



21 January 2021

MEMORANDUM CIRCULAR NO. 06

Series of 2021

T O: All VPs, Deans, Directors, Dept/Unit/Office Heads/dDRCs/Faculty and Staff

R E: Audit Plan for the 1st ISO 9001 Surveillance Audit

We are providing you herewith the Audit Plan sent by our certifying body, TUV Rheinland, for our ISO 9001-2015 1st Surveillance Audit come February 4-5, 2021. I am urging all heads/auditees who will be directly involved in the audit to be ready with all the necessary documents and venues for the said activity. A Committee has been created, headed by Mr. Jed Aseph D. Cortes, to develop and implement an online portal to contain the VSU-QMS documents including our documented procedures, QMS Manual and retained records for easy access to our auditors. They will sign confidentiality agreement for their access of our documents.

In line with this, I would like to request the cooperation of everyone for the ready access of documents and your presence during the audit. For the big group from academic units, headed by Dr. Beatriz S. Belonias, you are hereby requested to coordinate with the OVPREI for the use of the RDE Hall and the setting up of the venue ready for the audit. The ICTMC in coordination with the Web Team will help install the needed ICT equipment and will conduct ocular inspection by February 01 or 02 on how venues will be set up. The dDRCs of different units will have a briefing next week on how documents will be organized in digital format and ready for uploading or have these link to the QMS portal.

I am optimistic that this surveillance audit will succeed because of our hard work, concerted efforts and the cooperation of everyone. God bless.

EDGARDO E. TULIN
President

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Client:	Visayas State University	If there are no client changes to the audit plan one week prior to the audit, then the audit plan is considered approved.	
Location(s) / Production facility (facilities) / temporary sites / other premises of service delivery:	Visca, Baybay City, Leyte 6521 Philippines		
Scope of application:	Provision of Higher and Advanced Educational Services including Research and Extension		
Applicable standard, Audit criteria:	ISO 9001:2015 Management system documentation of the organization TUVR Terms and Conditions		
Type of audit:	First Surveillance Audit – 100% Remote Audit		
Client's representative:	Edgardo E. Tulin, University President		
Audit objective:	Management system conformity assessment under application of sampling with the purpose of maintaining the existing certification Determination of the ability of the management system to ensure the organization meets applicable statutory, regulatory and contractual requirements Determination of the effectiveness of the management system to ensure the organization can reasonably expect to achieving its specified objectives		
Audit language(s):	English, Filipino (Tagalog, Cebuano)		
Audit leader:	Fronie Aligway (FA)	Auditor(s):	*Jogina Mendiola (JM)
<input type="checkbox"/> external, company:		<input checked="" type="checkbox"/> external, company:	*Free Agent, NA
Environmental verifier:		Expert(s):	
<input type="checkbox"/> extern, Firma:		<input type="checkbox"/> extern, Firma:	
City, date audit plan preparation:	Parañaque City/ 06 January 2021/ Rev.00		
Date of last update:			
Reasons for modification of the audit plan during the audit:			

A room should be available to the auditors for their internal assessment. Auditee representatives accompany the auditors during the entire audit. During the opening meeting, at the latest, the audit team has to be informed about aspects relevant to occupational health and safety in the company.

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Audit time Overview Location xxx

<i>Refresh sums: Mark cell and press F9</i>	9001 [Audit time in h]		14001 [Audit time in h]	18001 [Audit time in h]	50001 [Audit time in h]	Sum (on line):
Debit Location:	Day 1	Day 2				
Fronie Aligway (FA)	8h	6h				14h/1.75md
Jogina Mendiola (JM)	8h	6h				14h/1.75md
Total						28h/3.5mds

Date / Time	Organizational Unit and Processes <i>M-F 8-5pm with 1-day WFH</i>	Auditor/ Abbrev.I	Interviewee	Standard Chapter
04 FEBRUARY 2021 – FA, JM > 100% REMOTE AUDIT				
9:00AM-9:30AM	Opening Meeting	TÜVR Audit Team	Management Team, Management Representative; Department/ Unit Representatives Venue: ODQA	<ul style="list-style-type: none"> - Introduction of the participants - Scope of certification - Audit objectives - Audit plan (security advices, audit proceeding, special features)
9:30AM-10:30AM	Top Management - Business Planning - Strategic Directions Special Focus: <ul style="list-style-type: none"> - Management Review - Changes in the QMS - Quality Policy - Quality Objectives - Interested Parties and their requirements - Resources - Applicable Regulatory and Statutory Requirements - Customer Satisfaction; Feedback and Complaints Handling - Risk and Opportunity Management - Personnel Development/ Competency - Contract Terms and Conditions 	TÜVR Audit Team	Edgardo Tulin Beatriz Belonias Remberto Patindol Aleli Vollocino Maria Juliet Ceniza/ Antonio Abamo Dilberto Ferraren Editha Cagasan Daniel Leslie Tan Milagros Bales Pamela Oraño Elvira Ongy Gideon Neil Tan Lourdes Cano Venue: ODQA	4.1, 4.2, 4.3, 4.4, 5.1, 5.2, 5.3, 6.1, 6.2, 6.3, 7.1, 8.1, 8.2, 8.3, 8.4, 8.5, 9.1, 9.3, 10.1, 10.2, 10.3
10:30AM-12:00NN	Internal Quality Audit Process Nonconformity/Corrective Action	FA	Elvira Ongy Jemaica Rueda	5.3, 6.2, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1, 9.2, 10.1, 10.2, 10.3

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Date / Time	Organizational Unit and Processes M-F 8-5pm with 1-day WFH	Auditor/ Abbrev.I	Interviewee	Standard Chapter
	Control of Documented Information		Venue: ODQA Pamela Oraño Raul Anthony Valenzona Venue: ODQA	Verification on use of TÜVR Logo 5.3, 6.2, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1, 9.2, 10.1, 10.2, 10.3
10:30AM-12:00NN	Curriculum Design, Development, Review and Evaluation including Resource Development for Tertiary Program and Graduate Program - Educational and Curriculum Design and Process - Instruction Supervision and Evaluation - Evaluation of Learning Effectiveness - Teacher Supervision and Evaluation - Evaluation of Compliance to Applicable Requirements	JM	College of Agriculture and Food Sciences - Dr. Victor Asio - Ulysses Cagasan; Henry Goltiano; Julius Abela; Manuel Gacutan; Christina Gabrillo; Lorina Galvez; Rosario Salas; Rommel Garido; Elvira Oclarit; Suzette Lina; College of Engineering and Technology - Dr. Roberto Guarte - Eldon De Padua; Epifania Loreto; Justine Jane Rebuyas; Jundy Castil; Daniel Lor College of Arts and Science - Dr. Ma. Theresa P. Loreto - Analyn Mazo; Jett Quebec; Eusebio Lina Jr.; Jacob Glenn Jansalin; Virgelio Alao College of Management and Economics - Dr. Moises Neil Serio - Nilda Amestoso; Ma. Salome	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3

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Date / Time	Organizational Unit and Processes M-F 8-5pm with 1-day WFH	Auditor/ Abbrev.I	Interviewee	Standard Chapter
			<p>Bulayog; Venice Ibañez; Lilian Nuñez</p> <p>College of Forestry and Environmental Science</p> <p>- Dr. Dennis Peque</p> <p>- Dennis Peque; Eliza Espinosa</p> <p>College of Education</p> <p>- Dr. Bayron Barredo;</p> <p>- Joel Mabalhin; Charisse Limbo; Shalom Grace Sugano</p> <p>College of Veterinary Medicine</p> <p>- Dr. Santiago Peña</p> <p>College of Nursing</p> <p>- Dr. Joel Rey Acob</p> <p>Graduate Program</p> <p>- Dr. Anabella Tulin</p> <p>Venue: RDE Hall</p>	
12:00NN	LUNCH BREAK			
1:00PM-2:30PM	Human Resource Development and Management including Training and Competency	FA	<p>Lourdes Cano, Honey Sofia Colis, Jennifer Ando, Meriam Dela Torre, Luvilla Alcober</p> <p>Venue: OVPAF Conference Room</p>	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
1:00PM-3:00PM	Sampling - Class Observation Tertiary and Graduate Programs	JM	<p>Faculty with scheduled class</p> <p>Respective virtual classrooms</p>	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
2:30PM-3:30PM	Library Services	FA	<p>Vicente Gilos</p> <p>Venue: VSU Library</p>	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3

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Date / Time	Organizational Unit and Processes M-F 8-5pm with 1-day WFH	Auditor/ Abbrev.I	Interviewee	Standard Chapter
3:00PM-4:30PM	Research and Development including Extension Services	JM	Dr. Antonio B. Abamo, Rosa Ophelia D. Velarde, Alan B. Loreto, Center Directors - R&D and Extension Office In-Charge Venue: RDE Hall	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
3:30PM-4:30PM	Registrar Services	FA	Marwen Castañeda Venue: Registrar's Office	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
4:30PM-5:30PM	Supply and Procurement Services (including Control of Externally Provided Processes, Products and Services), and Property Management	FA	Jessamine Ecleo (Procurement) Alice Flores (Property Management) Venue: Supply Office	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
4:30PM-5:30PM	Guidance and Testing	JM	Prof. Manolo B. Loreto, Chona Brit, Mary Ann Cobico Venue: USSO	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
5:30PM-6:00PM	Auditor's Time - Report Writing			
6:00PM	End of Day 1 Audit			
05 FEBRUARY 2021 – FA, JM > 100% REMOTE AUDIT				
9:00AM-10:30AM	Facilities Management/ General Services - Utilities, Security Services Information and Technology Office	FA	Marlon Burlas Julius Abela Venue: PPO Ulderico Alviola, Jed Asaph Cortes, Sean Villagonzalo, Norman Villas	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3

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Date / Time	Organizational Unit and Processes M-F 8-5pm with 1-day WFH	Auditor/ Abbrev.I	Interviewee	Standard Chapter
			Venue: MMDC Building	
9:00AM-10:30AM	Planning and Development including Resource Generation Office	JM	Dr. Dilberto Ferraren, Daniel Leslie S. Tan, Toni Marc Dargantes, Planning and Development Office In-Charge Venue: ODQA	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
10:30AM-12:00NN	Risk and Opportunity Management; and Customer Satisfaction; Customer Feedback; Handling of Complaints	FA	Daniel Leslie S. Tan, Toni Marc Dargantes, Gideon Neil D. Tan Venue: ODQA	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
10:30AM-12:00NN	Health Services – Medical and Dental Services	JM	Dr. Elwin Jay Yu, Dr. Merry Christ'l Guinocor, Zarlene Compendio Venue: VSU Hospital/USHER	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
12:00NN	LUNCH BREAK			
1:00PM	Follow-Up of Open Items	TÜVR Audit Team		
2:00PM	Consolidation of Audit Findings, Report Preparation	TÜVR Audit Team		
3:30PM	Closing Meeting	TÜVR Audit Team	Top Management, Management Representative, Process Owners Venue: ODQA	Presentation of Audit Findings
5:00PM	End of Audit			

In case of an audit team the documentation of evidence must be made separately (exception top management). Adequate contact persons in the company must be mentioned in the audit plan.

As per the contract, all work documents are treated confidentially and are stored securely.

Distribution for the client:

(Established by the client)

Distribution for the audit plan:

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☒ Client

☒ Certification Body (Bodies)

☐ Auditor/Expert

☒ Database