



25 November 2019

**MEMORANDUM NO. 414**  
Series of 2019

**T O: Internal Quality Auditors**

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**R E: Areas of Concerns Raised during the Stage 1 Audit**

As per Initial Audit Report (see attached) of TÜV Rheinland Philippines, Inc. for Stage 1 Certification Audit conducted on November 22, 2019, it was highlighted that two (2) of the findings were detected in the Internal Quality Audit. These findings were rated "2" and may become **Nonconformities in the Stage 2 Audit** if these will not be addressed. These were raised as weaknesses and must be eliminated so that the Stage 2 Certification Audit can be carried out on January 27 – 29, 2020.

With this, I am urging the Internal Quality Audit Team to meet and discuss this very important matter on **November 29, 2019 at 9:00 AM** at the Conference Room of Quality Assurance Center.

Hoping for your full support on our quest for quality and excellence.

  
**EDGARDO E. TULIN**  
President *oic 11/26/19*

# Initial Report

Company Name : **Visayas State University**

Address : **Visca, Baybay City, Leyte, 6521 Philippines**

Scope of Application : **Provision of higher and advanced educational services including research and extension**

Representative : **Edgardo E. Tulin, University President**

Lead Auditor/ Auditor : **Jogina Mendiola/ Madilyn Plaza**

Standard(s) : **ISO 9001:2015**

Certificate No(s). : **CN 01 100 1934891**

Audit Type : **Certification Audit – Stage 1**

Audit Date : **22 November 2019**

## Audit findings

Review of management system documentation and verification of management system implementation revealed the following results:

No.	Unit/Department/Site	Opportunities for Improvement	Rating*)
1/4	Top Management	(Business Process Map) May articulate the details presented in the Business Process Map to capture the actual processes needed and their interaction.	1
2	Top Management	(Management Review) The following management review input agenda were not included in the management review conducted last Oct. 18, 2019: <ul style="list-style-type: none"> <li>the extent to which quality objectives have been met</li> <li>the performance of external providers</li> <li>the adequacy of resources</li> <li>opportunities for improvement</li> </ul>	2
3	Internal Quality Audit	Completeness of the Internal Audit Checklist for traceability purposes needs to be ensured.	2
4	Internal Quality Audit	There is a need to clarify the management of Major Nonconformity with that of a Minor Nonconformity that is reflected in the current NCAR Form used.	2

- (\*) **Rating:**
- 1 = Opportunities for improvement
  - 2 = Probably rated as nonconformity in stage 2
  - 3 = Not ready for certification (proof of elimination of weaknesses must be submitted before completion of the stage 1 audit)

### Audit Conclusion

The aim of the stage 1 audit was to review the organization's readiness for the stage 2 audit.

<input checked="" type="checkbox"/>	The organization is fully ready for a stage 2 audit.
<input type="checkbox"/>	The audit revealed weaknesses which may be rated as nonconformities in the stage 2 audit. The weaknesses must be eliminated as discussed, so that the stage 2 audit can be carried out as scheduled.
<input checked="" type="checkbox"/>	NOTE: The stage 2 audit was scheduled together with the client to take place on <b>27-29 January, with the availability of Class Observation of all Programs</b>
<input type="checkbox"/>	The audit revealed critical weaknesses which will be rated as nonconformities in the stage 2 audit. Proof that these weaknesses have been eliminated must be submitted to the audit team by <b>XXX</b> at the latest, so that the stage 1 audit can be concluded with a positive result and the planning for the stage 2 audit can be realized.

### **Statement of Non-Conflict of Interest**

The audit team declares that they have neither performed any internal audits for the organization nor provided any consulting services for the development and implementation of the organization's management system within the last two (2) years. We also confirm that there are no other conflicts of interests with regards to the performance of this audit.

22 November 2019

Jogina Mendiola/ Madilyn Plaza

Date

Audit Leader / Auditor(s)

*Note: This **Initial Report** serves as the proof of completion of this cycle of audit activities and will be superseded upon issuance of the official **Audit Report**.*

-End-