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01 100 1834912

Second Follow-Up Audit Report as per

ISO 9001:2015

for

**PHILIPPINE CARABAO CENTER AT
CENTRAL MINDANAO UNIVERSITY
CENTRAL MINDANAO UNIVERSITY,
UNIVERSITY TOWN, MUSUAN, MARAMAG,
BUKIDNON PHILIPPINES**

| Client | Standard | Certification Number(s) | Audit Type |
|--|---------------|-------------------------|------------------------|
| PHILIPPINE CARABAO CENTER AT CENTRAL MINDANAO UNIVERSITY | ISO 9001:2015 | 01 100 1834912 | SECOND FOLLOW-UP AUDIT |

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| PHILIPPINE CARABAO CENTER AT CENTRAL MINDANAO UNIVERSITY | ISO 9001:2015 | 01 100 1834912 | SECOND FOLLOW-UP AUDIT |

Audit Leader : Jogina Mendiola

Audit Team : Rolando Remitar

Client's representative : Vicenta Canatoy, Quality Management Representative

Audit Date : 03 May 2021

1 Audit result

Management system effectiveness was verified on site by means of random sampling by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and the descriptions in management system documentation. The special features of the organization's business activities, the applicable statutory and regulatory requirements and the requirements set forth in other generally applicable documents were also taken into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in Sections 4 of this report.

| | |
|-------------------------------------|---|
| <input checked="" 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 respective corrective action verified. |
| <input checked="" type="checkbox"/> | The current audit revealed (0) Zero major nonconformities and (1) One minor nonconformity: 7.1.5.2.a. Measurement and Traceability |
| <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. |

The auditor therefore recommends (provided nonconformity response has been approved):

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|-------------------------------------|---|
| <input type="checkbox"/> | Award of the new certificates. |
| <input checked="" type="checkbox"/> | Maintenance of the existing certification. |
| <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. |

2 Scope

2.1 Description of the organization

In 1992, after the PCARRD coordinated UNDP-FAO project, the Philippine government realized the need to institutionalize the Carabao Development Program. Through Republic Act 7307 or better known as the Philippine Carabao Act of 1992, the PCC was created. The law was signed on March 27, 1992 and operationalized on April 1993. The law mandates the PCC to (a) conserve, propagate and promote the carabao as a source of draft animal power, meat, milk and hide; (b) enable the farmers, particularly smallholder farmers and CARP beneficiaries to avail themselves of good quality carabao stocks at all times and at reasonable prices through an organized program of production, breeding, training and dispersal; (c) undertake training program for farmers, particularly smallholder farm-

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ers and CARP beneficiaries, designed to transfer technology on the proper care and reproduction of the carabao and the processing of its meat and milk; (d) encourage backyard dairy development in rural areas by raising carabaos so as to meet the nutritional needs of the smallholder farmers and their families and reduce dependence on imported milk by-products; (e) undertake research activities in all disciplines that lead to the improvement of the over-all productivity of the Philippine Carabao; (f) increase the existing annual population growth of the Philippine carabao to keep pace with human population; and (g) enter in the memoranda of agreement and receive donations through the Department of Agriculture from local and foreign sources. Upon the recommendation of the PCC Advisory Board the individual carabao centers may enter into agreements directly with funding agencies through their respective board of regents or head of agency.

The PCC operates as an attached agency of the Department of Agriculture and has a network of 12 centers nationwide (PCC at CMU is one) implementing the CDP.

The Philippine Carabao Center at CMU (PCC at CMU) is situated within the complex of Central Mindanao University, Musuan, Bukidnon specifically along the highway and at the base of its landmark, Mt. Musuan. Its operation started in 1992. It is empowered to implement the Carabao development Program (CDP) in Central Mindanao covering Regions X, and XIII (CARAGA) respectively. These program thrusts are:

- a. Genetic Improvement Program through strengthening the riverine buffalo gene pool;
- b. Massive Crossbreeding Program;
- c. Enterprise Development, and
- d. Research for Development

The Center envisions a convergence of the coverage areas with high population of Carabaos and Crossbreds towards the development of the Carabao Industry with emphasis on the Dairy Carabao Sector.

The 75-hectare facility consists infrastructure, pasture areas and road network. Dairy Buffalo Sales Center, which showcases buffalo products – is strategically along the highway. Also operating within the Sales Center is the Central Milk Processing Center.

(Ref. PCCatCMU QSM-04, Rev.00, March 15, 2019)

2.2 Scope of certification

| | |
|--|--|
| Scope of certification: | Carabao Crossbreeding and Strengthening of Water Buffalo Genepool; Research for Development; Enterprise Development (Provision of Social and Technical Trainings, Artificial Insemination, Bull Loan, Animal Health, Semen Distribution, Supply of Various Products such as Female Buffaloes and Processing and Sales of Milk and Milk Product) |
| ISO 9001 standard requirements which are not applicable: | None |
| Reasons for non-applicability: | NA |

PCC-CMU operation schedule:

Administrative Offices > M-F 8:00-5:00pm

Processing Center > M-F 7:00-11:00am/ 1:00-4:00pm

The following sites and their scopes are included in the scope of certification:

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| Site No. (CN ext.) | Sites included in cert. Name/address of site | No. of emp. | Scope and processes | Standard | Au-dited |
|--------------------|---|------------------------|--|----------------------|-------------------------------------|
| 01 100 1834912 | Philippine Carabao Center at Central Mindanao University Central Mindanao University, University Town, Musuan Maramag, Bukidnon Philippines | 55 Staff to date | Carabao Crossbreeding and Strengthening of Water Buffalo Genepool; Research for Development; Enterprise Development (Provision of Social and Technical Trainings, Artificial Insemination, Bull Loan, Animal Health, Semen Distribution, Supply of Various Products such as Female Buffaloes and Processing and Sales of Milk and Milk Product) Processes: <ul style="list-style-type: none"> a) Top Management b) Internal Quality Audit Process; Nonconformity and Corrective Action Process c) Control of Documented Information d) Risk and Opportunities Management e) Customer Satisfaction; Customer Feedback and Complaints Handling f) Artificial Insemination; Bull Loan Program Frozen Buffalo Semen Distribution; Provision of Superior Breeding Animals; Training of Technicians and Farmers; Technical Assistance and Extension (Animal Reproduction; Animal Nutrition; Animal Health; Forage Production and Improved Feeding System; Cooperative Development; Dairy Production and Processing); Analysis of milk sampled; Nutrition Laboratory Services; Biosafety and Environment Laboratory Services; Information and Library; Visitor's Assistance and Marketing Assistance g) Human Resource Management and Development h) Finance-Procurement i) Facilities Maintenance, including Security and Safety | ISO 9001: 2015 | <input checked="" type="checkbox"/> |

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3 Changes in the management system / Contract review

No major changes have been made to the management system and the management system documentation since the last audit. The order details which form the basis of the audit (including number of employees, scope and sites) reflect the actual situation in the organization.

The description of the scope in the certificate appropriately reflects the scope of the management system.

The audit plan was not changed during the audit.

4 Audit findings

The audit findings related to the audited standard are listed in the Annexes to this report (see. Annex ISO 9001). All information gained during the audit will be treated with strict confidentiality by the [auditors](#) 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.

| No. | Unit/Department Site | Positive findings |
|-----|---------------------------------------|--|
| 1/3 | Research and Development | Selected research-abstract from PCC-CMU, is set to be presented this June 02-05, 2021, at the Asian Buffalo Congress, in Nepal. This is commendable. |
| 2 | Milk/Meat Product Marketing Promotion | The department was able to generate 9,928,503.8PhP sales, above the target for the year 2020 |
| 3 | Animal Breeding | The mating plan of carabaos was fully implemented for the year 2020 even during quarantine. |

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 |
|-----|---------------------------|--|
| 1/9 | Internal Audit | May consider conducting evaluation for Internal Quality Auditors to continually improve conduct of audit. May consider including the date for Close-Out of all "Potential Problem" findings. |
| 2 | Human Resource Management | May consider including in the pre-employment requirements, "Fit-to-Work" annotation in the Medical Certificate. The Training Needs Form will be adapted from the Central Office. Implementation will be by Y2022. Verification on the use of this form will be done next audit. Verification for Training Effectiveness will be verified next audit. E.g. Trainings attended last April 27, 2021, to be evaluated after 6months. |
| 3 | Purchasing | May consider providing a general average/ overall rating in the Supplier/Vendor Evaluation Form. Likewise, may communicate this rating to follow-through any improvement or correction requirement. |

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| | | |
|---|------------------------|---|
| 4 | Farm Mechanization | The following will be verified next audit: - NC2 Training scheduled for Tractor Operators this Y2021 - Accomplished JO for change oil for Tractor 8030, scheduled April 01, 2021 |
| 5 | Management | Revisit the root cause and effectiveness of corrective actions on not meeting the target of major final output. This will be checked next audit |
| 6 | Milk Processing | The following may be improved: - document the quality plan for the incoming raw material (e.g. cocoa) and packaging material (e.g. bottles) and its inspection report - establishment of reference standard for raw, packaging, and finished products |
| 7 | Calf Rearing | May determine the nature of the causes of death of calf, which can be the basis for the actions to prevent its recurrence (e.g. [4] cases of diarrhea and etc). |
| 8 | Milk Collection | Ensure to establish preventive maintenance plan and its implementation for the equipment used in the process (e.g. milking machine and etc). |
| 9 | Risk and Opportunities | May consider specific risks and opportunities in different processes and identify mitigating plan to prevent its occurrence. |

5 Dates

Due Date for the next audit 2021 May 04

Agreed date for the next audit 2021 April (-3mos/+0)

03 MAY 2021

Date


JOVINA MENDIOLA

Audit Leader / Auditor(s)

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Annex ISO 9001:2015 (please delete if not an ISO 9001:2015 audit)

| Item | Audit result |
|-----------------------------|---|
| Context of the organization | <p>The organization has determined internal and external issues related to the following subject areas (Note: subject areas can be legal requirements, co-operations, competition, community etc.)</p> <ul style="list-style-type: none"> • Prolonged concerns on the pandemic issues; • Health hazards (e.g. AI Team) in conducting technical services to clientele • Production losses for every change in the community quarantine status <p>The organization has identified interested parties and the requirements of these parties. Examples for such parties are:</p> <ul style="list-style-type: none"> • PCC National Head Office; PCC Employees; Farmers; LGUs; Regulatory Agencies; Host University (Central Mindanao University); Associations/ Cooperatives |
| Policy / objectives | <p>Top Management has declared its quality policy binding and implemented. The quality policy is appropriate and provides a framework for the respective quality objectives. It commits all employees to pursue continuous quality system improvement.</p> <p>PCC at CMU Quality Policy: The Philippine Carabao Center at Central Mindanao State University (PCC at CMU) aims to be a premier research for development institution for water buffalo in Central Mindanao.</p> <p>In order to achieve this, we, at PCC at CMU are committed to provide quality products and services that address customer's needs and expectations, consistent with statutory and regulatory requirements and the International Standards.</p> <p>We shall seek to continuously improve the effectiveness of our quality management system – our services, processes, people and workplace.</p> <p>Key quality objectives include: PCC at CMU Charter of Quality Objectives for 2019-2022</p> <ul style="list-style-type: none"> • For Services <ol style="list-style-type: none"> Achieve average rating of at least 3.5 or Better in the Client Satisfaction Survey on: Information Services; A.I. Services; Bull Loan Services; Trainings (Basic A.I. Training for Large Ruminants, Farmers Trainings, Other Related Trainings); Other Technical Services Trainings Achievement conception rate of: A.I (Synchronized = 25%; Natural = 30%); Bull Loan = 50% Achieve Calf Drop rate of 20%: A.I. = 20% (minimum monitoring rate of 70%); Bull Loan = 50% At least 80% of the trainees for Basic A.I. passed the training course • For Products <ol style="list-style-type: none"> Breedable Female – Rejection rate not exceeding 5% Cara Bull – Rejection rate not exceeding 10% |

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| | <p>c. Milk – Rejection rate on California Mastitis result (All positive test) not exceeding 10%; Organoleptic test results indicating no offensive odor, taste of appearance; Rejection rate on somatic cell count not exceeding 10%</p> <p>d. Milk Products – Achieve average rating of 3.5 or Better in the Customer Satisfaction Survey; return rate not more than 15% from direct customers</p> <p>e. Forage planting materials – 75% viable</p> <ul style="list-style-type: none"> • Social Indicators <ul style="list-style-type: none"> a. Average additional income of PhP30,000 per Farmer-Beneficiary of the Dairy Development Program for the year 2017-2022 from milk and calf production • Gene Pool (Institutional Herd) <ul style="list-style-type: none"> a. Selection rate not more than 70% for Caracows b. Selection rate of not more that 70% for Bull Loan Program c. Total herd mortalities not to exceed 5% and calf mortalities not to exceed 10% d. Average calving interval of not less than 16mos. for dairy herd e. Average milk production of not less than 5 liters per head, per day • Purchasing/Procurement Unit <ul style="list-style-type: none"> a. Achieve 3.5 or Better rating in the Customer Satisfaction Survey b. Supplies are delivered at least 15days after PO has been served • Human Resource <ul style="list-style-type: none"> a. All Staff should attain a Satisfactory performance rating for the year <p>(Ref. PCC at CMU QSM-04, Rev.01, January 15, 2020, Section 2, Page 13-14/29)</p> <p>These are measurable and are controlled, communicated and up-dated regularly.</p> |
| Process control including outsourced processes | <p>The processes available in the organization have been identified and documented. Process workflows and interactions have been described and appropriately controlled. The processes are evaluated at regular intervals by means of key performance indicators.</p> <p>Key processes within the scope of product realization include:</p> <ul style="list-style-type: none"> • Artificial Insemination – Presence of trained VBAITs (Village-Based A.I. Technicians); Travel time (for natural estrus) if no trained VBAIT available • Bull Loan Program – Availability of bull and all evaluation requirements are met • Frozen Buffalo Semen Distribution – Provision of tank filled with liquid nitrogen; Tank inspection (before and after filling) • Provision of Superior Breeding Animals – Checking of availability of animal and its performance; Entrustment (Modified “Paiwi” Scheme of Dairy Buffalo Multiplier Farm Scheme) • Training of Technicians and Farmers – Screening and Selection of Appli- |

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| | <p>cants</p> <ul style="list-style-type: none"> • Research for Development with disciplinary areas such as, Breeding and Genetics, Biotechnology, Nutrition and Forage/Pasture, Animal Health, Reproductive Physiology, Management, Product Development, Socio-Economics and Policy • Milk Processing - Cleaning <p>The following processes have been outsourced:</p> <ul style="list-style-type: none"> • Trainers, Lecturers from CMU (College of Veterinary Medicine) <p>These processes are appropriately reviewed and controlled.</p> |
| Risk-based thinking | <p>The requirements for risk-based thinking are being realized in the organization as follows:</p> <p>Risk-based thinking has been applied for the following processes:</p> <ul style="list-style-type: none"> • Artificial Insemination; Bull Loan; Milk Processing and Marketing Outlets; Breeding Management; Animal Health Management; Pasture Development and Maintenance; CBED <p>Examples of risks, identified controls and opportunities of processes identified are:</p> <ul style="list-style-type: none"> • PMO (Processing and Marketing Outlet) • Risks: Water used for cleaning did not pass the set standards due to improper treatment; Spread of disease to other co-workers due to sick/diseased personnel; Unsanitized processing/storage equipment/area due to overfamiliarity on the protocols and limited time • Controls: Water Treatment System (Filtration)/ Water Analysis Test Results; Health Card, Pre-Employment Medical Examination; Equipment Monitoring Logbook <p>Examples of risks and opportunities concerning the context of the organization are:</p> <ul style="list-style-type: none"> • Risks: Production losses due to disruption in operations on CBED due to General Community Quarantine; Non-achievement of targets; Issues within the value chain • Opportunities: Attendance to various seminars/ trainings; Approved participation to upcoming international Asian Buffalo Congress; Increased Farmers income in the RIZ due to ownership and full control of the Dairy Box and Milk Feeding Program <p>Concerning risk based thinking the following tools are used:</p> <ul style="list-style-type: none"> • List of identified Risks and Opportunities • Identification, Evaluation and Action Planning for Risks and Opportunities (IEAPRO) Procedure |

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|---|--|
| | <ul style="list-style-type: none"> • ROA per Process |
| Customer-related and other requirements | <p>The organization analyses and evaluates customer requirements and/or enquiries and any documented, assumed, statutory and regulatory requirements within the scope of a production and feasibility study performed in a team.</p> <p>Offers are prepared by the Knowledge Management Division and approved by the Executive Director. The person who prepared the offer reviews the contract to ensure its compliance with the offer and documents this compliance in an order confirmation. The same procedure applies to amendments. (Ref. Service Guide: Philippine Carabao Center <PCC-KMDQM-02, Rev.02, March 1, 2018>) Implementing the following major services: Artificial Insemination; Bull Loan Program Frozen Buffalo Semen Distribution; Provision of Superior Breeding Animals; Training of Technicians and Farmers; Technical Assistance and Extension (Animal Reproduction; Animal Nutrition; Animal Health; Forage Production and Improved Feeding System; Cooperative Development; Dairy Production and Processing); Analysis of milk sampled; Nutrition Laboratory Services; Biosafety and Environment Laboratory Services; Information and Library; Visitor's Assistance and Marketing Assistance</p> <p>The following process requirements significantly affect product or service quality:</p> <ul style="list-style-type: none"> • Pasture: Soil nutrient level, availability of forage planting materials, tractors, farm implements, proper land preparation, planting and harvesting of Napier grass, Mulato and Mombaca, manure application • Artificial insemination: availability of frozen semen, supplies and technicians; completeness of AI services such as pregnancy diagnostics, AI, vitamins administration and deworming; accuracy of records in the database • Milk processing: testing of water potability; training and annual check-up of personnel; sanitation; raw milk testing; adherence to Standard Operating Procedures and Good Manufacturing Practices; compliance to FDA regulations • Bull loan: availability of healthy bull (Body Condition Score of 3.0) • Institutional Herd: Estimated breeding Value and Body Condition Score of heifers; Animal productivity of animals based on BCS, calving interval, milk production, abnormality, reproductive disorder and medical history, authorization and inspection for culling unproductive animals, such as Authority to Release, Inspection Report of COA; feeding management based on Dairy Buffalo Handbook; breeding management based on mating plan, health management based on Standardized and Approved Veterinary Protocol and Practices; Milk testing based on California Mastitis Test, Alcohol Precipitation Test, Somatic Cell Count Test • Research for Development: Evaluation and approval of the Central Office <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> • Memorandum Circular No. 14, Series of 2017 – Issuance of Shipping Permit for the Local Transport of Live Animals, Animal Products and Animal By-products • Republic Act No. 3720, with a requirement to acquire License to Operate as Food manufacture from Food and Drugs Authority. |

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| | <ul style="list-style-type: none"> • Republic Act 9184- Government Procurement Reform Act • IATF Memorandum-Circulars on Safety and Health Protocols in time of Pandemic • LGU Memorandum-Circulars on Safety and Health Protocols in time of Pandemic |
| Customer satisfaction and complaints | <p>The organization maintains documented and effective procedures governing the handling of information, data analyses, improvement actions and responses to customer feedback.</p> <p>The Customer Satisfaction rating received for the year 2020, was at 4.80. This was from the Customer Satisfaction Survey conducted with various clientele as respondents.</p> <p>As of March 2021, CSS collected gave a rating of 4.76</p> <p>No complaints received from the Y2020 collected survey and to date.</p> |
| Internal audit and Management review | <p>The organization measures MS implementation, maintenance and effectiveness by means of annually scheduled system audits. The organization reliably carries out these audits. The nonconformities identified in these internal audits had been corrected by the time the audit documented in this report was performed.</p> <ul style="list-style-type: none"> • There are 4 appointed Internal Quality Auditors, with the following Appointments: Office Order 22,s.2020 (Renewal of Designation as Lead Auditor and Auditor) • The procedure Internal Quality Audit (PCCatCMU-IAQP-01, Rev.00, October 18, 2018, is maintained. • Y2021 Internal Audit was conducted last February 15-18, 22, 2021 • The following were the results: (01) Positive, (19) Potential Problem, (16) Opportunity for Improvement, (01) Nonconformity • Status of Audit Findings: The NC issued was closed-out last April 28, 2021. <p>Top management reviews the organization's quality management system at regular intervals and in line with the requirements to ensure its continuous suitability, adequacy and effectiveness. The management review of April 23, 2021 was carried out in accordance with the requirements and was effective.</p> <p>The Management Review minutes included the following agenda:</p> <ul style="list-style-type: none"> - For Adoption/ Conformation (Agenda; Minutes of the Previous Meeting) - New Business: <ol style="list-style-type: none"> a. Review of Internal Audit Findings b. Status if actions on the findings c. Review of action on the findings during the previous audit d. Changes of the internal and external issues that are relevant to the quality management system for discussion: Information on the effectiveness of the quality management system (including trends in: Customer satisfaction survey and feedback; the extent to which quality objectives have been met; Process performance and conformity of products and service); Adequacy of resources; The effectiveness of actions taken to address risk and opportunities (GIP; AI/ |

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| | Bull Loan; CBED; PMO; R4D; Training; HR; Finance; Pasture; Admin); Monitoring and Measurement results; Evaluation of external providers; Other Matters. |
| Use of certificate and logo | The logo and the certificate are used in compliance with the requirements. This has been checked by sampling. The sampling included business cards, company brochures or websites or others. |

| | | | | | | | | | | | | |
|----------------------|----------------------------|-----|-----|------|------|------|-----|-----|-----|-----|-----|-----|
| Chapter of standard | 4.1 | 4.2 | 4.3 | 4.4 | 5.1 | 5.2 | 5.3 | 6.1 | 6.2 | 6.3 | | |
| Rating * | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | | |
| No. of nonconformity | - | - | - | - | - | - | - | - | - | - | | |
| Chapter of standard | 7.1 | 7.2 | 7.3 | 7.4 | 7.5 | 8.1 | 8.2 | 8.3 | 8.4 | 8.5 | 8.6 | 8.7 |
| Rating * | 1 7.1.5.2. a. (3) | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| No. of nonconformity | 1/1 | - | - | - | - | - | - | - | - | - | - | - |
| -Chapter of standard | 9.1 | 9.2 | 9.3 | 10.1 | 10.2 | 10.3 | | | | | | |
| Rating * | 1 | 1 | 1 | 1 | 1 | 1 | | | | | | |
| No. of nonconformity | - | - | - | - | - | - | | | | | | |

- * **Rating:**
- 1 = conforming
 - 2 = not audited in this audit
 - 3 = nonconformity (see nonconformity report)
 - 4 = not applicable

Nonconformity Report No. 1 to 1



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Client's representative: Ms. Vicenta Canatoy, Quality Management Representative
Audit Team Leader: Jogina Mendiola
Auditor(s)/Expert: Rolando Remitar
Audit Date: 03 May 2021

03 May 2021 *Jogina Mendiola*
JOGINA MENDIOLA *Ms. Vicenta Canatoy*
Ms. Vicenta Canatoy

 Date Audit Team Leader 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 until03 JUNE 2021..... 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 checked="" 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. |

02 JUNE 2021 *Jogina Mendiola*
JOGINA MENDIOLA

 Date, processing auditor

Nonconformity Report No. 1 to 1



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| 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 |
|-----|--|------------|---|-------------|--|--|---|
| 1/1 | ISO 9001:2015 Clause 7.1.5.2.a Measurements and Traceability | Minor | a) 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: a). Calibrated or verified, or both, at specific intervals, or prior to use, against measurement standards traceable to international standards, when no such standards exist, the basis used for calibration or verification shall be retained as documented information. b). However, there was no calibration report for the refractometer and lactometer used in milk processing area. | No | The said equipment were not calibrated because all the accredited laboratories within the region and the previous DOST calibration center in CARAGA region cannot perform the calibration. | a) 1. Calibration plan shall be formulated and to be followed; however, determination and identification of the frequency and the calibration center is to be finalized upon the response of the quotation requested from different laboratories nearby. 2. Implement the calibration as schedule to eliminate nonconformity on the use of the equipment b) Calibration plan is formulated as attached; however, the calibration center and frequency of the calibration of different equipment shall be identified and completed on or before the end of July 2021. | <input checked="" type="checkbox"/> Plan accepted OK Verification OK EVIDENCES 1) Sampled quote from Premier Physic Metrologie Co. # QUO2021-0358 May 22, 2021 2) Calibration Plan Y2021, included the Refractometer and Lactometer with Annual schedule * Verification on the implementation and effectiveness of corrective action will be conducted in the next audit → RA |

*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

J. Mendiala
JUDINA MENDIALA
02 JUNE 2021