Nueva Ecija University of Science and Technology

QUALITY MANAGEMENT SYSTEM

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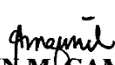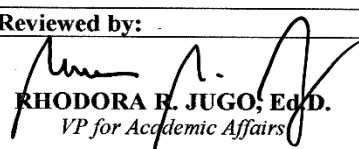
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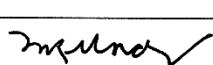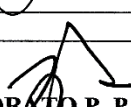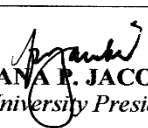
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CHAPTER I
THE NUEVA ECIJA UNIVERISTY OF SCIENCE AND TECHNOLOGY

1.1 Brief History

The Nueva Ecija University of Science and Technology (NEUST) started in June, 1908 as a vocational course at the Wright Institute in San Isidro, Nueva Ecija where young Filipinos were trained in woodworking and basic telegraphy. Said vocational course lasted until SY 1927-1928 when the general secondary school was transferred to Cabanatuan City.

However, on June 9, 1929, the school continued its operation in San Isidro, under a new name, Nueva Ecija Trade School (NETS) with woodworking as the vocational course offered in addition to the existing secondary curriculum inherited from the Wright Institute.

To meet the increasing demand for vocational education in the whole province, the trade school was transferred on June 7, 1931, to Cabanatuan City. Enrolment increased; however, the program was interrupted in December 1941 by the outbreak of the Second World War in the Pacific.

Immediately after the war, the trade school was reopened on September 6, 1945. Rehabilitation program took place. The trade school continued with its mission of meeting the vocational and manpower needs of students coming from both Nueva Ecija and the nearby provinces. On June 8, 1948, a course in dressmaking was opened and female students were admitted in the School. A few years later, food trades and cosmetology courses were also offered.

On May 8, 1953, the NETS was converted into the Central Luzon School of Arts and Trades (CLSAT) by virtue of Republic Act No. 845. CLSAT was recognized as a center of manpower/vocational training for both youths and adults not only in the province but also in the whole Region III.

Series of developments continued until the CLSAT was converted into the Central Luzon Polytechnic College (CLPC) by virtue of Republic Act No. 3998 which was signed on June 18, 1964 by then President DiosdadoMacapagal.

Thirty-four years later, the CLPC, under the leadership of President Gemiliano C. Calling, was converted into a specialized university, the Nueva Ecija University of Science and Technology by virtue of Republic Act. No 8612.

The Bill converting CLPC into NEUST was signed on February 19, 1998 by Speaker Jose de Venecia. It was forwarded to President Fidel V. Ramos on February 24, 1998 and lapsed into law on March 27, 1998.

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The University therefore, ensures that the requirements of business, industry, services and other sectors as well as the needs of the local, regional and national development for high quality professionals and highly skilled middle-level manpower are addressed.

The leadership of Dr. Calling as the first University President ended up when he died on July 5, 2006. The baton of leadership was turned over to Dr. Hilario C. Ortiz as Acting President and then finally, he was formally sworn into office on August 5, 2007 as the Second University President. On August 4, 2011, Atty. Hilario C. Ortiz, Ph. D. was again given another four year term as University President.

Dr. Feliciana P. Jacoba was appointed as the third University President on February 10, 2016. Dr. Jacoba already made a mark on the history of NEUST as the first Woman President of the University.

1.2 NEUST Vision

NEUST is a locally responsive and internationally recognized University of Science and Technology.

1.3 NEUST Mission

To develop new knowledge and technologies, and transform human resources into productive citizenry to bring about development impact to local and international communities.

1.4 NEUST Tagline

Transforming communities through Science and Technology

1.5 NEUST Core Values

Nationalism, Excellence, Unity, Spirituality, and Transparency

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CHAPTER II
ABOUT THE NEUST QUALITY MANUAL

2.1 This manual is prepared for the purpose of defining the University's interpretations of the ISO 9001:2015 international standard, as well as to demonstrate how the University complies with such standard.

2.2 This manual is aligned with the clause numbering scheme of ISO 9001:2015 to avoid confusions of the users of this manual and of the international standard. However, the University ensures that each part of the manual is aligned with the context and operation of the University.

2.3 This manual presents "notes" which are used to define how NEUST has tailored its management system to suit its purposes. These are intended to clarify implementation approaches and interpretations for concepts which are not otherwise clearly defined in ISO 9001:2015.

2.4 Reference documents were also identified to facilitate understanding of the users in the implementation of the quality management system.

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CHAPER III
TERMS AND DEFINITIONS

The University adopts the following terms and definitions within its Quality Management System. Where no definition is provided, the University typically adopts the definitions provided in *ISO 9000: Quality Management – Fundamentals and Vocabulary*. In some cases, specific procedures or documentation may provide a different definition to be used in the context of that document; in such cases, the definition will supercede those provided for in this Quality Manual or ISO 9000.

3.1. **Audit** – systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.

3.2. **Audit Conclusion** – outcome of an audit provided by the auditor or team of auditors, after consideration of the audit objectives and all audit findings.

3.3. **Audit Criteria** – set of policies, procedures or requirements used as reference in the audit.

3.4. **Audit Findings** – results of the evaluation of the collected evidence against audit criteria.

3.5. **Audit Program** – set of one or more audits planned for specific time frame and directed towards a specific purpose. This is also referred to as Annual QMS Audit Program.

3.6. **Auditor** – person with the competence to conduct an audit.

3.7. **Competency** – should be understood as the application of knowledge, understanding, proficiency, skills, confidence and, where appropriate, the qualities of leadership necessary for an individual to perform a specified task, duty or responsibility.

3.8. **Continual Improvement** – a recurring activity to enhance performance.

3.9. **Compliance Obligation** – legal requirements that an organization should comply with and other requirements that an organization chooses to comply with.

3.10. **Conformity** – fulfilment of a requirement.

3.11. **Contractor** – refers to an individual or an entity engaged by NEUST to provide service for its operations (see "Supplier"), i.e., haulers, security services, construction, repairs and maintenance contractor. Also, referred to as external provider.

3.12. **Context of the Organization** – combination of internal and external issues that can have an effect on an organization's approach to developing and achieving its objectives.

3.13. **Continual** – activity occurs over a period but with potential intervals of interruption, while 'Continuous' means duration without interruption.

3.14. **Control Measure** – any action and activity that can be used to prevent or eliminate, environmental aspect.

3.15. **Correction** – action taken to correct or stop or mitigate the impacts of a detected nonconformity or other undesirable and substandard condition.

3.16. **Corrective Action** – action to eliminate the cause of a nonconformity and to prevent recurrence or occurrence.

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3.17. **Client** – person or organization that could or does receive a product or a service that is intended for or required by this person or organization. Recipient of the products and services provided by NEUST.

3.18. **Customer Satisfaction** – customer's perception of the degree to which customer's expectations have been fulfilled.

3.19. **Design and Development** – set or processes that transform requirements for an object into more detailed requirements for that object.

3.20. **Document** – meaningful data and other information and its supporting medium, i.e., procedure, specification, drawing, report, standard, records, etc. The medium can be paper, magnetic, electronic or optical disc photograph, or master sample, or a combination thereof. Also, referred to as documented information to be maintained.

3.21. **Documentation** – a set of documents and records containing meaningful information, i.e., policies, specifications, procedures, guidelines, work instructions and records.

3.22. **Documented Information** – information required to be controlled and maintained by an organization and the medium which it is contained.

3.23. **Effectiveness** – extent to which planned activities are realized and planned results achieved.

3.24. **Engagement** – involvement in, and contribution to, activities to achieve shared objectives.

3.25. **External Provider** – refers to an organization engaged by NEUST to provide product or service.

3.26. **Feedback** – opinions, comments and expressions of interest in a product, a service or a complaints-handling process.

3.27. **Interested Party** – these are individuals and groups that have direct and indirect interest on the operation of the University. It composed of internal and external parties. Internal parties are faculty and staff of NEUST including the academic council, administrative council, and Board of Regents. External parties are composed of but not limited to government, Non-governmental Organizations (NGOs), Local Government Units (LGUs), other State Universities and Colleges (SUCs), suppliers, and the community.

3.28. **Indicator** – measurable representation of the condition or status of operations, management or conditions.

3.29. **Infrastructure** – system of facilities, equipment and services needed for the operation of an

3.30. **Involvement** – taking part in an activity, event or situation.

3.31. **Local Government Unit (LGU)** – government entities that visit NEUST regularly to check on its compliance to applicable laws, regulations and requirements, i.e., Barangay Representatives, Municipal Officials, etc.

3.32. **Management** – coordinated activities to direct and control an organization.

3.33. **Mission** – organization's purpose for existing as expressed by top management.

3.34. **Monitoring** – determining the status of a system, a process, product, service or an activity.

3.35. **Measurement** – process to determine a value.

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3.36. **Nonconformity** – non-fulfillment of a requirement. Any deviation from work standards, practices, procedures, regulations, and other management system requirements, that could either directly lead to customer complaints, damage to goods and services, injury or illness, property damage, damage to the workplace environment or combination of these. This may also be referred to as non-conformance.

3.37. **Objective** – results to be achieved. An objective can be strategic, tactical or operational.

3.38. **Outsource** – an arrangement where an external organization performs part of an organization's function or process.

3.39. **Output** – result of a process.

3.40. **Performance** – measurable result. Can relate either to quantitative or qualitative findings.

3.41. **Procedure** – specified way to carry out an activity or a process. Procedures can be documented or not.

3.42. **Process** – set of interrelated or interacting activities that use inputs to deliver an intended result. Whether the "intended result" of a process is called output, product or service depends on the context of the reference.

3.43. **QMS Performance** – measurable results of the QMS associated to NEUST's products and services based on its quality policy and objectives.

3.44. **Quality** – degree to which a set of inherent characteristics of an object fulfils requirements.

3.45. **Quality Assurance** – part of the quality management focused on providing confidence that quality requirements will be fulfilled.

3.46. **Quality Control** – part of the quality management focused on fulfilling quality requirements.

3.47. **Quality Improvement** – part of quality management focused on increasing the ability to fulfil quality requirements.

3.48. **Quality Management System (QMS)** – the part of the overall management system used to develop and implement its quality policy.

3.49. **Quality Policy** – statement of commitments, intentions and principles in related to NEUST's overall goals and direction as formally expressed by the top management. It can be aligned with the organization's vision and mission and provides framework for the setting of quality objectives

3.50. **Quality Objective** – overall quality goals, arising from the quality policy, that NEUST sets itself to achieve, and which is measurable where practicable.

3.51. **Record** – special type of document stating results achieved or providing evidence of activities performed. Also, referred to as documented information to be retained.

3.52. **Requirement** – need or expectation that is stated, generally implied or obligatory.

3.53. **Risk** – effect of uncertainty. An effect is a deviation from the expected – positive or negative.

3.54. **Risks and Opportunities** – potential adverse effects (threats) and potential beneficial effects (opportunities). 2.1.56 Statutory Requirement – obligatory requirement specified by a legislative body.

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3.55. **Regulatory Requirement** – obligatory requirement specified by an authority mandated by a legislative body. 2.1.58 Supplier – refers to an individual or business entity that supplies NEUST with goods and materials for its operations and processes. Also, referred to as external provider.

3.56. **Traceability** – ability to trace the history, application or location of an object.

3.57. **Top Management** – This refers to the governing body of the University that composed of the members of the executive committee and administrative council.

3.58. **Uncertainty** – the state, even partial, of deficiency of information related to, understanding or knowledge of an event, consequence, or likelihood.

3.59. **Validation** – confirmation through the provision of objective evidence that the requirements for a specific intended use or application have been fulfilled.

3.60. **Verification** – confirmation, through the provision of objective evidence that specified requirements have been fulfilled.

3.61. **Vision** – aspiration of what an organization would like to become as expressed by top management.

3.62. **Work Environment** – set of conditions under which work is performed.

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CHAPTER IV
THE SCOPE AND CONTEXT OFNEUST QMS

4.1.   The University and Its Context

4.1. The NEUST has reviewed and analyzed its key aspects and of its stakeholders to determine the strategic direction of the university. This involves:

4.1.1.   Understanding the University's vision, mission, and core values.

4.1.2.   Understanding its core services, and scope of management system.

4.1.3.   Identifying "interested parties" (stakeholders) who receive our services, or who may be impacted by its services, or those parties who may otherwise have a significant interest in the University.

4.1.4.   Understanding internal and external issues that are of concern to NEUST and its interested parties. Many of such issues are identified through an analysis of risks facing either NEUST or the interested parties. Such issues are monitored and updated as appropriate, and discussed as part of management reviews.

4.2. This information is then used by top management to determine the University's strategic direction. This is defined in records of management review, and periodically updated as conditions and situations change.

4.2.   The Needs and Expectations of Interested Parties

4.2.1. Due to their effect or potential effect on the University's ability to consistently provide services that meet client and legal requirements, the University shall determine:

   a) the interested parties that are relevant to the quality management system;
   b) the requirements of these interested parties that are relevant to the quality management system.

4.2.2.   The University has determined the interested parties and their needs and expectations to the university:

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Table 1

Needs and Expectations of Interested Parties

Interested Parties	Needs	Expectations
Students	1. Competent faculty members; 2. Continuous business; 3. Capacity building;	1. Student satisfaction; 2. Innovations from technology; and 3. Better teaching-learning environment.
Management	1. Competent faculty and staff members 2. Continuous business 3. Quality lecture theaters and laboratory facilities	1. Client satisfaction 2. Innovations from technology 3. High income 4. Less unnecessary expenses
Employees	1. Competitive salary 2. Mandatory benefits	1. Job security 2. Promotions 3. Recognition 4. Good working environment
Outsourced Personnel	1. Competitive packages	1. Good working environment 2. Renewal of contract 3. Higher or improved packages
Research and Extension partners	1. Accurate delivery 2. Timely management of projects 3. Competent researchers or extension personnel 4. Prioritization 5. Regular reporting	1. Accurate reporting 2. Access to materials 3. Technology transfer 4. Contributor to industry development 5. Good relations to outsource personnel 6. Safe implementation of projects
Commission on Audit (COA)	1. Effective and efficient management of resources	1. Competent employees 2. Compliance to accounting and auditing regulations
Commission on Higher Education (CHED)	1. Effective and efficient management of resources;	1. Competent employees 2. Sustainability of projects
Department of Budget and	1. Effective and efficient management of resources	1. Competent employees 2. Sustainability of projects

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Management (DBM)		
Department of Agriculture (DA)	1. Effective and efficient management of resources	1. Competent employee 2. Sustainability of projects
Department of Science and Technology (DOST)	1. Effective and efficient management of resources	1. Competent employees 2. Sustainability of projects
Other Government Agencies (GAs) and Non-Government Organizations (NGOs)	1. Accurate delivery 2. Timely management of projects 3. Competent researchers or extension personnel 4. Prioritization 5. Regular reporting 6. Accurate reporting 7. Access to materials 8. Technology transfer 9. Contributor to industry development 10. Good relations to outsource personnel 11. Safe implementation of projects	1. Management issues/challenges 2. Partner issues 3. Wrong information 4. None or delayed instructions from interested parties 5. New regulations affecting partnership 6. Transportation/ Logistics issues

4.2.3. The University shall monitor and review information about these interested parties and their relevant requirements.

4.3. Scope of the Management System

4.3.1 Scope Statement

The University determined the boundaries and applicability of the quality management system to establish its scope.

In determining this scope, the University considered:

a) the external and internal issues referred to 4.1;
b) the requirements of relevant interested parties referred to in 4.2; and
c) the services of the University.

Based on an analysis of the above issues and concerns, interests of stakeholders, and in consideration of its services, the NEUST has determined the scope of the quality management system as follows:

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Provisions of instruction, research and extension in

all campuses of the University

4.3.2. Facilities within the Scope

The quality system applies to all processes, activities and employees within the university. The facility is located at:

Main Campus

Gen. Tinio St., Cabanatuan City

Satellite Campuses

Sumacab Campus, Sumacab Este, Cabanatuan City
San Isidro Campus, San Isidro, Nueva Ecija
Atate Campus, Palayan City, Nueva Ecija
Gabaldon Campus, Gabaldon, Nueva Ecija
Fort Magsaysay Campus, Palayan City, Nueva Ecija

4.3.3   Permissible Exclusions

Core Processes	Permissible Exclusions
Instruction	None
Research	None
Extension	7.1.5.2 Measurement Traceability. The University does not use any instruments that require calibration in the provision of its extension services. 8.3 Design and Development of Products and Services. The University provides extension services based on the availability of the services in different colleges and campuses only and does not mandated to design and develop new services beyond the specialization of the University.

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4.4. Quality Management System and Its Processes

4.4.1. The Quality Management System (QMS) of NEUST is based on the requirements of ISO 9001:2015 Standard. The QMS is established, implemented, maintained and continually improved following closely the principle of "Plan-Do-Check-Act.

4.4.2. PLAN (Determining and Planning What to Manage in the QMS) – Includes establishing the quality policy and identifying the basis of the QMS – understanding the context of NEUST and its activities, products and services that need to be managed and controlled. This involves:

4.4.2.1 Establishing the Quality Policy by the President which provides NEUST the overall direction as to its quality performance;

4.4.2.2 Determining and updating internal and external issues that are relevant to the purposes of NEUST, and that can affect its ability to achieve the intended results of the QMS;

4.4.2.3 Determining and updating the needs and expectations of relevant interested parties relevant to the effective implementation of the QMS;

4.4.2.4 Identifying, accessing and updating compliance obligations related to products and services and planning actions to ensure compliance;

4.4.2.5 Mapping the QMS and its application to the NEUST's processes (core and support) including outsourced processes. This also includes determining the criteria and monitoring and measuring requirements of inputs, process and outputs for each process by establishing quality control plans;

4.4.2.6 Identifying and evaluating risks and opportunities associated to NEUST's internal and external issues, needs and expectations of relevant interested parties and business processes, and planning actions to address them; and

4.4.2.7 Setting-up quality objectives to identified improvement areas, and establishing programs and action plans to achieve these.

4.4.3 DO (Strengthening the Support Mechanism and Operating the QMS) – Includes engagement of people; documentation and implementation of the management system in NEUST's activities, products and services; taking actions to critical risks and pursuing opportunities, and satisfy compliance obligations; and implementing programs to achieve quality objectives established at the planning phase. Specifically involves:

4.4.3.1 Defining the organizational structure, responsibilities and authorities in the QMS;

4.4.3.2 Determining and providing adequate resources (e.g., people, infrastructure,

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environment for the operation of processes, monitoring and measuring resources and organizational knowledge) necessary for the effective implementation of the management system. This also includes provision of specialized training necessary to ensure competency of persons doing work for NEUST that affects the performance and effectiveness of the QMS;

4.4.3.3 Documenting the QMS and its processes considering the identified actions and control measures to meet customer requirements, address identified risks and opportunities, achieve quality objectives and fulfill compliance obligations;

4.4.3.4 Conduct general orientation among employees and external providers, especially those on-site on NEUST's QMS and its key requirements to engage each one within the company for the effective implementation of the management system;

4.4.3.5 Establishing effective communication with the employees, customers and other relevant internal and external interested parties such as the regulatory bodies, external providers especially those on-site; and

4.4.3.6 Operating the QMS and carrying out NEUST's business processes in accordance with the defined quality control plans, operational procedures and improvement plans and programs.

4.4.4 CHECK (Evaluating the performance of the QMS) – Includes regular monitoring, measurement, analysis and evaluation of NEUST's quality performance and the effectiveness of the QMS. This involves:

4.4.4.1 Monitoring, measuring, analyzing and evaluating regularly the key characteristics of the NEUST's activities, products and services including its performance against set quality objectives and programs;

4.4.4.2 Evaluating periodically NEUST's compliance obligations;

4.4.4.3 Ensuring that the monitoring and measuring resources being used are calibrated and/ or verified;

4.4.4.4 Conducting internal audits to provide information on whether the QMS conforms to the requirements of the standard to which it is based, and to NEUST's own requirements, and to determine if it is effectively implemented and maintained; and

4.4.4.5 Conducting periodic review of the management system to ensure its continuing suitability, adequacy and effectiveness.

4.4.5 ACT (Improving the QMS) – Includes determining opportunities for improvement and implementing necessary actions to achieve the intended results of the QMS. This involves:

4.4.5.1 Assessing opportunities for improvement and the need for changes, including

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the quality policy, objectives, and other elements of the management system;

4.4.5.2 Handling of management system nonconformities and taking actions to mitigate their impacts to NEUST's activities, products and services, including its quality performance; and

4.4.5.3 Driving continual improvement of the management system considering the quality policy and objectives, analysis of data from monitoring and measurement activities, results of management system audits and management reviews, and where necessary, applying corrective action processes to identified weaknesses.
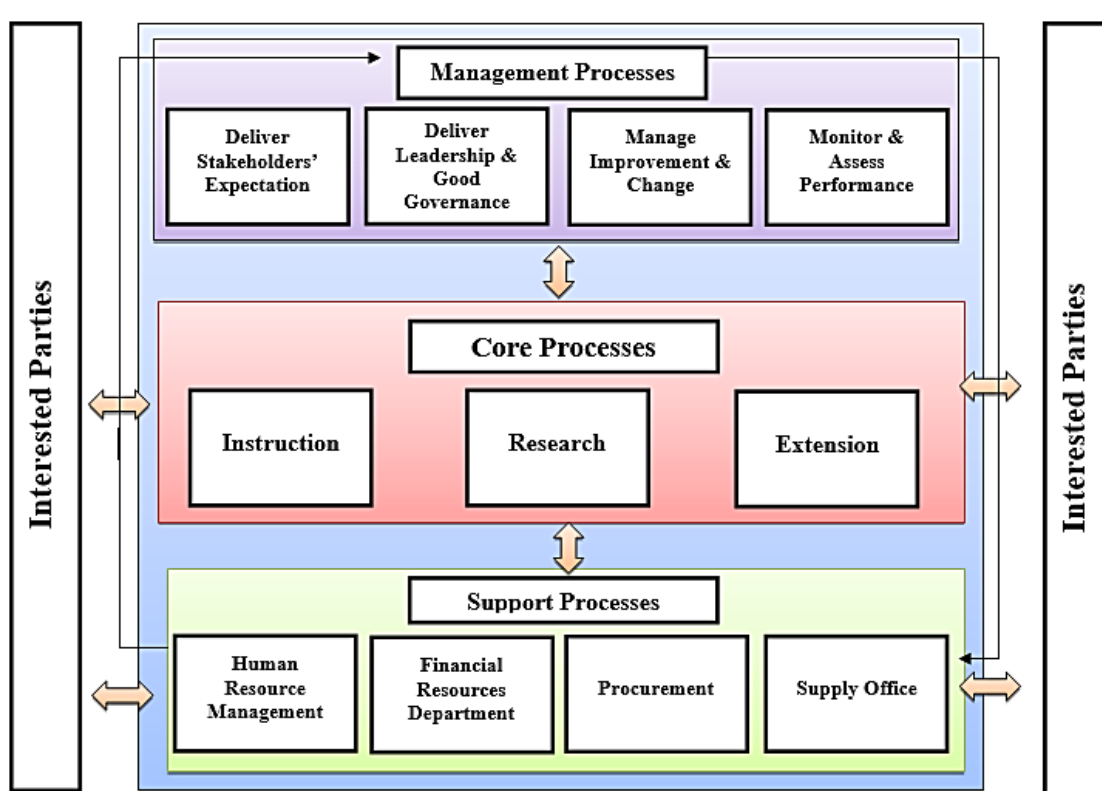
Figure 1: Overall Process Sequence & Interaction of NEUST

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CHAPTER V
LEADERSHIP

5.1. Leadership and Commitment

In this manual the Top Management or Administration refers to the University President and the other members of the Administrative Council. The Administration shall demonstrate leadership and commitment with respect to the quality management system by:

5.1.1. taking accountability for the effectiveness of the quality management system;

5.1.2. ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organization;

5.1.3. ensuring the integration of the quality management system requirements into the University's processes;

5.1.4. promoting the use of the process approach and risk-based thinking;

5.1.5. ensuring that the resources needed for the quality management system are available;

5.1.6. communicating the importance of effective quality management and of conforming to the quality management system requirements;

5.1.7. ensuring that the quality management system achieves its intended results;

5.1.8. engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;

5.1.9. promoting improvement;

5.1.10. supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility;

5.1.11. determining, understanding and consistently meeting clients and applicable legal requirements;

5.1.12. determining and addressing the risks and opportunities that can affect conformity of services and the ability to enhance satisfaction of the clients; and

5.1.13. maintaining the focus on enhancing clients' satisfaction.

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5.2. Quality Policy

5.2.1. The statement below is the quality policy statement of the University approved by the administration and complies with the requirements of the international standard.

The Nueva Ecija University of Science and Technology, as an institution of higher learning, is committed to:
   a) **comply to all applicable statutory and regulatory requirements;**
   b) **meet the satisfaction of its students, partner beneficiaries and other relevant interested parties;**
   c) **deliver quality in the areas of instruction, research, and extension; and**
   d) **continually improve its quality management system.**

5.2.2. The University's quality policy shall be the framework in setting quality objectives.

5.2.3. The Top Management shall ensure that the quality policy is:

   a) available and be maintained as documented information;
   b) communicated, understood and applied within the University; and
   c) available to relevant interested parties, as appropriate.

5.3. Roles, Responsibilities and Authorities

5.3.1. The top management has assigned responsibilities and authorities for all relevant roles in the University in accordance to legal and statutory regulations. These are communicated through the combination of the *Organizational Chart, Designation, and Special Order.*

The top management shall assigned Quality Management Representative (QMR) with the responsibility and authority for:

   a) ensuring that the management system conforms to applicable standards;

   b) ensuring that the processes deliver their intended outputs;

   c) reporting on the performance of the management system;

   d) providing opportunities for improvement for the management system;

   e) ensuring the promotion of client focus throughout the organization;

   f) ensuring that the integrity of the management system is maintained when changes are planned and implemented.

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5.3.2. University President

In addition to having the executive responsibility in directing NEUST, the President is responsible in:

a) Chairing the Management Committee;
b) Defining the organization's quality policy which provides the overall directions and commitment of NEUST on the quality of its operations and services;
c) Ensuring that the QMS is systematically and effectively executed;
d) Appointing the Quality Management Representative (QMR), Deputy QMRs and other key functions in the QMS Working Team; and
e) Approving the provision of the necessary resources for the effective establishment, implementation, maintenance, and continual improvement of the QMS

5.3.3. Management Review Team

The team is responsible in conducting the second-tier periodic review of the QMS, particularly in:

a) Reviewing the continuing suitability, adequacy and effectiveness of the QMS including the need for changes in the Quality Policy and the intended results of the QMS;
b) Defining the directions and areas of QMS-related policies, objectives, programs and standards; and
c) Review and where applicable, approve QMS-related final deliverables. The Management Review Team comprises at minimum the President, Vice Presidents, QMR, Deputy QMRs (Department Heads/ College Deans), Lead Internal Auditor and Document Controller. Where need arises, other key functions shall be invited.

5.3.4. Quality Management Representative

In addition to being the Director of the Internal Quality Assurance Unit, has the overall responsibility in ensuring that the QMS is systematically established, implemented, maintained and continually improved. Specifically, responsible for:

a) Managing the QMS Working Team;
b) Responsible in the preparation of the QMS Policy Manual and in the initiation of revision, where need arises.

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c) Managing the implementation of QMS policies, objectives, plans and programs, procedures and guidelines to ensure that the management system is established, implemented and maintained compliant to the requirements of ISO 9001:2015 Standard;

d) Reporting to the Management on the performance of the QMS, including areas for improvement;

e) Acting as liaison with external parties on matters relating to the QMS, such as technical assistance, certification, etc;

f) Coordinating QMS activities with other departments, including consolidating information/ data generated by the QMS Working Team, such as QMS performances, status against set objectives, compliance obligations, training needs and provision, etc; and

g) Providing logistics to facilitate the conduct of the management review meetings, including availability of information on the QMS performance and status of

5.3.5. QMS Technical Working Group

Composed of the QMR, Document Controller, Lead Internal QMS Auditor, Internal Auditors and college/ department/ office representatives. Mainly responsible in spearheading the establishment, implementation, maintenance and continual improvement of the QMS in their respective department/ areas, compliant with the requirements of ISO 9001:2015 Standard.

Each representative shall be in-charge in their respective area regarding:

a) Determination and updating of internal and external issues and needs and expectations of relevant interested parties;

b) Review and evaluation of NEUST's compliance obligations

c) Identification and evaluation of risks and opportunities, and planning actions to address them

d) Preparation and review and where necessary, revision of management system documentation including implementation in their respective areas Objectives and Programs

e) Formulation and documentation of action plans and programs to achieve set quality objectives, and in monitoring their implementation and progress.

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f) Promotion of the QMS and its initiatives and requirements;

g) Conduct of general QMS orientation among employees, contractors and other personnel; and Communication and promotion of the QMS and its initiatives to internal and external interested parties including employees, customers, visitors, external providers, surrounding communities and related government agencies

h) Monitoring, measurement, analysis and evaluation of data relevant to QMS performance; and

i) Ensuring calibration and/ or verification of monitoring and measuring equipment owned and used in their area, if any.

j) Taking correction and corrective action to identified/ detected QMS nonconformities.

5.3.6. Document Control Officer

Mainly responsible in:

a) Evaluating, maintaining, and improving document and data control system and procedure. Coordinating with department/ college representatives in implementation of related programs;

b) Monitoring and updating of QMS compliance obligations and implementation, management and administration of documents and records management system in the organization

c) Ensuring conformance to defined capabilities of the system. Participating in internal audits regularly to ensure that the established procedures and work instructions are updated.

d) Ensuring that controlled copies of the latest approved documents are issued or distributed to authorized copyholders in a timely manner, retrieving the old/superseded documents to avoid confusion. Department/ College Documents and Records Custodian shall be checked and inspected by the QMS Document Controller to ensure documents are updated and monitoring are being complied as required by the standard.

e) Taking and preparing minutes during Management Reviews and QMS Committee meetings.

f) Providing support for QMS during certification audits and actively participate in department documentation activities. Effectively follow NEUST standard operating procedures in submission of documents;

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g) Coordinating with Lead Internal QMS Auditor for the Annual Audit Plans and Matrix, and Audit Checklists; and implementation of the management system procedure; and

h) Coordinating with the QMR on QMS implementation, documentation, monitoring, update of the status of compliance obligations and notifies responsible department to address active concerns.

5.3.7. Internal QMS Lead Auditor

a) Responsible for preparing the internal audit plan, and reporting the result to the management.
b) Responsible in organizing the audit team carrying out the relevant quality audit.
c) Has the authority to finally decide among the different opinions of auditors while implementing the audit.
d) Updates the Internal Quality Audit Plan to indicate the actual activity schedule of audit every time an audit was conducted.
e) Assigns replacement auditors in case the assigned auditor, for unforeseen reason, will not be available at the time of the audit.
f) Ensures that internal quality audit is implemented as scheduled on the plan.
g) Follows up the auditor's report 2 days after the audit schedule for the purpose of issuance to auditee.
h) Responsible for documenting the audit result and issuing the audit report.
i) Responsible in issuing the internal audit report for the non-conforming elements found in the audit.

5.3.8. Other Faculty and Staff

Understanding the Quality Policy and following relevant operational procedures;

a) Implementing QMS-specific procedures, guidelines and instructions in accordance to set standards of NEUST; and

b) Communicating through relevant channels any concern or suggestion for the effective implementation, maintenance and continual improvement of the QMS;

c) Participate in any consultation arrangements of NEUST on matters related to QMS; and

d) Respond appropriately to both internal and external audits.

Figure 2: Organizational Chart as per Board Resolution No. 13, s. 2018

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Figure 3: Functional Structure of the QMS of NEUST

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CHAPTER VI
PLANNING

6.1. Risks and Opportunities

6.1.1. The University shall consider the issues referred to the context of the organization and requirements of the interested parties and determine the risks and opportunities that are needed to be addressed to:

    a. give assurance that the quality management system can achieve its intended result(s);
    b. enhance desirable effects;
    c. prevent or reduce undesired effects;
    d. achieve improvement.

6.1.2. The organization shall plan:
    a. actions to address these risks and opportunities;
    b. how to:
          1. integrate and implement the actions into its quality management system processes;
          2. evaluate the effectiveness of these actions.

6.1.3. Actions taken to address risks and opportunities shall be proportionate to the potential impact on the conformity of products and services.

Note: Opportunities can lead to the adoption of new practices, launching new products, opening new markets, addressing new clients, building partnerships, using new technology and other desirable and viable possibilities to address the organization's or its clients' needs.

6.2. Establishing Quality Objectives

6.2.1. The University 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;
    b) be measurable;
    c) take into account applicable requirements;
    d) be relevant to conformity of products and services and to enhancement of client satisfaction;
    e) be monitored;
    f) be communicated;
    g) be updated as appropriate.

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6.2.2. The University shall maintain documented information on the quality objectives.

6.2.3. When planning how to achieve its quality objectives, the University shall determine:
   a) what will be done;
   b) what resources will be required;
   c) who will be responsible;
   d) when it will be completed; and
   e) how the results will be evaluated.

6.2.4. In order to uphold the commitment to its Quality Policy, the NEUST shall attain the following objectives:

1. Ensure that all applicable statutory and regulatory requirements will be complied especially those implemented by oversight agencies;
2. Attain clienteles' satisfaction in all University's services;
3. Be a leader in engineering, information technology, business technology and other science and technology courses in the Region;
4. Improve the performance of graduates on licensure examinations;
5. Ensure that all undergraduate programs are accredited;
6. Conduct researches to be utilized by the industry or by other beneficiaries;
7. Publish completed researches in internationally-refereed or CHED recognized journals;
8. Improve the delivery of extension services through the University's flagship program, Comprehensive Program for Empowerment and Development (COPED);
9. Establish active partnerships with LGUs, industries, NGOs, NGAs, SMEs, and other stakeholders as a result of extension activities; and
10. Maintain and continually improve the implementation of ISO 9001:2015 and complete the certification cycle.

6.3. Change Management

6.3.1. The University shall determine the need for changes of the management system or its processes, these changes shall be planned, implemented, and then verified for effectiveness. These processes are determined in the Procedure in Change Management (NEUST-QMR-P002).

6.3.2. In this process, the University shall consider:

   a) the purpose of the changes and their potential consequences;
   b) the integrity of the quality management system;
   c) the availability of resources; and
   d) the allocation or reallocation of responsibilities and authorities.

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CHAPTER VII
SUPPORT

7.1. Provision of Resources

The NEUST shall determine and provide the resources needed:

- a) to implement and maintain the management system and continually improve its effectiveness
- b) to enhance client satisfaction by meeting client requirements

Resource allocation is done with consideration of the capabilities and constraints on existing internal resources, as well as needs related to supplier expectations.

Resources and resource allocations are assessed during management reviews.

7.1.1. Human Resources

Top management ensures that it provides sufficient staffing for the effective operation of the management system, as well its identified processes.

Staff members performing work affecting service quality are competent on the basis of appropriate education, training, skills and experience.

Training and subsequent communication ensure that staff are aware of:

- a) the quality policy;
- b) relevant quality objectives;
- c) their contribution to the effectiveness of the management system, including the benefits of improved performance;
- d) the implications of not conforming with the management system requirements.

7.1.2. Infrastructure

The University shall determine, provides and maintains the infrastructure needed to achieve conformity to service requirements. Infrastructure includes, as applicable:

- a) buildings, workspace and associated facilities;
- b) process equipment, hardware and software;
- c) supporting services such as transport;
- d) information and communication technology.

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7.1.3. Work Environment

The NEUST shall provide a clean, safe and well-lit working environment. The University manages the work environment needed to achieve conformity to services requirements. Specific environmental requirements for services are determined during quality planning and are documented in subordinate procedures, work instructions, or job documentation. Where special work environments have been implemented, these shall also be maintained per 9.3 above.

Human factors are considered to the extent that they directly impact on the quality of Services.

Note: Social, psychological and safety aspects of the work environment are managed through activities outside of the scope of the management system. Only work environment aspects which can directly affect process efficiency or product and service quality are managed through the management system.

7.1.4. Monitoring and Measuring Resources

The University shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of the services to requirements.

The University shall ensure that the resources provided:

   a) are suitable for the specific type of monitoring and measurement activities being undertaken; and

   b) are maintained to ensure their continuing fitness for their purpose.

The University shall retain appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources.

7.1.5. Organizational Knowledge

The University also determines the knowledge necessary for the operation of its processes and to achieve conformity of services. This may include knowledge and information obtained from:

   a) internal sources, such as lessons learned, feedback from subject matter experts, and/or intellectual property;

   b) external sources such as standards, academia, conferences, and/or information gathered from clients and partner institutions.

This knowledge shall be maintained, and made available to the extent necessary.

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When addressing changing needs and trends, NEUST shall consider its current knowledge and determine how to acquire or access the necessary additional knowledge.

Note: Organizational knowledge is knowledge to the University; it is generally gained by experience. It is information that is used and shared to achieve the University's objectives. These can be based on:

Internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; the results of improvements in processes and services).

External sources (e.g. standards; academia; conferences; gathering knowledge from clients and external providers).

Reference Document: Evidence on Stakeholder Consultation (Parent Consultation

7.2. Competence

The organization shall:

a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system;

b) ensure that these persons are competent on the basis of appropriate education, training, or experience;

c) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken;

d) retain appropriate documented information as evidence of competence.

Note: Applicable actions can include, for example, the provision of training to, the mentoring of, or the reassignment of currently employed persons; or the hiring or contracting of competent persons.

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7.3. Awareness

The University shall ensure that persons doing work under the University's control are aware of:
a) the quality policy;
b) relevant quality objectives;
c) their contribution to the effectiveness of the quality management system, including the benefits of improved performance;
d) the implications of not conforming with the quality management system requirements.

7.4. Communication

The organization shall determine the internal and external communications relevant to the quality management system, including:
a) what it will communicate;
b) when to communicate;
c) with whom to communicate;
d) how to communicate;
e) who communicates.

7.5. Documented Information

7.5.1. The NEUST has established system for documentation of its quality management system as shown in the hierarchy below:

Legal
Requirements

Quality Policy

Quality Management
System Manual

Operational Manual
Standard Operating Procedures

Records

Figure 4: Hierarchy of QMS Documentation

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7.5.2. Documents required for the quality management system are controlled in accordance with procedure: ***Procedures on Registration, Revision, Retrieval and Abolition of Internal Documents***.

7.5.3. The purpose of document control is to ensure that the staff have access to the latest, approved information, and to restrict the use of obsolete information.

7.5.4. All documented procedures are established, documented, implemented and maintained.

7.5.5. A documented ***Procedures on Registration, Revision, Retrieval and Abolition of Internal Documents*** has been established to define the controls needed for the identification, storage, retrieval, protection, retention time, and disposition of quality records. This procedure also defines the methods for controlling records that are created by and/or retained by suppliers.

7.5.6. These controls are applicable to those records which provide evidence of conformance to the requirements; this may be evidence of services requirements, contractual requirements, procedural requirements, or statutory/regulatory compliance. In addition, quality records include any records which provide evidence of the effective operation of the management system.

Reference Document: Procedures on Registration, Revision, Retrieval and Abolition of Internal Documents (NEUST-QMS-P001)

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CHAPTER VIII
OPERATION

8.1. Operational Planning and Control

The NEUST plans and develops the processes needed for product and service realization. Planning of product and service realization is consistent with the requirements of the other processes of the management system. Such planning considers the information related to the context of the organization (see section 4.0 above), current resources and capabilities, as well as products and service requirements.

Changes to operational processes are done in accordance with the approved manual of operations and following the ***Procedures on Registration, Revision, Retrieval and Abolition of Internal Documents.***

8.2. Requirements for Products and Services

8.2.1. Client Communication

The NEUST has implemented effective communication with clients in relation to:

a) providing information relating to services;

b) handling inquiries, contracts or orders, including changes;

c) obtaining clients' feedback relating to services, including clients' complaints;

d) handling or controlling clients' property;

e) establishing specific requirements for contingency actions, when relevant.

8.2.2. Determining the Requirements for Products and Services

When determining the requirements for the products and services to be offered to clients, the University shall ensure that:

a) requirements for the products and services are defined, including:

    1) any applicable statutory and regulatory requirements;

    2) those considered necessary by the University;

b) the University can meet the claims for the products and services it offers.

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8.2.3. Review of the Requirements for Products and Services

The University shall ensure that it has the ability to meet the requirements for products and services. The University shall conduct a review before committing to supply products and services to the clients, to include:

a) requirements specified by the clients, including the requirements for delivery and post-delivery activities;
b) requirements not stated by the client, but necessary for the specified or intended use, when known;
c) requirements specified by the organization;
d) statutory and regulatory requirements applicable to the products and services;
e) contract or order requirements differing from those previously expressed.

The University shall ensure that contract or order requirements differing from those previously defined are resolved.

The client's requirements shall be confirmed by the University before acceptance, when the client does not provide a documented statement of their requirements.

The University shall retain documented information, as applicable:
a) on the results of the review;
b) on any new requirements for the products and services.

8.2.4. Changes on the Requirements for Products and Services

The University shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.

8.3. Designing and Development Planning of Products and Services

8.3.1. General

The University shall establish, implement and maintain a design and development process that is appropriate to ensure the subsequent provision of its services.

8.3.2. Design and Development Planning

In determining the stages and controls for design and development, the University shall consider:

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a. the nature, duration and complexity of the design and development activities;
b. the required process stages, including applicable design and development reviews;
c. the required design and development verification and validation activities;
d. the responsibilities and authorities involved in the design and development process;
e. the internal and external resource needed for the design and development of products and services;
f. the need to control interfaces between persons involved in the design and development process;
g. the need for involvement of clients and users in the design and development process;
h. the requirements for subsequent provision of products and services;
i. the level of control expected for the design and development process by clients and other relevant interested parties;
j. the documented information needed to demonstrate that design and development requirements have been met.

8.3.3. Design and Development Inputs

The University shall determine the requirements essential for the specific types of products and services to be designed and developed. The organization shall consider:

a) statutory and regulatory requirements of Commission on Higher Education (CHED), Department of Budget Management (DBM) and other oversight agencies;
b) functional and performance requirements;
c) information derived from previous similar design and development activities;
d) standards or codes of practice that the organization has committed to implement;
e) potential consequences of failure due to the nature of the products and services.

Inputs shall be adequate for design and development purposes, complete and unambiguous.
Conflicting design and development inputs shall be resolved.

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The University shall retain documented information on design and development inputs.

8.3.4. Design and Development Controls

The University shall apply controls to the design and development process to ensure that:
a) the results to be achieved are defined;
b) reviews are conducted to evaluate the ability of the results of design and development to meet requirements;
c) verification activities are conducted to ensure that the design and development outputs meet the input requirements;
d) validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;
e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities;
f) documented information of these activities is retained.

8.3.5. Design and Development Outputs

The University shall ensure that design and development outputs:
a) meet the input requirements;
b) are adequate for the subsequent processes for the provision of products and services;
c) include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria;
d) specify the characteristics of the products and services that are essential for their intended purpose
e) and their safe and proper provision.

The University shall retain documented information on design and development outputs.

8.3.6. Design and Development Changes

The University shall identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements.

The University shall retain documented information on:
a) design and development changes;
b) the results of reviews;

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c) the authorization of the changes;

d) the actions taken to prevent adverse impacts.

8.4.   Provision on Externally Provided Products and Services

The NEUST ensures that purchased supplies, materials, and equipment conform to specified legal requirements. The type and extent of control applied to the supplier and the purchased supplies, materials and equipment is dependent on the effect on subsequent service or the final service.

The NEUST evaluates and selects suppliers based on their ability to supply supplies, materials and equipment in accordance with the University's requirements. Criteria for selection, evaluation, and re-evaluation are established.

Purchases are made following the R.A. 9184 and legal policies and procedures as applied to government institutions.

8.5.   Products and Services Provision

8.5.1.   Control of Provision of Services

To control its provision of products and services, NEUST shall consider, as applicable, the following:

a) the availability of documents or records that define the characteristics of the services as well as the results to be achieved;

b) the availability and use of suitable monitoring and measuring resources;

c) the implementation of monitoring and measurement activities;

d) the use of suitable infrastructure and environment;

e) the appointment of competent persons, including any required qualifications;

f) the implementation of actions to prevent human error;

g) the implementation of release, delivery and post-delivery activities.

8.5.2.   Identification and Traceability

Where appropriate, NEUST identifies its service or other critical process outputs by suitable means. Such identification includes the status of the service with respect to monitoring and measurement requirements. Unless otherwise indicated as non-conforming, pending inspection or disposition, or some other similar identifier, all service shall be considered conforming and suitable for use.

If unique traceability is required by contract, regulatory, or other established requirement, NEUST controls and records the unique identification of the service.

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8.5.3. Property Belonging to Third Parties

NEUST exercises care with student or supplier property, such as but not limited to student records, transcript of records, diplomas, and vehicle, while it is under the organization's control or being used by the organization. Upon receipt, such property is identified, verified, protected and safeguarded.

If any such property is lost, damaged or otherwise found to be unsuitable for use, this is reported to the student or supplier.

8.5.4. Preservation

NEUST preserves conformity of product or other process outputs during internal processing and delivery. This preservation includes identification, handling, packaging, storage, and protection of records generated from the services delivered.

8.5.5. Post-Delivery Activities

The University shall meet requirements for post-delivery activities associated with the products and services. The University shall consider:

a) legal requirements of oversight agencies;
b) the potential undesired consequences associated with its products and services;
c) the nature, use and intended lifetime of its products and services;
d) client requirements; and
e) client feedback

8.5.6. Process Change Control

NEUST reviews and controls both planned and unplanned changes to process to the extent necessary to ensure continuing conformity with all requirements.

The University shall retain documented information describing the results of the review of changes, the person(s) authorizing the change, and necessary actions arising from the review.

8.6. Measurement and Release of Services

Acceptance criteria for services are defined in appropriate subordinate documentation. Reviews, inspections and tests are conducted at appropriate stages to verify that the products and service requirements have been met. This is done before products and services are released or delivered.

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8.7. Control of Nonconforming Outputs

The University ensures that services or other process outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.

The University shall take appropriate action based on the nature of the nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services. Possible nonconforming outputs are:

a) error in the computation and encoding grades;
b) error in the information on transcript of records, certificates and diplomas; and
c) failure to meet the requirements of products produced by the University;

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CHAPTER IX
PERFORMANCE EVALUATION

9.1.6. Monitoring, Measurement, Analysis and Evaluation

9.1.1. General

The University shall determine:
 a) what needs to be monitored and measured;
 b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;
 c) when the monitoring and measuring shall be performed;
 d) when the results from monitoring and measurement shall be analyzed and evaluated.

The University shall evaluate the performance and the effectiveness of the quality management system.

The University shall retain appropriate documented information as evidence of the results.

9.1.2. Client Satisfaction

As one of the measurements of the performance of the quality management system, the University monitors information relating to client perception as to whether the organization has met client's requirements. The methods for obtaining and using this information include survey and interview.

Every colleges, departments, and offices within the control of the University shall establish their own methods and tools in measuring their client satisfaction.

The corrective and preventive action system shall be used to develop and implement plans for client satisfaction improvement that address deficiencies identified by these evaluations which assess the effectiveness of the results.

Reference Documents: Procedure in Measuring Student Satisfaction (NEUST-QAO-P001)

Student Satisfaction Survey (NEUST-QAO-F001)

9.1.3. Analysis and Evaluation

Every colleges, department, campuses, and office shall establish method of analyzing and evaluating appropriate data and information arising from monitoring and measurement. Methods to analyze data can include statistical techniques.

The result of the evaluation shall be reported to the prescribed form of the Office of the QMR.

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9.2. Internal Audit

The NEUST conducts semi-annual internal audit to determine whether the management system conforms to legal and regulatory requirements, to the requirements of ISO 9001, and to management system requirements. Audits also seek to ensure that the management system has been effectively implemented and is maintained.

These activities are defined in the document *Procedure on Internal Quality Audit.*

Reference Document: Procedure in Internal Audit (NEUST-IQA-P001)

9.3. Management Review

The top management reviews the management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness. The review includes assessing opportunities for improvement, and the need for changes to the management system, including the *Quality Policy* and quality objectives.

Management review frequency, agenda (inputs), outputs, required members, actions taken and other review requirements

Records from management reviews are maintained.

These activities are defined in the *Procedure of Conducting Management Review*

Reference Document: Procedure in Conducting Management Review (NEUST-QMS-P005)

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CHAPTER X
IMPROVEMENT

10.1. General

The organization shall determine and select opportunities for improvement and implement any necessary actions to meet client requirements and enhance client satisfaction. These shall include:
a) improving products and services to meet requirements as well as to address future needs and
b) expectations;
c) correcting, preventing or reducing undesired effects; and
d) improving the performance and effectiveness of the quality management system.

10.2. Nonconformity and Corrective Action

The NEUST takes corrective action to eliminate the cause of nonconformity in order to prevent *recurrence*. Likewise, the department takes preventive action to eliminate the causes of potential non-conformities in order to prevent their *occurrence*.

These activities are done through the use of the formal Corrective Action Report (CAR) form system.

The possible sources of non-conformances are failure to:

1. understand clearly the context of the university (clause 4.1);
2. conduct an internal audit (clause 9.3);
3. conduct management review (clause 9.4); and
4. plan and implement corrective actions (clause 10.2).

Reference Document: Procedure in Preparation of Corrective Action Report (NEUST-QMS-P002), Corrective Action Report (NEUST-QMS-F009)

10.3. Continual Improvement

The organization shall continually improve the suitability, adequacy and effectiveness of the quality management system.

The organization shall consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.