	CRD
CNU-CRD-13	BOR Resolutions on Research and Research-Related Actions	BOR/OFFICE OF THE PRESIDENT
CNU-CRD-14	MOU/MOA Research Linkages	CRD/Colleges
CNU-CRD-15	MOA of Funded Projects	CRD/Colleges
CNU-CRD-16	Documentations of Trainings Conducted	CRD
CNU-CRD-17	Proceedings of Research and Extension Agenda Formulation 2015-2020	CRD/EAIL
CNU-CRD-18	Research and Extension Agenda 2015-2020	CRD/EAIL
CNU-CRD-19	Proceedings of In-House Research Proposal Reviews	CRD
CNU-CRD-10	Minutes of the URC Meetings	CRD
CNU-CRD-11	Evaluation Results of Research Proposal Review (External Evaluator)	CRD
CNU-CRD-12	Evaluation Results of Research Terminal Report (External Evaluator)	CRD
CNU-CRD-13	Revised Research Policies	CRD
CNU-CRD-14	NVivo License and Manual	CRD/COLLEGES
CNU-CRD-15	Memoranda from Office of the President	OFFICE OF THE PRESIDENT
CNU-CRD-16	CRD Memoranda	CRD
CNU-CRD 17	University Code	CNU
CNU-CRD 18	MOA with Research Consultants	CRD
CNU-CRD 19	Career Development Program	CNU
CNU-CRD 20	ISO 9001 QMS	DAP
CNU-CRD 21	CVCHRD Memoranda	DOST-CVCHRD
CNU-CRD 22	Annual Budget Report	CNU

Prepared by:

Noted by:

**DAISY R. PALOMPON**

Vice-President, REP/ June 13, 2016

**FLORIZA N LAPLAP, Ed D**

PA for Quality Assurance / June 13, 2016



LOGO

AGENCY

Audit Checklist Form

DOCUMENT NO.	REVISION NO. : 00	EFFECTIVE DATE:	PAGE 1 of 2
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Name Dr. Daisy R. Palompon	Signature:	Department/Office/Unit Center for Research and Development	Page of
Audit Type [ / ] IQA Follow-up	Date of Audit August 25, 2016	Time 11:00 12:00	Mr. Renan O. Elcullada Mr. Esperidion B. Corvera Ms. Marites B. Ybanez

AUDIT CRITERIA <small>(Define the requirement that must be satisfied i.e. customer requirements, regulatory requirements, process requirements, ISO 9001 requirements, etc.)</small>	AUDIT EVIDENCE/NOTES/REMARKS <small>(Describe your observations on the extent of conformance with the specified requirements)</small>
CRITERIA	<ul style="list-style-type: none"><li>Do you have a quality plan?</li><li>How did you achieve your OPCR targets?</li><li>How were the projects implemented?</li><li>How were the projects monitored and evaluated?</li><li>What evidences can you show to justify the implementation, monitoring and evaluation of the different projects?</li></ul>
SCOPE	Project Implementation, Monitoring and Evaluation
Objectives	<ul style="list-style-type: none"><li>To find out the processes that effectively response the fulfillment of quality policy plan.</li><li>To determine the conformity of the activities, processes and the services of the CRD office in achieving the targets in OPCR.</li><li>To identify the areas for potential improvement in the implementation, monitoring and evaluation of the projects.</li><li>To evaluate the available evidences in the implementation, monitoring and evaluation of the projects.</li></ul>
AUDITORS	Renan O. Elcullada Esperidion B. Corvera Jr. Marites B. Ybanez
FINDINGS	
Strengths	<ul style="list-style-type: none"><li>The CRD office was able to submit the Quality Policy Plan</li><li>The CRD office was able to achieve the yearly OPCR targets</li><li>The manual clearly defines the processes in the implementation, monitoring and evaluation of the projects</li><li>The implementation of the projects were regularly monitored</li><li>The documents were clearly kept with labels in every depository folder</li></ul>

DESCRIPTION

C	Conformity Requirement has been met; No action required	NA	Not Applicable No action required
OF I	Opportunity for Improvement Statement of fact or condition that does not signify a failure in the system but need to be addressed	NC	Nonconformity / Major Nonconformance Absence or total breakdown of a system to meet criteria or requirements of a clause of ISO 9001

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Audit Checklist Form			
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Opportunities for Improvement	<ul style="list-style-type: none"><li>• The CRD office needs office assistant</li><li>• The university may create Research Centers and publication office</li><li>• Research incentives, research presenter honorarium and publication award maybe revisited</li><li>• Deloading scheme for the faculty researchers reinforced</li></ul>
Observation	<ul style="list-style-type: none"><li>• A systematic and well-coordinated personnel is evident</li><li>• Monitoring and evaluation of the projects are well-recorded</li><li>• The CRD personnel exceeded in their duties and responsibilities</li><li>• The office posted the annual accomplishment report</li></ul>
Non-Conformities	<ul style="list-style-type: none"><li>• ISO clause (5.1.2) states that the top management shall demonstrate leadership and commitment with respect to the customer focus by ensuring that the risks and opportunities that can affect conformity of services and availability to advance customer satisfaction are determined and addressed. However, there was no survey on clients' satisfaction (Faculty) about the service of the office.</li><li>• The CRD office is CERTIFIABLE</li></ul>
Date of Submission of Corrective and Preventive Actions	

\* DESCRIPTION

C	Conformity	NA	Not Applicable
	Requirement has been met; No action required		No action required
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