



18 March 2022

MEMORANDUM CIRCULAR NO. 38
Series of 2022

T O: All Concerned Auditees/Process Owners
R E: VSU Second Surveillance Audit (SSA) Report

This is to inform everyone that VSU passed the second surveillance audit (SSA) conducted on March 15, 2022 by Mr. Fronie Aligway and his team from TUV Rheinland. With this, I commend everyone's effort in the preparation of required documents for the SSA and most of all for following our established quality procedures.

Please find attached the audit report. Though we have a long list of positive observations, we also obtained 12 opportunities for improvement (OFIs) in the areas stated below:

1. Internal Quality Audit
2. Human Resource Development and Management
3. Risks and Opportunities and Management
4. Facilities Management/General Services
5. Medical Services
6. Instrumentation /Calibration
7. Planning and Development and Resource eneration
8. Management Review
9. Curriculum Design, Development, Review and Evaluation for Tertiary Program and Graduate Program
10. Classroom Observation
11. Research & Innovation
12. Guidance and Testing Services

Furthermore, we obtained one minor NC for clause 7.1.5.2 specifically on measurement and calibration of instrument. Let's not be discouraged by the findings given by the external evaluators, instead let's make this as a motivation for the continual improvement of our QMS.

What we can do right now is to address these findings so that our ISO certification during the 3rd surveillance audit come February 20, 2023 will not be affected. The ODQA through the QMR and the Lead Auditor will issue the General Observation and Opportunities for Improvement (GOOI) List (FM-QAC-22) to the auditee/s of the concerned office where these findings were observed. For auditee/auditees issued with a minor nonconformity report, we advise the unit/office to fill-up Doc. No. MS-0015341 of TUV Rheinland (*please see attachment*).

For reference on how to address the findings during the SSA, the procedure is still the same for internal audit as indicated in the Procedure for Corrective Actions. A quick guide on how to file and implement the actions of these findings will be provided to the process owner.

Please take a few minutes by completing the survey form of TUV Rheinland. This is also vital for the company to continuously improve its services. Kindly fill out the attached survey form and send it to tristan.loveres@tuv.com.

Again, Congratulations and together we will exert more effort to further improve our QMS.


EDGARDO E. TULIN
President

Initial Audit Summary Report

Company Name : **Visayas State University**

Address : Visca, Baybay City, Leyte 6521 Philippines

Attention : Dr. Edgardo E. Tulin, University President
Ms. Aleli A. Villocino, QMR

Audit Team : Fronie Aligway, Maribeth Lucañas, Rolando Remitar & Marthina Ramos – monitoring auditor

Standard / Audit Type : ISO 9001:2015 / 2nd Surveillance Audit – Remote

Audit Date : 15 March 2022

Audited Sites/Scope : Same as address above/
Provision of Higher and Advanced Educational Services including Research and Extension

In the audit, the actual process flow of sample operations was examined in individual areas of the company. In doing so, the auditors reviewed the conformity of the process flows with the requirements of the standard and the descriptions in the management documentation. This audit was performed on the basis of random samples, including interviews and examination of the appropriate documents.

All information gained during the audit will be treated with strict confidentiality by the audit team and the certification body. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

1. Positive Observation

No.	Unit/ Department Site	Positive findings
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1	Awards and Recognition	<p>The following awards and recognitions for year 2021 are commendable:</p> <ul style="list-style-type: none"> • Institutional <ul style="list-style-type: none"> ▫ Top 1 Performing SUC with the Highest Number of Level IV Accredited Programs in 2021 (29 programs) ▫ 4 Stars in the Regional Rating System for ASEAN universities under the research-oriented university category of the University Performance Metrics (UPM) ▫ 3 Stars received from Quacquarelli Symonds (QS), a British company specializing in analyzing higher education institutions worldwide ▫ Visayas Consortium for Agriculture, Aquatic, and Natural Resources Program (ViCARP) was selected as the 2020 Ugnay Award 1st Runner-Up, being the country's second-best managed research consortium for years ▫ "VSU's COVID 19 Responsive Research and Development" was recognized as Finalist for the Gawad Edukampyon for Responsive Research and Development Category ▫ VSU is ranked 12 in Engineering, Rank 12 in Science and Rank 15 in Health for the IRIS Ranking of Top Philippine Universities in Research Productivity ▫ VSU climbed up to 15th in the List of Philippine university rankings as published by AD Scientific Index 2022 ▫ VSU climbed to 17th spot, a new all-time high in Webometrics ranking, January 2022 ▫ VSU as 14th top university in the Philippines by UniRank ▫ VSU is ranked 25 in the Best University in the Philippines EduRank in terms of overall social media performance ▫ VSU was also the 2nd Top Performing School in the Licensure for Geodetic Engineers last Dec. 2021 • Individual <ul style="list-style-type: none"> ▫ The VSU Pandemic Movers composed of Dr. Santiago T. Peña Jr., Prof. Manolo B. Loreto, Jr, Dr. Elwin Jay V. Yu, Dr. Rosario A. Salas, Mr. Jed Asaph D. Cortes was selected as 2021 PAG-ASA Regional Awardee Group Category of CSC Honors and Awards Program (HAP) ▫ Dr. Victor B. Asio, Professor VI, is the 2nd top-cited scientist in VSU by Alper-Dodger (AD) Scientific Index ▫ Mr. Brandon Briggs Silvano, Ms. Mary Ann B. Madeja and Mr. Jet Lee Olimberio of VSU Tolosa composed the winning team for the Best Research Proposal Pitch Competition of the Philippine Genome Center (PGC) Visayas last Nov. 25, 2021 who delivered their research paper on 'VisChitosan', which is a word they coined to describe their team of #ProudViscans who are exploring the many potentials of a sugar substance called chitosan ▫ Dr. Janet Alexis A. De Los Santos, an Associate Professor of VSU College of Nursing (CON), was recognized as 2nd Placer in the regional search for Distinguished Health Researchers in Region 8
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		<ul style="list-style-type: none"> ▫ VSU researchers led by VSU Vice President for Administration and Finance Dr. Daniel Leslie S. Tan with Engr. Mark Anthony R. Atanacio and Mr. Benjamin L. Cinto, Jr. took home the Unlad Award (Outstanding Utility Model for Portable Vacuum Fryer) in the Regional Invention Contest and Exhibit (RICE) 2021 ▫ Mr. Nelson H. Tejera, a resident data analyst and instructor of VSUIHS, was named as one of the top performing scholars of an extensive training program on data science called the Smart Philippines through Data Analytics Research and Development Training and Adoption (SPARTA) ▫ Dr. Ulderico B. Alviola, the Head of the University Integrated Media Center (UIMC), was elected as National President of the Association of Development Communication Educators and Practitioners (ADCEP) Philippines ▫ Dr. Manuel D. Gacutan, Jr., has been granted a seat in the national governing council of the Philippine Society of Animal Science (PSAS). He was also selected as the Best Presenter Award in the annual scientific convention of the said organization last Oct. 20-21, 2021 ▫ VSU researchers Catherine C. Arradaza, Rafonselle M. Moreno, Nylanie H. Cachuela, Junalice Managbanag, Glen Perales were awarded the Outstanding RDE paper (Research Project Category) during the 33rd Joint ViCARP & RRDEN Regional RDEI Symposium on November 17-18, 2021 ▫ VSU researchers Marlon M. Tambis, Dioscoro M. Bolatete, Mickaela M. Gongora, and Marife C. Suaybaguio were awarded the Outstanding RDE Paper (Extension Project Category) during the 33rd Joint ViCARP & RRDEN Regional RDEI Symposium on November 17-18, 2021 ▫ VSU researchers Jose L. Bacusmo, Ma. Juliet C. Ceniza, Jerry Vestra, Romnic Cabelin, and Jimboy Gonzaga were awarded the Outstanding RDE Paper (Development Project Category) during the 33rd Joint ViCARP & RRDEN Regional RDEI Symposium on November 17-18, 2021 ▫ 2021 List of Recipients for University Awards <ul style="list-style-type: none"> ▫ Sandigan Award – VSU Alumni Association, Inc. ▫ Outstanding Teacher Award – Dr. Guiraldo C. Fernandez, Jr. (DLABS) ▫ Best Administrative Support Staff – Ms. Maria Elsa M. Umpad (PRCRTC) ▫ Best Clerk Award – Ms. Dahlia R. Arpoceple (Cash Division) ▫ Model Utility Worker/Messenger Award – Mr. Romulo E. Morales (HIS) ▫ Mt. Pangasugan Awardees – 26 faculty and staff ▫ Service Awardees – 12 faculty and staff
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2	Student Recognition	<p>The following student recognitions are commendable:</p> <ul style="list-style-type: none"> • Engr. Mark Anthony S. Arcayan, Top 1 on Mechanical Engineering Board Exam. Engr. Arcayan did not only ace the February 2022 Mechanical Engineering Licensure Examination (MELE) but more than that, he also broke records (96.6%) by obtaining the highest rating in the history of this board examination. • Ms. Ella Hazel Barbarona Estrada tops the 2021 Licensure Examination for Agriculturists (LEA) with Mr. John Carlso Dagaang Boyles and Kathleen Mae Anino Auxtero as 2nd and 7th placer respectively • Engr. Jeith Pons S. Tutor, bagged the 4th place during the Geodetic Engineering Licensure Examination with VSU's Institutional Passing Rate of 92.86% • Ms. Sofia Beatriz L. Punzalan, a Grade 12-STEM student from the VSU Integrated High School (VSUIHS), landed the 3rd spot for the Outstanding Student Creative Research category in the recently concluded Regional Invention Contest and Exhibits (RICE) • Mr. John Paul C. Corton, a Development Communication (Devcom) graduating student, qualifies as an official contender of the first ever Cinelskool Film Laboratory and Festival • Ms. Jinky Briones of VSU Tolosa, winner in the 9th edition of the National Fisheries Scientific Conference Forum, Spotlight Presentation Contest • Mr. Nathaniel C. Noya, 1st Place-College Category, and Mr. Niño John Victor, 1st Place-High School Category, of the Visayas Economics Conference Essay Writing Contest
3	Notable Alumni and Retired Professors	<p>Dr. Evelyn Bernal-Aguirre, a BS Agricultural Development Education major in Dev. Communication graduate in 1980, was appointed as President of Leyte Normal University, Tacloban City</p> <p>Dr. Dennis C. De Paz, a BS Stat graduate in 1993, as 4th President of Eastern Visayas State University, Tacloban City</p> <p>Dr. Monina M. Escalada, University Professor Emeritus, was the Top cited Scientist in VSU by the Alper-Dodger (AD) Scientific Index</p> <p>VSU alumnus, Dr. Caesar Joventino M. Tado (BSAE Class of 1983, Freshman '78), has been appointed as a new member of the Professional Regulatory Board of Agricultural and Biosystems Engineering of PRC. He is currently the station director of PhilRice-Agusan</p> <p>Atty. Nilo G. Ahat of Bohol and Atty. Hermes Ariño of Negros Occidental (VSU alumni) as full-fledged Provincial Prosecutors</p> <p>VSU's multi-awarded alumna and entrepreneur, Ms. Cherrie Atilano was re-appointed as the Philippine Ambassadors to the UN on Food Security</p>

4	Human Resource	<p>The following HR best practices are noteworthy;</p> <ul style="list-style-type: none"> • Competency-based recruitment, selection and placement of faculty and staff. • Grant of Step increment base on meritorious performance (two steps salary increase) to top 5% of VSU employees every year. • Grant of sabbatical leave with full pay to qualified faculty under the Rest and Renewal option wherein faculty are allowed to rest from work for one year. • Mental Health Program of VSU was approved last 24 January 2022 per BOR Res. No. 94 s. 2021. • ICT use in HR Management such as the RSP modules, e-Daily Attendance Tracking System (eDATS), Personal Data Sheet, Payroll
5	Research Strategies and Capabilities	<p>The following number of Technologies registered/filled for IP Protection For CY 2021 are noteworthy;</p> <ul style="list-style-type: none"> • Registered IPs – 24 • New IP Filings – 16 • New Technologies Commercialized – 10 • Updated Citations – 34 • Published Outputs – 89 • Externally- funded Research Projects – 23
6	Monitoring of research and Extension Programs	<p>The following research and extension programs presented from August 31 to September 3, 2021 are commendable;</p> <ul style="list-style-type: none"> • 42 number of projects presented and evaluated • 62 number of extension projects presented and evaluated <p>Project/Programs Highlights of Research Centers:</p> <ul style="list-style-type: none"> • Fabrication of makapuno shredder, mechanical coconut dehusker and cocomilk extractor • “Inosa” accession inoculated for mass propagation • Physico-chemical analysis and tensile strength studies of abaca fibers • Development of springless pressure mechanism for abaca power stripper • Development of drum type rapid composter • Submitted documents to VSU TESDA-TVET office for the EcoFARMI demonstration farms application as an Assessment Center of the NC programs • Expanded research area coverage of the study on “Adaptation Capacity to Climate Change of Vulnerable Communities in Eastern Visayas” inclusion of Biliran Province • On-going research on Bioenergy Generation: Biodiesel Production from Chicken Fat and Solar-based Evaporative Cooling System • On-going research on Hydraulic Ram Pump Development

7	Extension and Linkages	<p>The following major extension projects are notable;</p> <ul style="list-style-type: none"> • Showcasing profitable and sustainable coconut-based technologies to support promotion & its dissemination through techno Demo <ul style="list-style-type: none"> ▫ Conducted training assessment need (DSWD 4Ps) ▫ Conducted skills training to 22 MSMEs in collaboration with DTI on June 18, 2021 ▫ Presented to Baybay City Advisory Committee for partnership on 4Ps Sustainability Plan for the 69 graduates of the program ▫ Disposed 441 seedlings and 680 seed nuts to interested farmers in Region VII and Region VIII ▫ Disposed/sold 234 makapuno seedlings to 17 technology adopters in Leyte (154), Southern Leyte (11), Cebu City (15), Cavite (6), Surigao City (2), and Tagkawayan Quezon (46) ▫ Provided technical assistance to 30 coconut farmers in Eastern Visayas in terms of coconut production and management • Strengthening the Sweet potato Value Chain in Baybay from production, product development until market matching <ul style="list-style-type: none"> ▫ 70 root crop farmers received free planting materials from VSU to strengthen the local root crop industry in the marginal uplands of Baybay City. ▫ No. of Training/ Seminar/ workshop/ conference/ Activities – 15 ▫ No. of persons trained – 364 • Climate-Smart Agroforestry Farming Demo Training Facility (Climate-Smart AF) <ul style="list-style-type: none"> ▫ Enhancement of vegetative and mechanical structures <ul style="list-style-type: none"> ▪ Planting lay-out & maintenance ▪ S&W conservation measures ▪ Adoption of mushroom production & training facility <p>The following major extension programs are also notable:</p> <ul style="list-style-type: none"> • Mango Fiesta 2021 • Farmers and Fisherfolks Day 2021 • 33rd Joint ViCARP-RRDEN Regional RDE Symposium dated November 17~18, 2021 via zoom platform • Awarding of 2021 Outstanding Ugmad
8	Student Placement Support	<p>The following grants of VSU Graduate Study Scholarship Programs are commendable;</p> <ul style="list-style-type: none"> • 92 DOST Scholars • 10 Gradschool Honor Scholars • 8 Graduate Teaching Assistants • 2 Foreign Fellowship Grants • 1 Foreign Graduate Teaching Assistant

9	Facilities Improvement	The following major infrastructure projects for year 2021 are praiseworthy; <ul style="list-style-type: none"> Fully constructed and inaugurated VSU Advanced Research and Innovation Center Completion of the Animal Health Laboratory Building and Crop Science Laboratory (VSU Villaba) Provision for Access and Safety Facilities to PWDs in the New Library Rehabilitation and Expansion of NARC Tissue Culture Laboratory Rehabilitation of the University Student Services Offices Construction of the New VSU Gate
10	Certificate of Program Compliance	A total of 18 programs issued with Certificate of Program Compliance for year 2021 is noteworthy.
11	Finance Services	The initiative to store Finance (Accounting, Budget & Cash Division) documents at Google drive is commendable.

2. Opportunities for improvement

The following recommendations and opportunities for improvement provided by the auditors are intended to contribute to the continuous improvement of the management system.

No.	Unit/ Department Site	Recommendations and opportunities for improvement
1	Internal Quality Audit	<p>Consider including in the appointment of designated internal auditor the ISO 19011:2018 as reference standard for conducting management system audit.</p> <p>Ensure to have an independent auditor auditing internal quality audit process (for the 3rd IQA, assigned internal quality auditor was also assigned with more than 2 or more processes).</p> <p>May further improve the usage of audit checklist aside from ticking the conformance; include also those evidences sampled during the conduct of internal quality audit.</p>
2	Human Resource Development and Management	There is a need to add verification info (actual date of verification & remarks) for those action plan that lapse the planned timeframe (e.g. for ODHRM-22-APR5 action plan timeframe was January 2022) at the programme/action plan of OTP.
3	Risks and Opportunities Management	Consider integrating the current process action's verification of effectiveness of the identified risks and opportunities to the Risk Assessment Guideline/Procedure.
4	Facilities Management/ General Services	<p>Need to review actual and set targets / objectives for preventive maintenance and corrective action for facilities, vehicle and equipment as appropriate. Currently, output maintenance established are 50% and 40% consecutively.</p> <p>Likewise, may consider the timeliness of every job request accomplishment.</p> <p>In the Daily inspection checklist for vehicle / facilities inspection, review the status of "no good" to "not applicable" to avoid conflicted remarks.</p> <p>Ensure order and availability of documented information and records.</p>

5	Medical Services	Review measurable targets relevant to quality and effectiveness of medical services and systems to protect students and employees of VSU e.g reduction of major illness, health activity programs.
6	Instrumentation / Calibration	Ensure to monitor all equipment's in a regular and a timely manner.
7	Planning and Development and Resource Generation	May review metrics for the assessment of effectiveness for the Action Plans; Achievement of OTP Targets. Currently, it is align to the risk metrics.
8	Management Review	The following may be included in the minutes of the management review: <ul style="list-style-type: none"> Effectiveness of actions on risks and opportunities The direction or action on the target not met in the MFO (Major Final Output) such enrolment, performance of the board exams and etc Evaluation on the effectiveness, suitability and adequacy of the quality management system
9	Curriculum Design, Development, Review and Evaluation for Tertiary Program and Graduate Program	May consider the following: <ul style="list-style-type: none"> Formulation of institutional outcomes which can be aligned/mapped with program and course outcomes for better integration in the delivery of curriculum Revisit the curriculum design and development procedure which can be aligned with review, verification and validation stages Use of Corrective Action Report in below National Performance in Board Exams or any targets Performance assessment as a summative/anchor assessment in determining the realization of the course outcomes Check the data of the item analysis with negative discrimination index but the items will be retained Revision of classroom observation checklist to cover items on virtual instruction.
10	Classroom Observation	The following may be improved: <ul style="list-style-type: none"> Art of questioning of the professors to entice critical thinking of the students More explanations on the topic and not only reading the texts of the presentation Virtual blackboards in showing solutions since the solutions cannot be seen in the presentation especially if the student is using a cell phone Generalizations of the topics at the end of the lecture to emphasize the enduring and essential understanding of the topics Validity of the activities in enhancing the laboratory skills in a virtual setting.
11	Research	IP Protections may be considered as one of the objectives as to maintain the good performance of the department.

12	Guidance and Testing Services	<p>May ensure the following:</p> <ul style="list-style-type: none"> Conduct of psychological testing since this was not conducted since last year or avail online testing for the desired tool. Update the ROA for any issues, risks or deviations encountered in the process such as no psychological testing Needs assessment for the higher year level and not only for the first year students Exit interview to be conducted with the students to gather feedback of the educational process Career program in the 2nd year to guide the students for the right course which is the basis for adhering to the course or shifting to other courses Identification of students who are at risks who need intervention programs
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3. Nonconformity

No.	Clause # / Discussed with	Description / Statement of the Nonconformity.
1	Clause 7.1.5.2	(See separate NCR)

4. Audit Conclusion

<input type="checkbox"/>	The last audit revealed nonconformities which have been demonstrably corrected. The corrections and corrective actions taken in this respect have been verified.				
<input type="checkbox"/>	A stage 1 audit was performed and the organization found ready for certification. Identified weaknesses, if any, have been eliminated and the corrective action associated therewith verified.				
<input checked="" type="checkbox"/>	<p>The current audit revealed the following nonconformities:</p> <table> <tr> <td>Standard(s):</td><td>No. of nonconformities</td></tr> <tr> <td>ISO 9001:2015</td><td>Minor (1) Major (0)</td></tr> </table>	Standard(s):	No. of nonconformities	ISO 9001:2015	Minor (1) Major (0)
Standard(s):	No. of nonconformities				
ISO 9001:2015	Minor (1) Major (0)				
<input type="checkbox"/>	The major nonconformities (No. x) with individual standard elements require a re-audit to verify the effectiveness of the corrections and corrective actions (probable date:ddmmyyyy)				
<input checked="" type="checkbox"/>	The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the standard(s).				

Recommendation

<input type="checkbox"/>	Award of the new certificates.
<input checked="" type="checkbox"/>	Maintenance of the existing certification. (Need to submit first the NCR on or before April 15, 2022)
<input type="checkbox"/>	Inclusion of the changes (see Section 3) in the scope of application of existing certifications
<input type="checkbox"/>	Maintenance or issue of the certificates only after successful completion of a re-audit.

Dates:

Due Date for the next audit

2023 February 20 (+0 day / - 3 mos)

Agreed date for the next audit

2023 January 20

15 March 2022

Date



Fronie Aligway / Maribeth Lucañas, Rolando Remitar & Maria Marthina
Ramos – monitoring auditor

Audit Leader / Auditor(s)

ANNEX (ensure to input all necessary information and records verified and audited)

Item	Audit result
Context of the organization (Quality, Environmental, H&S)	<p>Internal Issues:</p> <ul style="list-style-type: none"> • • <p>External Issues</p> <ul style="list-style-type: none"> • • <p>Interested Parties:</p> <ul style="list-style-type: none"> • • <p>Needs and Expectations</p> <ul style="list-style-type: none"> • • <p>Verified Records or Forms:</p> <ul style="list-style-type: none"> • •
Objectives (Quality, Environmental, H&S)	<p>Quality Objectives:</p> <ul style="list-style-type: none"> • <p>Environmental Objectives and Indicators:</p> <ul style="list-style-type: none"> • • <p>Occupational Health and Safety Objectives and Targets:</p> <ul style="list-style-type: none"> • • <p><i>Based on 1.000.000 hours worked per year is the number of accidents xx,x.</i></p> <p>Verified Records or Forms:</p> <ul style="list-style-type: none"> •
Process control including outsourced processes (Quality)	<p>Key processes within the scope of product realization include:</p> <ul style="list-style-type: none"> • • <p>Outsourced Process:</p> <ul style="list-style-type: none"> • •
Risk-based thinking (Quality, Environmental, H&S)	<p>Risks of processes identified are: (Quality, Environmental, Health and Safety)</p> <ul style="list-style-type: none"> • • • • • <p>Opportunities of processes identified are: (Quality, Environmental, Health and Safety)</p> <ul style="list-style-type: none"> • • • • • <p>Actions taken for identified Risk and Opportunities:</p>

Item	Audit result
	<ul style="list-style-type: none"> • • • • • <p>Verified Record or Forms:</p> <ul style="list-style-type: none"> • •
Customer-related and other requirements (Quality)	<p>The following process requirements significantly affect product or service quality:</p> <ul style="list-style-type: none"> • • <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> • • •
Customer satisfaction and complaints (Quality)	<p>Customer Satisfaction Result: period covered: xxxx to xxxx</p> <ul style="list-style-type: none"> • <p>Customer Feedback / Complaints Result: period covered: xxxx to xxxx</p> <ul style="list-style-type: none"> • <p>Verified Records or Forms:</p> <ul style="list-style-type: none"> •
Internal audit and management review (Quality, Environmental, H&S)	<p>INTERNAL AUDIT:</p> <p>Internal Audit Date:</p> <ul style="list-style-type: none"> • <p>Number of Internal Auditors:</p> <ul style="list-style-type: none"> • <p>Result of Internal Audit:</p> <ul style="list-style-type: none"> • <p>Verified Records or Forms:</p> <ul style="list-style-type: none"> • <p>Management Review Date:</p> <ul style="list-style-type: none"> •
Environmental aspects and Hazard identification (Environmental, H&S)	<p>Environmental Aspects identified:</p> <ul style="list-style-type: none"> • • <p>Key hazards at the site identified:</p> <ul style="list-style-type: none"> • • <p>Review date of the assessment:</p> <ul style="list-style-type: none"> • <p>Verified Procedure, Records and Forms:</p> <ul style="list-style-type: none"> • •
Identification and monitoring of compliance obligations (Environmental, H&S)	<p>Relevant Legal Requirements:</p> <ul style="list-style-type: none"> • •

Item	Audit result
	<p>The following permits and licenses are available at the organization (by site, where appropriate):</p> <ul style="list-style-type: none"> • • <p>Verified Documented Information (Procedure/Form):</p> <ul style="list-style-type: none"> •
<p>Operation and performance evaluation (Environmental, H&S)</p>	<p>Measures at upstream phases of the life cycle (specific purchasing criteria, etc.):</p> <ul style="list-style-type: none"> • • <p>Measures regarding outsourced processes:</p> <ul style="list-style-type: none"> • <p>Environmental criteria regarding the product/service development:</p> <ul style="list-style-type: none"> • <p>Downstream measures regarding the end of the life cycle:</p> <ul style="list-style-type: none"> • <p>Other operational controls identified by the organization:</p> <ul style="list-style-type: none"> •
<p>Incident Investigation (H&S)</p>	<p>Incident Results: (period covered: from XXX to XXXX)</p> <ul style="list-style-type: none"> • <p>Responsibilities and Authorities:</p> <ul style="list-style-type: none"> • <p>Verified Procedure, Records or forms:</p> <ul style="list-style-type: none"> •
<p>Leadership, responsibility and authority Communication, participation and consultation (Environmental, H&S)</p>	<p>This is carried out principally by the following mechanism (i.e. health and safety committee meetings, toolbox meetings, training):</p> <ul style="list-style-type: none"> • • <p>The organization counts with the following structure of worker's representation (if applicable):</p> <ul style="list-style-type: none"> • <p>Representative for EH&S matters:</p> <ul style="list-style-type: none"> • <p>Responsible for monitoring employees' health:</p> <ul style="list-style-type: none"> •
<p>Use of certificate and logo</p>	<p>Samples where logo/certificate is used:</p> <ul style="list-style-type: none"> •

Nonconformity Report No. 1 to 1



Client	Standard(s)	Certification Number(s)	Audit Type
Visayas State University	ISO 9001:2015	01 100 1934891	Second Surveillance Audit – 100% Remote Audit

Client's representative: Dr. Edgardo E. Tulin, University President
Ms. Aleli A. Villocino, QMR

Audit Team Leader: Fronie Aligway

Auditor(s)/Expert: Maribeth Lucañas, Rolando Remitar & Marthina Ramos – Monitoring Auditor

Audit Date: March 15, 2022

March 15, 2022

Date



Fronie Aligway

Audit Team Leader



Dr. Edgardo E. Tulin

Client's representative

The client is required to analyse the root cause of the nonconformities. This results and the correction(s) and corrective action(s) has (have) to be described in the nonconformity report.

Please forward the completed nonconformity report until **15 April 2022** to the audit team leader considering:

- for major nonconformities the actions have to be accomplished and corresponding documents have to be submitted
- **for minor nonconformities as minimum requirement information about planned actions, planned dates of these actions must be submitted**

<input type="checkbox"/>	Minor nonconformities: Plan for correction(s) and corrective action(s) was reviewed and accepted.	<input type="checkbox"/>	Major nonconformities: Correction(s) and corrective action(s) were reviewed, accepted and verified.
<input type="checkbox"/>	Minor nonconformities: Correction(s) and corrective action(s) were reviewed, accepted and verified.	<input type="checkbox"/>	A re-audit was performed.

Date, processing auditor

Nonconformity Report No. 1 to 1

Client	Standard(s)	Certification Number(s)	Audit Type
Visayas State University	ISO 9001:2015	01 100 1934891	Second Surveillance Audit – 100% Remote Audit

No	Standard Clause	NC Type *1	Nonconformity a) Description of nonconformity b) Evidence for nonconformity	Re-audit *2	Root Cause	Actions (incl. evidences) *3 a) Corrections b) Corrective Action	Evidence and decision of review/ verification (by auditor) *4
1	Clause 7.1.5.2	Minor	<p>A) The standard requires; When measurement traceability is a requirement, or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:</p> <p>a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information</p> <p>B) However, evidence of measurement traceability against national & international standards for x-ray and sphygmomanometer in Medical Services used for verification is not evident.</p> <p>Discussed with Process Owner, QMR and University President.</p>	No		<p>a)</p> <p>b)</p>	<p><input type="checkbox"/> Plan accepted OK <input type="checkbox"/> Verification OK</p> <p>Evidences:</p>

Nonconformity Report No. 1 to 1



Client	Standard(s)	Certification Number(s)	Audit Type
Visayas State University	ISO 9001:2015	01 100 1934891	Second Surveillance Audit – 100% Remote Audit

*1) Remarks under NC Type = "Major" or "Minor"

*2) Remarks under re-audit = "Yes" or "No"

*3) in case of minor nonconformities at least please list the planned actions incl. action dates

*4) in case of minor nonconformities and verification during next regular audit only "Plan accepted" is mandatory

Dear Valued Client,

Our goal to be the world's best independent provider of technical services for testing, inspection, certification and training has always inspired us to be at our very best. But your satisfaction has always been our clear and true motivation to continually improve. Your satisfaction and success drives us to be faster, more reliable, neutral, passionate and innovative in our role as a third party service provider.

In this regard, we would like to hear from you. Kindly fill out the attached survey form and send it to tristan.loveres@tuv.com, we shall treat them as highly confidential. All your ratings/comments will be sent directly to our system that only the top management has direct access to. That way you can be sure that they will be properly addressed.

Thank you very much and more power to your firm.

Sincerely,



Tristan Arwen G. Loveres
Managing Director

**TÜV Rheinland
Philippines Inc.**

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Customer Satisfaction Survey

Name of Organization: _____

Dear Valued Client,

Thank you for choosing TÜV Rheinland Philippines, Inc. as the certification body for your management system. Recently an audit has been performed in your company. As it is vital to us to continuously improve our services, we have prepared a short questionnaire to collect your feedback about our services.

Please take a few minutes to give us your feedback by completing this questionnaire.

Thank you.

TÜV Rheinland Philippines, Inc.

Client Information:

Date of Audit: _____

Standard : ☐ ISO 9001
☐ ISO 14001
☐ OHSAS 18001
☐ ISO/TS 16949
☐ ISO 27001 (ISMS)
☐ others: _____

Type: ☐ Pre-Audit
☐ Stage 1 – CA1
☐ Stage 2 – CA2
☐ Re-certification
☐ Follow-up 1 – FA1
☐ Follow-up 2 – FA2

Name and Signature: _____

Designation: _____

Please send it back to:

Mr. Tristan Arwen G. Loveres
Managing Director, TÜV Rheinland Philippines, Inc.
(Tristan.Loveres@phl.tuv.com)

or

Send it thru fax (02 812-8887 loc 118)

Customer Satisfaction Survey

Name of Organization: _____

1. Our Auditors

Please evaluate our auditors in terms of:
 [Tick one of the boxes 1 – 5]

5 – Excellent; 4 - Very good; 3 – Satisfactory; 2 – Acceptable;
 1 - Poor

[Pls. reproduce additional copy if needed]

	AUDITOR A	AUDITOR B	AUDITOR C
	5 4 3 2 1	5 4 3 2 1	5 4 3 2 1
1. Audit notice/ audit plan submitted 2 weeks before the audit	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
2. Knowledge about your industry and your company processes	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
3. Questions are clear and easy to understand	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
4. Willingness to listen and degree of understanding	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
5. Deviations address key problems rather than formal issues	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
6. Deviations reasonable and understandable	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
7. Time management during the on-site audit	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
8. Attitude during the on-site audit	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
9. Value of recommendations for improvement	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
10. Clear and understandable documents and reports	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>

Customer Satisfaction Survey

Name of Organization: _____

2. Our Sales and Customer Service Staff

Please evaluate our sales & customer service in terms of:

[Tick one of the boxes 1 – 5]

5 – Excellent; 4 - Very good; 3 – Satisfactory;
2 – Acceptable; 1 - Poor

	5	4	3	2	1
1. Information and advice about the certification process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Attitude and helpfulness of our sales & customer service staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Coordination of your application and consideration of specific wishes before the audit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Ease of contact with our office staff	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. Response time to answer your inquiries	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. Time to issue certificate after submission of corrective actions and other audit documents	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Summary

In choosing a certification body, most important for us is:

Do you have any general comments?

Thank you for taking time filling in this questionnaire.