	Republic of the Philippines **Nueva Ecija University of Science and Technology** **General Tinio Street, Cabanatuan City** **ISO 9001:2015**

QUALITY SYSTEM PROCEDURE			
Title:	Actions to Non-Conformity and Corrective Actions		
Document No:	NEUST-QMS-P002		
Rev. No:	**00**	**Effective Date:**	September 12, 2018

DOCUMENT REVISION HISTORY

Rev. No	Effective Date	DCN Number	Details	Initiator
00	September 12, 2018	18-0003	First Issue	Dr. Analyn M. Gamit

Prepared by:	**Reviewed by:**	**Approved by:**
ANALYN M. GAMIT, Ph.D. *QMR/ QA Director*	**FELICIANA P. JACOBA, Ed.D.** *University President*	**FELICIANA P. JACOBA, Ed.D.** *University President*

ACTIONS TO NON-CONFORMITY AND CORRECTIVE ACTIONS

1.0 PURPOSE

To establish a documented information procedure in order to define the controls and related responsibilities and authorities in dealing with nonconforming products and services, to prevent unintended use or installation in the Organization and to ensure safe products and services

1.1.1 Action to control and correction
1.1.2 Deal with consequences
1.1.3 Analyzing the non-conformity
1.1.4 Determining the root cause of non-conformity
1.1.5 Implementing and reviewing the effectiveness of corrective action taken
1.1.6 Determine the risk and opportunities

2.0 SCOPE

This process applies to all internally identified nonconforming products and services in the organization and also to products and services delivered to the customer/NEUST that are determined to be nonconforming after delivery or delivered product and services returned by the customer due to a failure and to the corrective action report.

3.0 REFERENCES

3.1 ISO 9000:2015 Quality Management System – Fundamentals and Vocabulary
3.2 ISO 9001:2015 Quality Management System – Requirements
3.3 NEUST Quality Management System Manual

4.0 TERMS AND DEFINITION

4.1 **Conforming** - Refers to fulfilment of a set of requirements/specification.
4.2 **Defect/Non-Conformity** - Refers to nonfulfillment of a set of requirement/specification.
4.3 **Minor Non-Conformity** - Any nonconformity which does not adversely affect the performance, durability, interchangeability, reliability, maintainability, effective use, weight or appearance (where a factor), health or safety of a product and services. Multiple minor nonconformity when considered collectively may raise the category to a major non-conformity.
4.4 **Major Non-Conformity**- Total breakdown of products and services. Any nonconformity other than critical, which may result to failure or materially reduces the usability of the product for the intended purpose (effective use or operation, weight or appearance, where a factor, health or safety) and which cannot be completely eliminated by rework or reduced to a minor non-conformity by an approved repair.
4.5 **Corrective Action Report** - Refers to a response to a defect and eliminate the reoccurring. The corrective action may relate to root cause of the problem/defect.
4.6 **Correction/Immediate Action** - An immediate action or temporary answer to the problem.
4.7 **Risk Assessment or Risk Registry** - A systematic process of evaluating the potential risks that may be involved in a projected activity or undertaking.

4.8 **Opportunity for Improvement/ Continual Improvement -** Refers to a smart; neat idea to share with valuable ideas that may be helpful to the organization to push its quality management system for improvement.

4.9 **Accident -** Any unplanned event or has the potential to cause injury or illness to people and/or damage to assets and environment within the company premises, project site and outdoor activities sponsored by the organization.

4.10 **Incident -** An occurrence or event that could degrade the efficiency of the warehouse that may not result to physical harm, illness or injury.

4.11 **Objective Evidence -** Refers to a form of proof or supporting documents or materials to justify that a committed action item has been satisfied

5.0 RESPONSIBILITIES

5.1 Head of the Unit/Agency
5.2 Internal Auditor
5.3 QMR

6.0 PROCEDURE

6.1 Corrective Action Report

6.1.1 Define the Non-Conformance (NC)
6.1.2 Define the process/specs violated/Customer complaint
6.1.3 Define the degree Non-Conformance (NC)
6.1.4 Define the Correction action
6.1.5 Define the Corrective Action
6.1.6 Acknowledged by the violator and HR Department
6.1.7 Actions verified by

6.2 Non-Conforming Flowchart

6.2.1 Received feedback
6.2.2 Identify the Complaint/Feedback
6.2.3 Gathering information
6.2.4 Identify if it is CAR or Incident Report
6.2.5 Issue Corrective Action Report (CAR)
6.2.6 Conduct Root Cause Analysis and establish Actions
6.2.7 Implement Actions
6.2.8 Follow up/verify defined actions
6.2.9 Was the action implemented and effective?
6.2.10 Update the Non conforming Logsheet

6.3 Disposition of Non-conforming products and services could be one of the following:

6.3.1 Rework or repair to meet the specified requirements;
6.3.2 Accept as is and install with customer authorization;
6.3.3 Re-grade, with or without repair, for an alternative application
6.3.4 The disposition decision may be made on different levels depending on the nature of the non-conformity and the decision itself:

6.4 Rework/Re-install without degrading its quality of W-fi Services, the Top Management, or its authorized representative, decide what should be done with non-conforming product.

6.4.1 Product and services that are in anyway different from currently approved cannot be installed/delivered unless with customer/NEUST approval.

6.5 Control of Reworked Product and Services

6.5.1 Nonconforming products may be reworked to meet specified requirements.

6.5.1.1 When rework is basically a repetition of one or more operation processes, the instructions may be issued by Department Head/Manager.

6.5.1.2 The instructions explained the rework operations and/or processes, and determined how the reworked products will be inspected or tested to verify that they comply with specified requirements.

6.5.1.3 When new and/or complex processes are used, Wi-Fi Engineering is involved in developing rework/re-install instruction.

6.5.1.4 One Year warranty is given for the services like maintenance, troubleshooting, monitoring, etc.

6.6 Customer Complaint/Feedback

6.6.1 The Technical Business Department shall handle all customer feedbacks.

6.6.2 All customer/NEUST's complaints shall be registered to Non-Conforming Product and Services Log Sheet

6.6.3 To address all customer complaints, Technical Business Department shall determine the issue and shall validate and provide corrective actions.

6.7 Corrective Action Process

6.7.1 Technical Business Department will validate and confirm the reported non-conformance. If found valid, a Corrective Action Report case number will be issued for the specific non-conformity. (Refer to Corrective Action Log Sheet numbering)

6.7.2 Depending on the nature and gravity of the non-conformance, other departments might also be required to get involved to solve the problem.

6.7.3 The department manager or its department representative where the non-conformity occurred with knowledge on how to generate a Corrective Action Report process shall spearhead/lead the CAR report generation.

6.7.4 When the completed CAR is submitted to the Auditor, the auditor then verifies all data in the form.

6.7.5 Auditors verify the containment/correction actions, corrective actions if they are appropriate & adequate. If all action responses are acceptable, then all data are recorded into the system and the forms filed.

6.7.6 When the commitment date comes, Auditor verifies if all committed action items have materialized. When all action items have been materialized, auditor then collects and files all the objective evidences, then fills up the "Auditor's sign:" and "Date" portion on the Corrective Action Report form and checks the "Closed" box in the auditor's verification box. Auditor then closes the Corrective Action Report case number in the system and keeps the CAR form and all objective evidences in the file.

6.7.7 If any action item has not materialized on the committed date, Auditor shall send a follow up email to the respondents' department manager regarding the unfinished action item. The respondent's manager or his/her representative will be given 5 working days to respond or take action on the unfinished action item.

6.7.8 If No response is received within 5 working days the issue will be elevated to the Top Management. If a certain action item has lapsed or did not materialize for 2 succeeding committed dates, the issue will be elevated to Top Management.

6.8 Corrective Action (CAR) Reporting Process

6.8.1 Any of members of the organization can propose a Corrective Action Report Issuance for any personnel found or discovered to have violated any approved process or procedure that has led to non-conformance. This individual with the recommendation of his immediate supervisor or manager is responsible for effectively communicating the problem to the Top Management.

6.8.2 Assigned Internal Auditor will validate and confirm the reported non-conformance. If found valid, a CAR case number will be issued for the specific non-conformity.

6.8.3 Document Controller shall generate a CAR form with a control number and initial data as provided by the issuer.

6.8.4 The generated Corrective Action Report form will then be given to the respondent's department manager or his/her supervisor where the non-conformance occurred. The respondent with the guidance of his/her supervisor or department manager will then complete the form for the following data required:

6.8.4.1 Explain How and Why the Non-Conformance Happened

6.8.4.2 Corrective Action for each probable cause

6.8.4.3 Who is Responsible and the Commit Date for each corrective action

6.8.4.4 Respondent then writes his/her name and the date in the "Acknowledged by" in the corresponding date column.

6.8.4.5 The filled up Corrective Action Report form will then be returned to Document Controller for filling

6.8.4.6 Assigned Auditor verifies the containment, probable root cause and corrective action if it is appropriate & adequate.

6.8.4.7 If all action responses are acceptable, Assigned Auditor will bring the form to HR Department for signature and file on 201 files

6.8.4.8 If all corrective actions are committed on a future date, Assigned Auditor shall record and file the CAR in the System Procedure.

6.8.4.9 When the committed date comes, Assigned Auditor then verifies if all the action items have materialized. If it is so, Assigned auditor shall collect and file all the objective evidences, signs the "Verify by:" and "Date" portion on the CAR form. Assigned auditor then closes the CAR case number in the system and keeps the CAR form into file.

6.8.4.10 If action items did not materialize on the committed date, Assigned auditor shall send a follow up email to the respondents' department manager regarding the unfinished action item. The respondent's manager or his/her representative will be given 48 hours to respond or take action on the unfinished action item. If No response is received within 48 hours, the issue will be elevated to the Top Management.

6.8.4.11 If a certain action item has lapsed or did not materialized for 2 succeeding committed dates, the issue will be elevated to the Top Management.

6.8.4.12 Records shall be maintained as per Documented Information Procedure

6.9 Degree of Non-Conformance/Discrepancy

6.9.1 Minor Non-Conformance (NC)

6.9.1.1 Wrong / Non-Documented Information / data entry that did not result to a quality issue

6.9.1.2 Wrong/non-documented Information / data entry that did not result to non-conformance.

6.9.1.3 Non-compliance that did not result to major quality issue

6.9.1.4 Non-compliance that did not result to delay in installation/delivery.

6.9.1.5 Non-compliance that did not result to waste of materials

6.9.1.6 Inaccuracy in data entry

6.9.2 Major Non-Conformance-NCs

6.9.2.1 Wrong / non-documented Information that resulted to a quality issue.

6.9.2.2 Wrong / non-documented Information that resulted to non-conformance.

6.9.2.3 Non-compliance to approved standards & procedures that resulted to a major quality issue.

6.9.2.4 Non-compliance to approved standards & procedures that resulted to delay in installation/delivery.

6.9.2.5 Deliberately addressing a quality issue with an improvised solution without proper documentation. Not following the in-process inspection/installation procedure that resulted to a quality issue or delay in operation, Major NC's as a result of negligence to proper procedures / specs.

6.9.2.6 Quality issue as a result of using prohibited tools & techniques on the Customer Site.

6.9.2.7 Any non-compliance or negligence that leads to harm any personnel or compromises safety.

6.9.2.8 Any non-compliance or negligence that leads to equipment damage or compromises safety.

7.0 ATTACHMENT/FORMS

7.1 Corrective Action Report

7.2 Corrective Action Log Sheet