STAGE 1 AUDIT REPORT

For

CARAGA STATE UNIVERSITY

INTRODUCTION

The objective of a Stage 1 audit is to:

Audit your management system documentation; evaluate your location and site-specific conditions and to determine your readiness for the stage 2 audit; your understanding of the requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system; to discuss and agree the scope of your management system, processes and location(s) and related statutory and regulatory aspects (where applicable)and associated risks, etc.); to plan the Stage 2 audit and establish planning arrangements for internal audit and management review and you general readiness for the Stage 2 audit.

Track No:	Company Name		Standard/Criteria
PHI-19475-1-Q	Caraga State University		ISO 9001:2008
Client Contact Person	**Title**	**Number of Employees**	**Date Report Completed**
Dr. Anthony Penaso	SUC President	150	November 29, 2016
Type of Audit	**Audit Start Date**	**Audit End Date**	**Duration (Days x Auditors)**
Stage 1	November 28, 2016	November 29, 2016	2 days x 1 auditor; 1 day x 1 auditor

SCOPE OF REGISTRATION

Provision of Higher Education Program

AUDIT TEAM

Team Leader:	Kevin Castillon	**Signature**	
Code Holder:	Kevin Castillon	**Signature**	
Auditor:	Alrealon Castillon	**Signature**	
Auditor:		**Signature**	
Observer:		**Signature**	
Auditor under training:		**Signature**	
Performance Evaluator:		**Signature**	

In signing this document the Audit team confirms that they have had no involvement with the company under audit in terms of consultancy, training, direct employment etc within the last 2 years and have no other involvement (financial, shareholding or commercial) that could constitute a Conflict of Interest

SITE NAME	ADDRESSES OF COMPANY SITES VISITED	DATE OF EACH SITE VISIT:
CSU	Ampayon, Butuan City, 8600, Philippines	Nov. 28-29, 2016
	Cabadbaran, Agusan Del Norte, Philippines	Nov 28, 2016

AJA REGISTRARS

CONFIDENTIAL AUDIT REPORT – STAGE 1 QUALITY MANAGEMENT SYSTEMS

AUDITORS OVERVIEW

DOES THE COMPANY'S MANAGEMENT SYSTEM ADEQUATELY DEFINE THE CORE PRODUCTION/SERVICE PROCESSES & ACTIVITIES NECESSARY TO JUSTIFY THE REQUESTED SCOPE OF REGISTRATION?

The scope of organizations QMS covers its core and support processes. As part of the its core processes, it includes delivery of instruction, production, research and extension. Delivery of instruction process/procedure is being defined including the preparation of syllabus, TOS, delivery of education, submission of grades, etc. Research covers the research implementation, conduct of patent drafting. Extension covers extension program execution and consultancy extension program. Production covers the resource generation. Support processes includes, planning, admission, registration, registrars, student support processes, academic support processes, purchasing, inventory management, general services, public information, and human resource. Every support processes were provided with corresponding procedures/process flow under its procedures manual.

Do core processes appear to provide products or services that meet customer and applicable statutory and regulatory requirements".	Yes		No		Partly	X

PLEASE PROVIDE DETAILS OF THE CURRENT STRUCTURE OF THE DOCUMENTED MANAGEMENT SYSTEM AND IDENTIFY REVISION STATUS.

1. The Quality Manual is at revision 0 effective on November 18, 2015 while the Procedures Manual is at revision 0 effective on July 1, 2016. All Manuals are reviewed and approved by the QMR and the President, respectively.

2. The Document Control Processes covering the Control of Documents Procedure (PR-DRC-001 Section 22 revision 0 effective July 1, 2016); Records Management Procedure (PR-DRC-002 Section 22 revision 0 effective July 1, 2016); Control of External References Procedure (PR-DRC-003 Section 22 revision 0 effective July 1, 2016).

   The process for Changes and revisions will be followed in accordance to the documented system under Document Control procedure, PR-DRC-001 section 22 rev 0 effective July 1, 2016. The process starts from identifying the need for document using document request form (F-DRF-001) to be approved by the QMR. If approved, update the appropriate QMS-related process. All changes and revisions will be updated using the Document Master List form (F-DRC-002). Obsolete master copy files will be stamped superseded in red ink and is retained for reference throughout the life of the quality system. All forms or documents related to new, changes and revision processes are filled up and properly filed.

3. The organization's QMS structure are the following:

   Quality Manual is at revision 0 effective on November 18, 2015
   Procedures Manual is at revision 0 effective on July 1, 2016
   Forms Manual is at revision 0 effective on July 1, 2016
   All Manuals are reviewed and approved by the QMR and the President, respectively.

Does the documented system cover all areas and sites?	Yes	X	No		Partly	

LEGAL AND REGULATORY REQUIREMENTS
Please identify the primary legislation related to the company's operations and/or products.

The organization is complying to the applicable staturoy/regulatory requirements:

- CHED CMOs
- Civil Service Commissions department orders
- Procurement Act
- DBM circulars
- Board Resolutions

Is the business License current and has the company identified the relevant legal requirements related to their operations?	Yes		No		Partly	

WHAT IS THE CURRENT STATE OF READINESS FOR THE STAGE 2 AUDIT: *A statement is required by the audit team to describe the readiness for the stage 2 audit. This would include the implementation of the management system.*

The organization was able to establish its quality and procedures manual, including the 6 mandatory procedures as well as its operations procedures. Forms were also identified and utilized by the organization. Quality policy was also communicated by the organization to all level of organization. Monitoring on the processes were also conducted.

Was the implementation of the management system sufficient to allow valid stage 2 auditing of representative samples and allow a valid overall assessment of the effectiveness of the management system	Yes	X	No		Partly	

HAVE THE ORGANISATIONAL AND FUNCTIONAL UNITS INVOLVED IN THE GENERATION, IMPLEMENTATION & OPERATION OF THE MANAGEMENT SYSTEM (Including the roles & responsibility of the Management Representative) **BEEN IDENTIFIED AND/OR DEFINED AND ARE THESE IN COMPLIANCE WITH THE STANDARD**	**YES/NO**