



**SOCOTEC**  
CERTIFICATION  
INTERNATIONAL

## AUDIT REPORT

Client ID No/ 5279	Date of Audit: January 09, 2017	Total Pages: 3
<input type="checkbox"/> Pre-Audit <input type="checkbox"/> Stage 1 Audit <input checked="" type="checkbox"/> Stage 2 Audit <input type="checkbox"/> Surveillance Audit		
<input type="checkbox"/> Re-Assessment Audit <input type="checkbox"/> Special / Extension <input type="checkbox"/> Transition Audit		
Organization Name & Address:	Audit Location (if different) site visit: MinSCAT Calapan City Campus	
MINDORO STATE COLLEGE OF AGRICULTURE & TECHNOLOGY Main Campus - Alcalte, Victoria, Oriental Mindoro	Standard(s): a) ISO 9001:2008	
Recommended Scope: (Attach extra page if necessary)  Provision of secondary, tertiary level education and graduate studies		
Use of Certification Mark acceptable    Y <input type="checkbox"/> N <input checked="" type="checkbox"/> If "No" Raise Action Request RP2		
Are there any changes since the last audit Y <input type="checkbox"/> N <input checked="" type="checkbox"/> If Yes please indicate change:		
Company name <input type="checkbox"/> main/site address(s) <input type="checkbox"/> scope <input type="checkbox"/> number of employees <input type="checkbox"/>		
1. Auditors Recommendation of clients Certification: *		
Recommended for Stage 2 audit		
2. Executive Summary to Client: The organization had not adequately address the requirements of the ISO 9001:2008 on the establishment of the six mandatory procedures. Objectives and targets although these were defined in several areas mostly focuses on customer satisfaction, objectives in relation to the process itself and on the function of department were not clearly defined and established in its core processes and can be seen as a weak points in the existing QMS. Competency requirements of personnel affecting quality were not defined at the time of audit.  Other areas were seen to be compliant on the requirements of the standard, although individual reports (RP1-1) from auditors will detailed several potential non conformities; observations and opportunity for improvements.	Action Requests raised	
	# Major	# Minor
	0	3
	Initial date AR response due:	
This Report consists of this document (RP1) <input type="checkbox"/> attachments (RP1-1) <input checked="" type="checkbox"/> and action requests (RP2) <input checked="" type="checkbox"/> As indicated		
Lead Auditor  Name/ Signed: JUSTO R. BATOON, JR. Date: January 09, 2016	Company Representative  Name/ Signed: DR. CHRISTIAN ANTHONY C. AGUTAYA Date:	

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Audit Team Members: Lead Auditor	JUSTO R. BATOON, JR.	
Auditor 1	ARNEL D. GUEVARA	
Auditor 2	ERNESTO O. DELA CRUZ	
Auditor 3		
Auditor 4/Technical Advisor		

### 3. Audit Summary

What to report on within this section:

All Audits. (a) Confirm Audit Plan was covered or provide details if not. (b) Comment on the organisations current activities related to the scope (existing business, new business etc ). Comment on (c) Level of compliance with the relevant standard(s), (d) 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

Stage 1 (c) Comment on compliance of management system documentation (d) Level of preparedness (e) 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)

- a) All areas were covered based on the audit plan
- b) Graduate studies were included in the organization's current activities and should be specified in the scope.
- c) Although available, the QMS documentation were not adequate in addressing the requirements of the standard, the mandatory procedures in particular, please see attached RP2 Action Request Report.
- d) The level of preparedness can be improved by addressing the non conformities and potential non conformities in preparation for the Stage 2 audit.
- e) The sites that will be covered were as follows
  - Main Campus - Alcalte, Victoria, Oriental Mindoro
  - Calapan City Campus, Masipit, Calapan City Oriental Mindoro
  - Bongabong Campus, Labasan, Bongabong

### 4. Management system status and performance

What to report on within this section:

Stage 1. Comment on maturity of management system and whether key processes, aspects and objectives have been identified with associated plans available, briefly list the key documents and records seen

All other Audits. Report on performance monitoring, examples of objectives seen, results and achievements of targets, improvement and resource audit trails followed along with evidence

The implementation of QMS formally started during the last quarter of 2016. Key processes or the business processes were not adequately identified and described in the quality manual. Objectives and targets were seen to be established and defined within the different finctions and levels in the organization except on the Purchasing process and on the Art and Sciences Department (please refer to RP2)

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### 5. Meeting requirements

What to report on within this section:

Stage 1. Comment on whether sector specific or customer specific legislation has been identified and briefly list the key documents and records seen

All other audits. Report on whether the management system is effective in (a) meeting any specific organisations' 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

The Mindoro State College of Agriculture and Technology was accredited by the Civil Service Commission while the academic programs were accredited by the Association of Chartered Colleges and Universities of the Philippines in accordance with the established requirements.

Customer requirements as to the services being provided were being surveyed and results were being discussed during the management review. Survey questionnaires and satisfaction reports were presented during the audit.

### 6. Internal auditing, management leadership and management review, risk and customer requirements

What to report on within this section:

Stage 1. Report on (a) Whether internal audits and management review are being planned and performed. Briefly list the key documents and records seen

All other audits. Report on the status and effectiveness of internal auditing, and actions to address risk and opportunities additionally, customer complaints and management review; including dates of records seen. Detail the audit trails followed along with evidence

The first management review was conducted last December 05, 2016. The minutes of meeting includes inputs and actions needed to address the decisions by top management, the conclusions, however were not included at the end review on whether the QMS were effectively, adequately implemented and is suitable for the purpose of the organization.

Internal audits were conducted as planned and the latest activity had no reported non conformities based on the reports generated

**Note:**

- (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.

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