

Audit type (standard / Revision):	3. Repeat-Audit (Extraord. Event (IAF)) (ISO 9001:2015)	
Audit date (on site):	2020-11-27 - 2020-11-27 [2020-02-29]	
Company / customer:	PHILIPPINE CARABAO CENTER at Mariano Marcos State University	
Street / P.O. box:	Brgy. Tabug, Batac City	
Zip-Code / state / city:	PH - 2906 Ilocos Norte	
Audit representative:	Mr. Florencio Malicad	
Lead auditor/ auditor:	Eunice Sol Diamante /	
Auditor Reg. No.: (Mainland China only)	NA	
Technical expert/ trainee:	NA / NA	
Interpreter:	NA	
Observer:	NA	
Audit language:	Filipino, English	
Scope of certification:	Implementation of Carabao Development Program thru Genetic Improvement Program, Carabao-based Enterprise Development and Research and Development	
Branch scope (EA/ NACE Code):	EA 01, (EA 34.1)	
Number of shifts audited:	1/1	
Audit time on site (per standard): <i>in hours (h)</i>	PHILIPPINE CARABAO CENTER at Mariano Marcos State University Brgy. Tabug, Batac City PH - 2906 Ilocos Norte	IS O 90 01 (1 6 h)
In the case of multi-site certification , please see attached "Multiple-Site / Sampling (Matrix) Certification Plan" .	Remote audit techniques (Use of ICT): <ul style="list-style-type: none"> ➤ Organization was informed that audit will be conducted via Microsoft Teams application. ➤ Scanned copies of required documents and records were requested to the client prior to audit schedule. This way auditors can do an advance review. ➤ Trial run, where internet connection and capabilities or functions in MS Teams will be tested, was done prior to conduct of remote audit. ➤ Opening and closing meeting will be done via Microsoft Teams and will be attended by concerned personnel. ➤ Each auditor will have separate meetings in MS Teams with their respective auditees per process, as per audit plan. Since I am the only auditor for this audit, only one set up was required. 	

	November 23, 2020	Eunice Sol P. Diamante	
Audit plan agreed:	Date:	Lead Auditor(s)	

Audit plan revised:	Date:		Lead Auditor(s)	
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General information (Hidden text can be printed by: 1) selecting the "Words Option" in the dialog box; 2) select the "Display" option; 3) scroll down to the "printing area"; 4) select "print hidden text"; click "OK"

1.1 Certification scheme

The audit in question has been conducted within: (multiple selections possible)

Single-site certification

Multi-site certification (see Multi-site plan)

Matrix or multi-site certification based on sampling (see Multi-site plan)

Certificate transfer

Combined / integrated certification

Special audit

Migration/ Transition/ Conversion Audit

Others (please add) _____

1.2 Audit objectives

Based on audit criteria, the requirements of the Standard under certification/ audit, the company's internal documented information and the regulations of the certification body, the following audit objectives shall be considered:

- Determination of the extent of conformity of the management system, or those parts applicable of it, with audit criteria.
- Evaluation of the capability of the management system to ensure compliance with applicable statutory, regulatory and contractual requirements.
- Evaluation of the effectiveness of the management system to ensure the client organization is continually meeting its specified objectives.
- Identification of areas for potential improvement of the management system.
- Evaluation of the management's responsibility for the company's policies.
- Evaluation of the links between the standard requirements and the management system requirements.
- Evaluation of the operational control of processes, including internal audits and management review.

1.3 Data processing information:

As course of the audit personal data will be processed. Further details can be found in our "[Data proceccing information for employees of customers and other contractual partners of TÜV SÜD Management Service GmbH](#)" (www.tuv-sud.com/ms/gtc-tcr). Please make this data protection information available to all persons involved in the audit before the start of the audit.

2 Audit Plan

Date (dd/mm/yy)	Time (hour)	Process ^{*)} / Location / Organizational unit	Process owner / company's resp./ individual(s) involved	Audit criteria / clause(s)	Auditor(s))
27/11/20	9:00 – 9:30	Remote location <i>(Presentation of Opening meeting slides through share functions of MS Teams)</i>		Opening Meeting	A
	9:30 - 10:30	Audit Representative from management <i>(Actual interview with the Top management through MS Teams actual audio/video functions)</i>		Verification of docu. info. from/ about the client which influences audit time ¹⁾ - Checking on the number of employees - Checking on the complexity of the processes, etc. Review of the scope of the management system	A
	10:30 – 12:00	Audit Representative <i>(Sending of documents and verification through share functions of MS Teams including actual audio/video interview with the auditees)</i>		- Scope of the relevant legal and other requirements that must be observed - Context and interested parties of the org. - Compliance obligations and evidence of compliance evaluation results - external and internal issues relevant to QMS - Needs & expectations of interested parties	A
	12:00 – 1:00	Lunch Break			

	1:00 – 2:00	Audit Representative		Continuation: - Scope of the relevant legal and other requirements that must be observed - Context and interested parties of the org. - Compliance obligations and evidence of compliance evaluation results - external and internal issues relevant to QMS - Needs & expectations of interested parties	A
	2:00 – 3:00	Audit Representative from management handling IQA and Management Review <i>(Sending of documents and verification through share functions of MS Teams including actual audio/video interview with the auditees)</i>		Availability of docu. info.: - internal audits (Audit plan, audit results and actions) - management reviews (performance data) - evidence of monitoring, measurements, analysis and evaluation results.	A

3:00 – 4:00	<p>Audit Representative from management handling document control and operations</p> <p><i>(Sending of documents and verification through share functions of MS Teams including actual audio/video interview with the auditees)</i></p>		<p>Review of the docu. info. (incl. process map and descriptions)</p> <ul style="list-style-type: none"> • Quality policy • Quality objectives • Processes needed, incl. inputs and outputs, interaction, resources, resp., risks and opportunities • Evidence of competence • Processes for external and internal communications • Control of documented information • Evidence of monitoring, measurements, analysis and evaluation results. • Evidence of handling non-conformities • Other documented information determined by the organization <p>Priorities for the planning of the stage 2 audit</p>	A
4:00 – 5:30			Evaluation of the stage 1 audit results / areas of concern	A
5:30 – 6:00	<p>Remote location</p> <p><i>(Presentation of Closing meeting slides through share functions of MS Teams)</i></p>		Closing Meeting	A
<p>END OF STAGE 1 AUDIT Σ (manhours/mandays) = 8.0 / 1.0</p>				

*) Processes shall reflect the client's current management system;

ISO 50001: A process related to the activities of an organization may be: physical (e. g. energy-using process, such as production process; significant energy uses) or business or service related (e. g. order fulfillment).

Note 1: If Information and Communication Technology (ICT)/remote-Audit techniques are scheduled in the audit plan, the use of ICT/remote-Audit techniques are agreed upon with acceptance of the audit plan.

Note 2: This plan is to be used for every audit after stage 1

3 Hints

The client shall notify the (Lead) Auditor of any significant organizational / headcount changes since the last audit.

3.1 Hints for the auditor(s)

If manufacturing is carried out continuously by means of shift work (e.g. in the chemical industry, metal working, energy production), the change-over of shifts should be covered within the audit. For OH&SMS, at least one of the shifts inside and one outside of regular office hours shall be audited during the first cycle of certification.

Time should be allocated in the plan to discuss the previous audit findings (if applicable).

If performing an integrated audit that includes more than one audit criteria (ISO 9001, ISO 14001, OH&SMS, ISO 50001), the audit plan must clearly show those areas / processes where multiple criteria are being covered at the same time. The time spent auditing each specific criterion also needs to be recorded on the audit plan.

3.2 Hints for the auditor(s) and for the customer

The audit results of the previous two audits must be considered when determining the recent audit topics (e.g. during interview with the responsible personnel for the management system).

Note for OH&S MS Audits – Lead auditor shall ensure:

Management representative shall invite "legally responsible for occupational health and safety" (e.g. Safety officer, Occupier as per factory act, etc.), personnel responsible for monitoring employees' health (e.g. Doctor, Nurse, EHS rep, etc.) for Closing meeting mandatory. Reason in case of absence shall be documented (in list of participants or audit plan) by Lead auditor.

Name of personnel interviewed shall be mentioned in audit question list or audit plan, which shall include at least one member from managers, temporary & permanent employees, contractor's employee, personnel responsible for health & safety (doctor, nurse) (reason in case of remote auditing shall be documented), employee's representative, management with legal responsibility for OH&S (e.g. Safety officer, Occupier, etc.)

3.3 Hints for the customer

Inform the certification body if any additional processes or activities should be included in this audit plan.

The audit team should be provided with the following resources and facilities needed to

conduct an effective audit:

- A room where it can hold meetings and lead discussions
- Special personal protection equipment which goes beyond the auditors' basic equipment (e.g. helmet, safety shoes, safety goggles) must be provided by the client organization.
- Well in advance of the audit, the client organization and the (lead) auditor must agree on any personal protection equipment, emergency response and safety procedures that may be necessary for the audit.
- An audit representative or attendant, if agreed, to accompany the auditors throughout the entire audit
- The company is required to show evidence to demonstrate compliance to objectives mentioned above.
- The company shall notify the Lead Auditor of any significant organizational / headcount changes since the last audit.
- The company shall notify if the audit team should modify the audit plan.
- TÜV SÜD Code of Ethics is available on:
- <http://www.tuev-sued.de/company/tuev-sued-group/code-of-ethics>

Observers:

Observers may be members of the client organization, consultants, witness auditors of the accreditation body, senior auditors of the certification body in charge of monitoring, staff of regulatory authorities or other authorized persons.

The presence of and the reasons for observers during the audit must be approved by the certification body and the client before the start of the audit.

The audit team must ensure that the observers will not disrupt the audit process or influence the audit result.

Attendant(s):

Unless agreed otherwise between the (lead) auditor and the client, every auditor must be accompanied by an attendant to support the audit. The audit team must ensure that the attendants will not disrupt the audit process or influence the audit result.

The responsibilities of an attendant include but are not limited to:

- Establishing the contacts and scheduling interviews
- Organizing visits to specific parts of the site or the organization