



AUDIT REPORT

Client ID No/ 5279	Date of Audit: September 13, 2018	Total Pages:
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Pre-Audit Stage 1 Audit Stage 2 Audit Surveillance Audit Re-Assessment Audit Transition
 Special / Extension Follow-Up Unannounced

Organization Name & Address: MINDORO STATE COLLEGE OF AGRICULTURE AND TECHNOLOGY Alcate, Victoria, Mindoro Oriental	Audit Location (if different) of site visit, including dates of audit at the sites
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Standard(s) to be covered by certification:

ISO 9001 ISO 14001 OHSAS 18001 ISO 45001 ISO 27001 ISO 22000 ISO 50001
 ISO 55001 HACCP Others, please specify:

Recommended Scope: (Attach extra page if necessary)
Provision of secondary, tertiary, and graduate education.

Exclusion/s, if any (Identify the exclusion/s and justification)
No exclusion was specified in the quality manual

Functional Areas or Processes Audited: (please enumerate):

- 1) Context of the organization; internal and external issues; needs and expectations of interested parties and actions to address risks and opportunities;
- 2) Graduate programs
- 3) Competence awareness
- 4) Customer satisfaction and feedback handling
- 5) Leadership & commitment
- 6) Management review, Use of CIP Mark, Verification of EOD-02-ST2

Use of Certification Mark acceptable **Y** **N** If "No" Raise Action Request RP2

Are there any changes since the last audit **Y** **N** If Yes, please indicate change and give brief description:

Company name main/site address(s) scope number of employees
 OHSMS reportable serious incident or breach of regulation

1. Audit Conclusions

Lead Auditor recommendation	QMS	EMS	OH&S	FSMS	ISMS	EnMS	AMS	HACCP
Certification recommended, subject to implementation of action plan related to AR's raised (within 30 days)	X							
Certification not recommended								
Certification continuation								
Certification discontinuation/suspension/withdrawal								
Certification renewal								
Certification renewal subject to implementation of action plan related to AR's raised (within 1 month of certification expiry)								

* I confirm that the effectiveness of the organisation's OH&SMS and that I have provided a summary of evidence of the capability of the OH&SMS to meet its compliance obligations



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2.Executive Summary to Client:		Action Requests raised	
<p>An acceptable level of compliance to the requirements of the ISO 9001:2015 version was verified based on the documentary evidences provided, however, there are weak areas in which lapses to a specific requirement had been identified and need to be address by a corrective action report particularly in the context of the organization and competence, purchasing, documented information and internal audit process.</p> <p>Previous non-conformities EOD-01 EOD-02-ST2, TEAM-01-ST2 item c, f, g & h were verified as being effectively implemented and was now closed, while AGB-01-ST2 was closed but another NC was raised- SMG-02-S1+TA and TEAM-01-ST2 item b remains open.</p>		# Major	# Minor
		0	6
		Initial date AR response due:	
		October 27, 2018	
This Report consists of this document (RP1) <input checked="" type="checkbox"/> , attachments (RP1-1) <input checked="" type="checkbox"/> and action requests (RP2) <input checked="" type="checkbox"/> as indicated			
<u>OH&S Management System audits only.</u>			
<ul style="list-style-type: none"> • In case of OHSMS, have all activities, products and services within the organisation's control or influence that can impact the organisation's OHSMS performance been included in the management system? <input type="checkbox"/> yes <input type="checkbox"/> no • Is a Special Audit recommended following an OHSMS reportable serious incident or breach of regulation? <input type="checkbox"/> yes <input type="checkbox"/> no; State justification: • Has there been a closure of facilities/work areas since the last audit? <input type="checkbox"/> yes <input type="checkbox"/> no If Yes, confirm that new risks have been identified and handled in compliance with requirement. Provide evidence. • Are there any areas of concern (i.e. for OHSMS a serious accident or incident or breach of OHS regulation necessitating the involvement of the competent authority) that could be classified as a nonconformity during stage 2 or would affect the transfer of certification? <input type="checkbox"/> yes <input type="checkbox"/> no If yes, please specify: • Are there any relevant regulatory requirements that have been identified as a non-conformance and needed to be communicated to the organisation? <input type="checkbox"/> yes <input type="checkbox"/> no Please provide details. 			
Lead Auditor		Company Representative	
 Name/ Signed: JUSTO R. BATOON, JR. Date: September 21, 2018		 Name/ Signed: CHRISTIAN ANTHONY AGUTAYA Date: 09/21/2018	
Audit Team Members: Lead Auditor	JUSTO R. BATOON, JR.		
Auditor 1	ROSE SHIELA M. GATCHALIAN		
Auditor 2	---		
Auditor 3	---		
Auditor 4/Technical Advisor	---		



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<p>3. Audit Summary</p> <p>What to report on within this section:</p> <p>Stage 1</p> <p>(a) Comment on compliance of management system documentation (b) Level of preparedness (c) Identification of sites whether they are to appear on certificates or just support the main site and if they are considered key sites (attach list if possible)</p> <p>All Audits.</p> <p>(a) Confirm Audit Plan was covered or provide details if not. (b) Comment on the organization's current activities related to the scope (existing business, new business etc.). (c) Comment on level of compliance with the relevant standard(s), (d) Comment on effectiveness of links between standards, organization's policy, objectives and targets, legal requirements, responsibilities, personnel competence, operations, procedures, performance data and internal findings and conclusions as appropriate (e) Key positive comments</p> <p>a) All areas were fully covered base on the audit plan. b) The current activities of the organization were consistent with the scope which is "provision of secondary, tertiary and graduate education". c) An acceptable level of compliance was evident and demonstrated by the management and staff through the documented information provided. d) Effectiveness of linkage between the requirements of the standard were demonstrated in the established quality policy and objectives, compliance to legal requirements, performance data e) Management and staff showed their commitment in the effective implementation of the organization's quality management system</p>		
<p>4. Management system status and performance/Meeting requirements</p> <p>What to report on within this section:</p> <p>Stage 1.</p> <p>a) Comment on level of development or maturity of the management system in supporting the organization's strategic goals and whether key processes, aspects and objectives have been identified with relevant supporting plans. Briefly list the key documents and records seen. b) Comment on whether sector specific or customer specific legislation has been identified and briefly list the key documents and records seen</p> <p>All other Audits.</p> <p>a) Report on performance monitoring, examples of objectives seen, results and achievements of targets, improvement and resource audit trails followed along with evidence. b) Report on whether the management system is effective in (a) meeting any specific organizations' or clients' requirements, (b) legal compliance (consider laws, regulations, national standards etc. where applicable and (c) establishing operational control. Detail the audit trails followed, along with evidence c) Unresolved issues, if any (these can include disagreement between auditor/audit team and auditee on audit findings. Consider also actions required for potential non-conformities reported in previous audits and other issues that can significantly impact the management system and the organization). d) Results of the verification of corrective actions regarding previously reported non-conformities, if applicable.</p> <p>a) Objectives and targets were established using the Balance Scorecard. Monthly monitoring and measurement of accomplishments were being reported and the organization had demonstrated its ability to achieved planned results. Some of which were as follows; i. To prepare long range plans for the improvement of graduate programs of the college ii. To supervise classes in the graduate school and make recommendations for the improvement of instructions iii. To monitor and evaluate the teaching learning program and resources.</p>		

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<p>b) The QMS were verified as being effective in meeting the interested parties' expectations as results of satisfaction survey showed that all areas of services achieved a very satisfactory rating.</p> <p>c) Previous NC AGB-01 St2 still can not be closed, thus a new NC was raised in SMG-02-S1+TA</p> <p>d) Verification of previous nonconformities showed effective implementation of corrective actions were evident and demonstrated on the following; EOD-01-ST2; EOD-02-ST2; TEAM-01-ST2 items c, f, g & h,</p>			
<p>6. Internal auditing, management leadership and management review, risk and customer requirements</p> <p>What to report on within this section:</p> <p>Stage 1. Report on whether internal audits and management review are being planned and performed. Briefly list the key documents and records seen (Note: If internal audits and management reviews have not yet been conducted at the time of Stage 1, at least these are already adequately planned for effective performance)</p> <p>All other audits. Report on the status and effectiveness of internal auditing, and actions to address risk and opportunities and additionally, customer complaints and management review. Detail the audit trails followed along with evidence, including dates of records seen.</p>			
<p>The organization had conducted an internal audit last September 04, 2018 however there was issue on adequacy of the audit wherein the internal audit process was not covered by the audit which resulted to a non-conformity being raised on clause 9.2.</p> <p>Management review were being planned and conducted once a year, while monthly meetings were being conducted as well. The minutes of meeting of the management review last May 15, 2018 provide evidence that the required review inputs were discussed. However, improvement can be made on the retained documented information to evidence the ac</p>			
<p>Note:</p> <ol style="list-style-type: none"> (1) Audit is based on a limited sample and other nonconformities may exist. (2) This report and its contents should be treated as confidential except with the prior agreement of the Company (3) Signing this report indicates acknowledgement of receipt of any related action requests. (4) For Stage 2 and Re-certification Audits all action requests must be closed and implemented prior to certification. Additional sites should be listed on continuation pages if necessary. 			