



Management Service

## Action List

Organization name	PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY
Standard(s)	ISO 9001:2015
Order No.	724611280
Audit start date	2021-07-01
Audit end date	2021-07-02
Audit type	2. Surveillance Audit (Extraord. Event (IAF)) (ISO 9001:2015)
Certification type	Multiple Site
Identification No.	389949-01



## Classification of Audit Findings

An audit cannot cover each and every detail of the management system. Therefore, there may still be nonconformities not addressed by the auditors in the closing meeting or the audit report. Audit results are always evaluated on the basis of the following classification:

**Nonconformity (NC):**

Failure to fulfill one or more requirements of the management system standard, or a situation that raises significant doubts about the capability of the customer's management system to achieve its intended results. The auditor verifies in a re-audit that the nonconformity has been effectively closed.

**Minor nonconformity (MiN):**

In individual cases, some of the requirements of the management system standard are not fulfilled completely. However, this does not affect the capability of the management system to achieve the intended results.

**Opportunity for improvement (I):**

The requirement of the Standard has been effectively implemented, but system performance regarding the relevant requirement offers room for improvement in terms of effectiveness and efficiency. Implementation is recommended.

**Positive aspects (P):**

Positive aspects of the management system meriting special mention.

Evaluation	Submission of corrections and corrective actions	Implementation of corrective actions
Opportunities for improvement (I):		Implementation only recommended
Minor nonconformities (MiN)	Within 14 calendar days	By the next audit at the latest Verification in the next audit
Nonconformities (NC)	Within 14 calendar days	Within 90 calendar days Verification by re-audit

Note: Deadlines must be met in order to ensure the status of certification.

All elements in each clause of the Standard(s) were found to be "in conformity/effective" except for those elements of the Standard for which this document includes nonconformities or minor nonconformities.





## Nonconformities

All audit results gathered by the audit team during the audit (certification audit, special audit, change audit, recertification audit, re-audit, surveillance audit) shall be listed in the table below.

No.	1	Standard:	ISO 9001	Type:	MIN
Site:	389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,				
Clause no.	9.2	Process / area:	Internal Audit		
Audit results: (filled out by auditor)	Finding:	Lapses noted in the conduct of internal Audit. It was not evidently supported that Internal Audit is fully conducted.			
	Evidence:	No evidence to show that the following clauses / elements were audited in: Research and Development -No evidence of conduct of audit and result - 8.1, 8.2, 8.3, 10.1, 10.2, 7.5 Dairy Farm -No evidence of conduct of audit and result - 4.1, 4.2 , 6.1, 6.2, 10.2, 8.5.1, 8.5.2, 8.5.4, 8.5.5			
Action: (filled out by organization)					
Correction: (immediate)	Lead auditor to develop a new audit checklist for the auditors re audit R&D of following clauses 8.1,8.2, 8.3,10.1,10.2 and 7.5 and Dairy Farm audit on the following clauses 4.1,4.2,6.1,6.2,10.2,8.5.1,8.5.2,8.5.4,8.5.5 to be scheduled by				
	when ?	July 26,2021	who ?	Auditors assigned by IQA lead auditor and Lead auditor	
Root cause: (Why did the nonconformity occur; no repetition of the finding)	Why ? The auditors of R&D and DF not yet familiar with audit process limited familiarization of the new IQA procedure.Why ? Completeness of audit checklist was not checked by Team leader to determined auditors incomplete output and demand compliance.				
Corrective: (action to avoid repetition of root cause)	To conduct a refresher course on IQA process and RCA to make that all auditors and auditees are aware of the importance in the quality management system. This include to the review and change in the SIR form to include OB and OFI action				
	when ?	July 26,2021	who ?	Lead auditor, All Deputy QMR, Document Control officer, Quality Management Representative,Top management	
Auditor's decision of correction and corrective action: (filled out by auditor)					
Correction:	Date:		Effective (E) / Accepted (A)	Evidence of implement ation:	





Corrective:	Date:	Effective (E) / Accepted (A)	Evidence of implementation:
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No.	2	Standard:	ISO 9001	Type:	MIN
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Site:	389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,				
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Clause no.	6.1.2	Process / area:	CBED - Management Team		
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Audit results: (filled out by auditor)	Finding:	Lapses noted in conducting risk assessment this 2021.			
	Evidence:	Risk assessment not conducted for CBED. Latest was still Dec 2020.			

Action: (filled out by organization)

Correction: (immediate)	conduct of CBED ROA reassessment of the processes step by step description of issue and descripn of risk, use the criteria in thr rating of occurrence, severity and presence of control measures for occurrence and severity, review the effectiveness of defined RTAP last 2020 and revise the MRTAP for 2021 to focus on moderate issues, the resources needed like people and infrastructures and remarks for on going actions, action to be taken for 2021 and completed and improvements done in 2020. Reassessment form, MRTAP shall be signed by CBED Coordinator as ROA process owne and/ QMR as reviewer and approval and signature of the Center Director and to provide a copy to the QMR for monitoring and records for documentation.				
	when ?	July 6, 2021	who ?	Management Team led by QMR and Deputy QMR of CBED	

Root cause: (Why did the nonconformity occur; no repetition of the finding)	Former Coordinator FP Aginaldo had her last assessment of CBED ROA December 2020. The new CBED Coordinator not yet familiarized with the procedure of ROA re-assessment.				
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Corrective: (action to avoid repetition of root cause)	Management Team to help the new coordinator RRG Gabriel in conducting ROA assessment and monitoring RTAI				
	when ?	December 6, 2021	who ?	Top Management, Management Team led by QMR and Deputy QMR of CBED	

Auditor's decision of correction and corrective action: (filled out by auditor)





Correction:	Date:		Effective (E) / Accepted (A)		Evidence of implement ation:	
Corrective:	Date:		Effective (E) / Accepted (A)		Evidence of implement ation:	

No.	3	Standard:	ISO 9001		Type:	Min
Site:	389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,					
Clause no.	10.2	Process / area:	Management Team			
Audit results: (filled out by auditor)	Finding:	Unmet target did not undergone corrective action process.				
	Evidence:	Target: 60 % Dairy Farm operation herd pregnancy rate Actual: 42. 86 %				
<b>Action: (filled out by organization)</b>						
Correction: (immediate)	QMR to issue SIR to RMLabindao and ECParaguison of Dairy Farm and Top Management for not under going corrective action for records of pregnancy rate in 2020 resulting to high targeted herd pregnancy rate of 60% despite memo from GIP that pregnancy rate for all centers was greater or equal to 40%.					
	when ?	July 6,2021	who ?	QMR		
Root cause: (Why did the nonconformity occur, no repetition of the finding)	DPCR target was 60% in 2020. However, recommended pregnancy rate for all PCC Center was greater than or equal to 40%. The actual pregnancy rate as recommended last January was not given to Dairy Farm for adjustment of targets after January 2020 resulting in the retainment of 60% in 2021. Evidence attached (Memo from EBFlores- National GIP Coordinator)					
Corrective: (action to avoid repetition of root cause)	Effective July 7, 2021 pregnancy rate to be followed by PCC at CLSU Dairy Farm will be 50% for cows and 40% for heifers. Top Management and Management team will conduct regular monitoring of the MFO targets.					
	when ?	Assessment semi-annual, December 3, 2021	who ?	Top management, Quality Management Representative, Document Control Officer, Deputy QMR of GIP and Dairy Farm Operation.		
<b>Auditor's decision of correction and corrective action: (filled out by auditor)</b>						
Correction:	Date:		Effective (E) / Accepted (A)		Evidence of implement ation:	





Corrective:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:
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No.	4	Standard:	ISO 9001	Type:	MIN
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Site:	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				
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Clause no.	9.1.2 / 6.2	Process / area:	Forage and Pasture		
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Audit results: (filled out by auditor)	Finding:	It could not be established that customer satisfaction survey is being consistently implemented which is one of the quality objective targets of the unit.			
	Evidence:	No evidence presented for Customer Satisfaction Survey for 2020. The organization is still at its planning stage for the conduct of survey for 2021.			

Action: (filled out by organization)

Correction: (immediate)	QMR to issue SIR for the unmet target of the Forage and pasture unit. Forage and pasture develop a CSS form(PCC-CLSU-FOR- QC-01F3 for use in the satisfaction survey.				
	when ?	July 7, 2021	who ?	Forage and Pasture Staff and CBED and CBBIN personnel	

Root cause: (Why did the nonconformity occur; no repetition of the finding)	Why Forage and pasture services did not have CSS? It was not included in the quality plan of forage and pasture but overlooked the charter objective of the unit.				
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Corrective: (action to avoid repetition of root cause)	Forage and pasture services shall have a CSS survey for every client served with forage planting materials and seeds and previous CBED and CBINN clients. Training and information unit to collect CSS and with QMR for quarterly assessment during management review and mancom meeting.				
	when ?	Every service completion (provision of free planting	who ?	Forage and Pasture and CBED CBBIN Staff	

Auditor's decision of correction and corrective action: (filled out by auditor)

Correction:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:
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Corrective:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:
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No.	5	Standard:	ISO 9001	Type:	MIN
Site:	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				
Clause no.	6.1	Process / area:	Various Areas - GIPartificial Insemination - National Bull Farm - Forage and Pasture		
Audit results: (filled out by auditor)	Finding:	It could not be established that the scheduled review to check on the effectiveness of actions taken to address the risks is being consistently implemented.			
	Evidence:	Last review of GIP-AI and Forage and Pasture was still last June 17, 2020. For National Bull Farm, last review was still last June 18, 2020			
Action: (filled out by organization)					
Correction: (immediate)	Conduct of annual ROA re- assessment in all areas (18 units) effective July 6,2021				
	when ?	July 6,2021	who ?	Top management, Quality Management Representative, Document Control Officer and Deputy QMR	
Root cause: (Why did the nonconformity occur; no repetition of the finding)	ROA risk assessments June 3 and 4 2021 and June 23,2021 postponed due to covid protocol on the occurrence of positive personnel and series of office lockdowns during the period. Some units have done the annual ROA re-assessment				
Corrective: (action to avoid repetition of root cause)	Follow the ROA re-assessment annual or as needed by the unit and management( reference revised ROA system procedure and revised forms )				
	when ?	July 6,2021 and December 3,2021	who ?	All business process owners	
Auditor's decision of correction and corrective action: (filled out by auditor)					
Correction:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	
Corrective:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	





No.	6	Standard:	ISO 9001	Type:	MIN
Site:	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				
Clause no.	7.5	Process / area:	QMR		
Audit results: (filled out by auditor)	Finding:	It could not be established that the documents control system for revision of documents is being consistently implemented.			
	Evidence:	The Procedure for Risk and Opportunity Assessment, PCC-CLSU-QMS-SP-02, Rev. 0 with effectivity date of January 3, 2019 had already revisions in 2020 but still, the amendment code is still revision 0. Changes were for the process statement for Step 3 of form being used, that was a separate colum for issue and risk.			
Action: (filled out by organization)					
Correction: (immediate)	Revision of System procedure and the forms being used (PCC-CLSU SP - 04F01) to comply with process requirement				
	when ?	July 6,2021	who ?	Document Control Officer and QMR	
Root cause: (Why did the nonconformity occur; no repetition of the finding)	Revision of the ROA forms. Management team was fully accommodated with the suggested improvements identifying issue from risk of not addressing the issue				
Corrective: (action to avoid repetition of root cause)	Registration of revised form ( PCC-CLSU -SP-02F01) revision 1 in all scheduled ROA sssessments n 2021 and onwards unless there are more improvements in the succeeding ROA				
	when ?	July 5,2021	who ?	Document Control Officer and QMR and Top management	
Auditor's decision of correction and corrective action: (filled out by auditor)					
Correction:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	
Corrective:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	
No.	7	Standard:	ISO 9001	Type:	MIN
Site:	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				





Clause no.	6.2 /10.2	Process / area:	Forage and Pasture		
Audit results: (filled out by auditor)	Finding:	It could not be established that unmet targets are being consistently subjected root cause analysis and corrective actions.			
	Evidence:	Objective/ Target Actual Performance Herbage Production of more than 30 tons/ha/year Actual yield at NBF was 17,878 60 kgs seeds collected per ha for Bracharia Ruzizienses Actual seed collected was 24 kgs			
Action: (filled out by organization)					
Correction: (immediate)	Conduct of RCA in the target objective of the Forage nd Pasture unit on quality objective				
	when ?	July 5,2021	who ?	Top management, Management Team led by QMR and Deputy QMR of Forage an pasture	
Root cause: (Why did the nonconformity occur, no repetition of the finding)	Low herbage yield was caused of poor regrowth attributed by forage fire in April 2020 followed by long dry season. Similar issues in the low seed yield out of the seed production area at the National Bull Farm in 2020. Charter objective was not included in MFO and action plan of the forage and pasture				
Corrective: (action to avoid repetition of root cause)	Include the charter objective on herbage yield target of 30 ton/ha / year and seed production of at least 60 kg/ha/year in the <i>Brachiaria ruziziensis</i> in the target MFO of the unit. Establish fire break at onset of dry season in November 2021 and conditioning of soil by carabao manure and inorganic fertilizer application. (Reference forage and pasture action plan 2021.)				
	when ?	July- Dec 2021	who ?	Forage and Pasture and National Bull Farm	
Auditor's decision of correction and corrective action: (filled out by auditor)					
Correction:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	
Corrective:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	
No.	8	Standard:	ISO 9001	Type:	Min
Site:	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				
Clause no.	8.1	Process / area:	Forage and Pasture		





Audit results: (filled out by auditor)	Finding:	It was noted that there was no Forage Production Plan prepared for 2021 as required by the system described in the Quality Control Plan for Forage and Pasture, PCC-CLSU-FOR-QC-01			
	Evidence:	No evidence presented			

## Action: (filled out by organization)

Correction: (immediate)	Develop and register the forage production action plan form ( PCC -CLSU -FOR -QC-01F2) and fill up plan of activities				
	when ?	July 7,2021	who ?	Head of the Forage and Pasture Unit	
Root cause: (Why did the nonconformity occur, no repetition of the finding)	Inconsistent practice of preparation of forage production plan for the NBF.				
Corrective: (action to avoid repetition of root cause)	Prepare the Forage production Action Plan for the National Bull Farm and implementation.				
	when ?	July 8,2021 to Dec. 3, 2021	who ?	Head of the Forage and Pasture Unit.Farm Heads,Top management and QMR	

## Auditor's decision of correction and corrective action: (filled out by auditor)

Correction:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:
Corrective:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:

No.	9	Standard:	ISO 9001	Type:	MIN
Site:	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				
Clause no.	7.1.5	Process / area:	National Bull Farm		
Audit results: (filled out by auditor)	Finding:	Calibration of Weighing Scale was still done last December 3, 2018. It was also noted that there was no calibration plan prepared so as frequency of calibration will be determined for all measuring equipment of the organization. Supporting audit evidence: No calibration certificate presented for 2019, 2020 and 2021.			





	<b>Evidence:</b>	No calibration certificate presented for 2019, 2020 and 2021.
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**Action: (filled out by organization)**

<b>Correction:</b> (immediate)	Calibration of the weighing scale soon as service provider is allowed entry to CLSU and NBF		
<b>when ?</b>	August 30,2021	<b>who ?</b>	External Service Provider ABC Biomedic

<b>Root cause:</b> (Why did the nonconformity occur; no repetition of the finding)	Lockdown in most of calibration service providers due to covid protocol resulting to restricted mobility of qualified external service provider until the MEGCQ was lifted in Nueva Ecija
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<b>Corrective:</b> (action to avoid repetition of root cause)	Extension of the calibration interval (validity of external calibration certification ) of weighing scale to 3 years in the new normal and resumption of internal calibration effective 2021 when needed.		
<b>when ?</b>	July 8,2021 to Dec. 3	<b>who ?</b>	NBF and all units with equipment requiring calibration

**Auditor's decision of correction and corrective action: (filled out by auditor)**

<b>Correction:</b>	<b>Date:</b>		<b>Effective (E) / Accepted (A)</b>		<b>Evidence of implementation:</b>
<b>Corrective:</b>	<b>Date:</b>		<b>Effective (E) / Accepted (A)</b>		<b>Evidence of implementation:</b>

<b>No.</b>	10	<b>Standard:</b>	ISO 9001	<b>Type:</b>	MIN
<b>Site:</b>	389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,				
<b>Clause no.</b>	8.5.1 / 6.1	<b>Process / area:</b>	Milk Product Processing		
<b>Audit results:</b> (filled out by auditor)	<b>Finding:</b>	There is a need to review the Quality Plan in light of the following: - not all activities considered critical for the process was captured in the Quality Plan - an activity for raw milk verification was described under milk processing activity leading to confusion. - some critical issues not yet considered during risk analysis			





	<b>Evidence:</b>	<p>1. Quality Plan for Milk Processing, PCC-CLSU-PPM-QC-01, Rev. 1, March 5, 2019 did not include yet the following activities:</p> <ul style="list-style-type: none"> <li>- Final product and testing inspection activities</li> <li>- Water analysis activities</li> </ul> <p>2. The monthly sampling for raw milk and raw milk evaluation was put under the processing step of milk products.</p> <p>3. The issue on water quality was not yet captured in the Risk &amp; Opportunity Assessment</p>
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**Action: (filled out by organization)**

<b>Correction:</b> (immediate)	Immediate revision of the processes identified in the Quality Plan PCC -CLSU PPM-QC-01 Rev. 1 March 5,2019 as revision 1 of the processes. Revised ROA of milk processing to include the process water analysis as an issue for regular risk assessment		
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<b>when ?</b>	August 15,2021	<b>who ?</b>	Head of the milk processing plant and sub unit head as process owner, reviewed by QMR and approved by Top management.
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<b>Root cause:</b> (Why did the nonconformity occur; no repetition of the finding)	No review of quality plan processes since 2019. Review of the quality plan was postponed to November 15 to 17,2021		
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<b>Corrective:</b> (action to avoid repetition of root cause)	Implementation of the revised processes in the quality plan and re-assessment of water analysis in the revised ROA to make sure the removal of non-conforming processes in the processing plant		
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<b>when ?</b>	September 1,2021	<b>who ?</b>	Head of the milk processing plant and sub unit head as process owner, reviewed by QMR and approved by Top management.
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**Auditor's decision of correction and corrective action: (filled out by auditor)**

<b>Correction:</b>	<b>Date:</b>		Effective (E) / Accepted (A)		Evidence of implementation:
<b>Corrective:</b>	<b>Date:</b>		Effective (E) / Accepted (A)		Evidence of implementation:

<b>No.</b>	11	<b>Standard:</b>	ISO 9001	<b>Type:</b>	MIN
<b>Site:</b>	389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,				
<b>Clause no.</b>	6.1	<b>Process / area:</b>	Dairy Farm		





Audit results: (filled out by auditor)	Finding:	It was noted that treatment plans were not indicated in the ROA for some Moderate risks evaluated as required by the system.			
	Evidence:	Moderate risks evaluated for the process related to machines and equipment, Risk & Opportunities Assessment for Dairy Farm, effective June 17, 2020.			
Action: (filled out by organization)					
Correction: (immediate)	Annual Assessment of the ROA of the Dairy Farm Operation process of machine and equipment				
	when ?	July 6,2021	who ?	Head of the Dairy Farm, Top management and management Team	
Root cause: (Why did the nonconformity occur; no repetition of the finding)	Previous re- assessment of quality plan and ROA of the dairy farm showed that machine and equipment management were under the process of forage and pasture of the Dairy Farm. External audit last December (30% onsite) suggested separation of forage and pasture activities because it has separate quality plan. the process was included in the forage and pasture to be extracted the reason why there was no treatment done in 2020.				
Corrective: (action to avoid repetition of root cause)	Revision of the Dairy Farm quality plan to extract processes of forage and pasture and retain preventive maintenance of the machine and farm implements.				
	when ?	November 15 to 17,2021	who ?	Farm manager of DF, top management and management Team	
Auditor's decision of correction and corrective action: (filled out by auditor)					
Correction:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	
Corrective:	Date:		Effective (E) / Accepted (A)	Evidence of implementation:	

- Note 1: Corrections / immediate actions (C) are a rapid solution to close the finding of nonconformity (NC) or (MiN)
- Note 2: Root cause analysis is mandatory for major nonconformities (NC) and minor nonconformities (MiN)
- Note 3: Corrective actions (CA) serve to eliminate the root cause (RC) and not the finding
- Note 4: In the case of major nonconformities (NC) the effectiveness (E) of the corrective action (CA) has to be confirmed. In the case of a minor nonconformity (MiN), corrective actions have to be accepted (A).
- Note 5: In the case of major nonconformities (NC), the effectiveness of the corrective action (CA) shall be verified during a re-audit.





Table with multiple columns and rows, mostly containing faint or illegible text. The table structure is complex with varying cell widths and some highlighted areas.



## Opportunities for improvement and positive aspects

No.	Standard	Clause no.	Type	Area / Process	Statement
1	389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,				
	ISO 9001	7.3	I	HR	The orientation to QMS / Quality Policy and Quality Objectives of newly hired employee, Mr. KV Magalong will be checked in the next audit.  Action Item
2	389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz, 389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				
	ISO 9001	6.1	I	Various Areas	May consider to review the ratings/ scores given for Occurrence and Severity ensuring these are aligned with the criteria set, case in points, for the issue of delayed AI due to lack of personnel where the risk is non-attainment of AI targets, Occurrence is still the same in spite of control already rated as 1 and severity has changed even with same risk. Same case for the scoring of delayed procurement of corn forage.  Action Item
3	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				
	ISO 9001	6.2.1	I	GIP -AI	Finding: May consider to review some targets which are already very achievable for sometime and set more challenging targets for improvement, case in point, 80% target for the monitoring of Calf Drop at AI, actual performance for 2019 and 2020 are 100%, but target is still 80 %
	389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,				





No.	Standard	Clause no.	Type	Area / Process	Statement
4	ISO 9001	6.2	I	NBF	Finding: May consider to review some targets and if already very attainable, set more challenging figures for improvement, case in point, mortality rate of 5%, actual has always been 0 for several years already,
389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,					
5	ISO 9001	6.1	I	Forage and pasture	Consider to always write the risk of the issue, e.g., for the issue of untimely malfunction of equipment and tractor - has to highlight that the results of unmet daily supply of forages from the pasture which could affect quality of semen extracted and not being able to meet the target Issue on delayed of the procurement of corn forage, risk describe is only low forage intake - should also highlight that it could affect quality of semen extracted and not being able to meet the target Weather condition/ Natural Calamities not yet considered as an issue- Ulysses had impact in the non-achievement of targets  Action Item
389951-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3123 Nueva Ecija, National Bull Farm, Barangay Joson (Digdig), Carranglan,					
6	ISO 9001	8.5.1	I	Forage and pasture	May consider to review quality plan and ensure documented information described are consistent with the ones being used in actual, e.g., indicated Forage Production Logbook in quality plan but actual form used is Forage Development Activity Logbook.
389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,					
7	ISO 9001	8.5.1 / 9.1	I	Milk processing	Finding: May consider to indicate the specification or tolerance of the parameters being inspected for raw milk in the Raw Milk Receiving Logbook, e.g., pH has spec of 6.6 - 6.8 or TAT requires 0.13 - 0.17 for easy reference.





No.	Standard	Clause no.	Type	Area / Process	Statement

389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,					
8	ISO 9001	6.2	I	Research and Development	<p>To be checked during next visit the review the statement of the quality objective targets for clarity of the timeline if research outputs are required every year for the 5 areas of research, is it at any given time, there is research conducted, to avoid confusion. No specific target yet for the timely accomplishment of research based on scheduled timeline.</p> <p>Action Item</p>

389949-01 PHILIPPINE CARABAO CENTER AT CENTRAL LUZON STATE UNIVERSITY, Republic of the Philippines - 3120 Nueva Ecija, Dairy Farm, CLSU Compound, Science City of Muñoz,					
9	ISO 9001	6.1	I	Research and Development	<p>To be checked during next visit the review of ROA of the unit since noted that some risks described are not risks at all but issues and issues are not clearly described why it was considered as an issue, what is the concern why it is an issue.</p> <p>Case in point, calamities considered as risk</p> <p>Review of the objective and output of student research considered as an issue, but the concern is actually some proposals do not undergo review/ evaluation by the TWG due to adviser's decision to proceed immediately the implementation at the farm level, not following the system.</p> <p>Action Item</p>



## General

If Minor nonconformities identified in the last audit are not closed in an acceptable manner, they must be rated as Nonconformities (re-audit required).

### Information on findings management in sampling and multi-site certification

The management representative of the management system must check whether systematic corrective actions to close a root cause can be applied in a preventive manner to other affected sites. This is required for findings from internal and external audits.

In sampling certification, the TMS auditor will select and audit other sites in the next audit cycle and consequently cannot verify on site the effectiveness of the corrective actions from the last audit cycle.

Given this, during the next internal audits carried out at the sites concerned, the management representative of the management system must verify on site the effectiveness/acceptance of the corrective actions taken to address **Nonconformities, Minor nonconformities and Opportunities for improvement**, if any.

The results must be recorded and submitted to the TMS auditor at the next audit to ensure the auditor can verify the effectiveness of the corrective actions initiated.

### Note to customer

When a nonconformity occurs:

- determine if similar nonconformities exist or could potentially occur throughout the management system, or if this is only a singular case
- review the effectiveness of the corrective actions internally (e.g. internal audits)
- update risks and opportunities determined during planning, and their corresponding actions