



Management Service

Action List

Organization name	Philippine Carabao Center at La Carlota Stock Farm
Standard(s)	ISO 9001:2015
Order No.	724611418
Audit start date	2021-05-03
Audit end date	2021-05-03
Audit type	2. Surveillance Audit (Extraord. Event (IAF))
Certification type	Single
Identification No.	386274-01

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:	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,			
Clause no.	9.2 (9K)	Process / area:	Internal Audit	
Audit results: (filled out by auditor)	Finding:	It cannot be ensured that processes are audited at certain clauses as the checklist presented were either blank or lacking information to provide evidence.		
	Evidence:	Audit Checklist for BL and AI		
Action: (filled out by organization)				
Correction: (immediate)	Review all submitted checklist and ensure that all clauses were covered and information gathered during the audit is documented.			
	when ?	05/17/2021	who ?	IQA Team
Root cause: (Why did the nonconformity occur; no repetition of the finding)	Unawareness of assigned auditor regarding the use of checklist. Although all criteria/requirements in the process were audited, in the auditor's understanding, only clauses with findings (NC, PP, or OFI) will reflect in the checklist.			
Corrective: (action to avoid repetition of root cause)	Quarterly meeting of IQA Team to review and discuss the Internal Quality Audit Procedure			
	when ?	June 30, 2021	who ?	IQA 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 implement ation:
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No.	2	Standard:	ISO 9001	Type:	Min
Site:	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,				
Clause no.	10.2 (9K)	Process / area:	Corrective Action		
Audit results: (filled out by auditor)	Finding:	Lapses in the review of effectiveness of actions taken on internal audit findings. Noted that in non conformance finding, evaluation of effectiveness was already done and was already closed but the evidence showed that only correction was implemented and not the proposed corrective action.			
	Evidence:	System Improvement Report (SIR) # 2020-1-MMJ-01			
Action: (filled out by organization)					
Correction: (immediate)	Review the System Improvement Report of the previous audit and ensure that the proposed corrective action was implemented prior to closing of the audit findings.				
	when ?	May 17, 2021	who ?	IQA Team	
Root cause: (Why did the nonconformity occur; no repetition of the finding)	Lack of awareness in proper verification and evaluation of effectiveness of actions taken.				
Corrective: (action to avoid repetition of root cause)	Quarterly meeting of IQA Team to review and discuss the Internal Quality Audit Procedure and discuss status of the previous audit findings.				
	when ?	June 30, 2021	who ?	IQA Team	
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:	
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No.	3	Standard:	ISO 9001		Type:	Min
Site:	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,					
Clause no.	8.3 (9K)	Process / area:	Research and Development			
Audit results: (filled out by auditor)	Finding:	Noted lapses in the design and development of products and services as there were no evidences provided to support the following: 1.Design and development planning 2.Design and development inputs 3.Design and development controls 4.Design and development outputs 5.Design and development changes				
	Evidence:	Completed research- Carabao Artificial Insemination services turn-out through monetary incentives of AI technicians in Negros Island				
Action: (filled out by organization)						
Correction: (immediate)	Establish and provide evidences for design and development for planning, inputs, controls, outputs and changes.					
	when ?	May 31, 2021	who ?	Eva C. Rom		
Root cause: (Why did the nonconformity occur; no repetition of the finding)	Auditee was unaware or lack of understanding of the existing QCP					
Corrective: (action to avoid repetition of root cause)	Auditee should enhance awareness and understanding through more trainings and refresher courses about the practice and implementation of the QCP.					
	when ?	June 30, 2021	who ?	Eva C. Rom		
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.	4	Standard:	ISO 9001		Type: MiN
Site:	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,				
Clause no.	8.4.1 (9K)	Process / area:	Procurement		
Audit results: (filled out by auditor)	Finding:	Noted inconsistencies in the control of ensuring that externally provided products and services conform to the requirements			
	Evidence:	Quantity of the items received and inspected did not match the quantity indicated in PO, PR, etc. Item: Dairy Concentrate Supplier: Vitarich			
Action: (filled out by organization)					
Correction: (immediate)	Conduct meeting and make corrections in the Request Issue Slip and Inspection and acceptance Report as to correct quantity delivered based on Purchase Request, Purchase Order and Delivery Receipt.				
	when ?	May 17, 2021	who ?	In-Charge in General Administrative, Finance and Support Services.	
Root cause: (Why did the nonconformity occur; no repetition of the finding)	Lack of awareness in proper inspection procedure of delivered items.				
Corrective: (action to avoid repetition of root cause)	Assign Support Staff (Bookkeeper) to double check correctness of all supporting documents in the procurement of center's supplies & materials.				
	when ?	June 30, 2021	who ?	In-Charge in General Administrative, Finance and Support Services.	
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:
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- 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.

Opportunities for improvement and positive aspects

No.	Standard	Clause no.	Type	Area / Process	Statement
1	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,				
	ISO 9001	7.1.5 (9K)	I	Calibration- MR Inputs	Calibration of the 3 weighing scales will be checked next audit. Noted that these were already communicated to DOST, which calibrates these items
2	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,				
	ISO 9001	10.2 (9K)	I	Corrective Action	Checking of the newly issued SIR for the unmet targets will be checked next audit. Noted that an initial SIR were issued, however, the actions taken were not effective thus update on actions is needed.
3	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,				
	ISO 9001	9.1.1 (9K)	I	CBED	May consider indicating the status of each animal or type of service for each animal, e.g. AI activity, in the Reproductive Performance Monitoring Form
	386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,				



No.	Standard	Clause no.	Type	Area / Process	Statement
4	ISO 9001	8.5.1 (9K)	I	CBED	<p>To be checked next audit, reports needed from the recipients</p> <p>Breeding report Animal health Milk production</p> <p>Though there are reports for the months of January and March, there were no submitted reports on February for the sampled recipient</p>

386274-01 Philippine Carabao Center at La Carlota Stock Farm, Republic of the Philippines - 6130 Negros Occidental, La Granja, La Carlota City,					
5	ISO 9001	6.1 (9K)	I	Risks and Opportunities	ROA Assessment will be checked next audit. Noted that risk details, existing controls were not adequate or appropriate. Also, consider including the risk from the approval from head office.

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