

# Initial Report

Company Name : **Bataan Peninsula State University**

Address : **Site 1: Bataan Peninsula State University – Main**  
Capitol Compound, Tenejero, City of Balanga, Bataan, 2100 Philippines  
**Site 2: Bataan Peninsula State University – Balanga Campus**  
Don Manuel Banzon Avenue, Poblacion 2100 Philippines  
**Site 3: Bataan Peninsula State University – Orani Campus**  
Bayan, Orani, Bataan, 2112 Philippines  
**Site 4: Bataan Peninsula State University – Abucay Campus**  
Bangkal, Abucay, Bataan, 2114 Philippines  
**Site 5: Bataan Peninsula State University – Dinalupihan Campus**  
San Ramon, Dinalupihan, Bataan 2110 Philippines

Attention : Dr. Jesselyn Montejo – Director, Quality Assurance

Audit Team : Raquel Abutin (RA) | Zenaida Cruz (ZC) | Fronie Aligway (FA) | Grace Del Rosario (GDR) |  
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Standard/ Audit Type : ISO 9001:2015 | Recertification Audit

Audit Date : February 17-19, 2021

Scope of Certification : **HQ|Site 1,4,5:** Provision of Higher and Advance Education Services, including Research, Extension and Production Services |  
**Site 2-3:** Provision of Higher Education Services, including Research, Extension and Production Services  
**Audit findings**

All information gained during the audit will be treated with strict confidentiality by the auditors and the certification body. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

No.	Unit/Department Site	Positive findings
1	Top Management	The following positive developments are noteworthy: <ul style="list-style-type: none"> <li>• Post-ECQ Continuity Plan that covers Learning Continuity Plan</li> <li>• Adaption of flexible blended learning using GSuite platform, and Institutional Google account for students</li> <li>• Capacitate staffs and faculty, including course pockets and content</li> <li>• Continuous capacity development or Deans and cluster shared services</li> <li>• Digital on-line platform for extension which was recognized by CHED Region III</li> <li>• On-line Research &amp; publication, promotional video for research and extension services</li> </ul>
2	Document Control - Sites 1 and 2	90% of documents were converted to electronic copy during pandemic is commendable.
3	Resources (Property & Procurement / Laboratories / Physical Plant) – Site 4	Acquisition of new equipment and other learning resources are commendable, e.g. farm engines, 3kW electric generators, power sprayers, processing equipment and instruments.

	Office of the Student Affairs – Site 4	<p>Conduct of relevant trainings and seminars in relation to stress debriefing, mental health and others to the students are commendable.</p> <p>Student Organization initiated “Kumustahan on-line” series.</p> <p>Student Help Line to address concerns and any problems of the students is commendable – (an initiative of the Campus Directors through the OCA).</p>
	Campus Library – Site 4	<p>Acquisition of 48 Titles and 161 titles with 164 volumes of books through donations.</p> <p>Received “excellent” rating based on feedback from the majority of the respondents who visited the library.</p> <p>Provision of additional internet service provider.</p>
	Physical Plant & Engineering Services	<p>The following are among the significant improvement including on-going Infrastructure / Physical Plant:</p> <ul style="list-style-type: none"> <li>- Rehabilitation of Old Engineering Building</li> <li>- Completion of Loop (Concreting of 2 km Road Network) with Street Lighting – on-going</li> <li>- Rehabilitation of BSA/BTVTE Building</li> <li>- Construction of BSABE Academic Building</li> <li>- Newly renovated layer house that serves as field laboratory for the students</li> <li>- Provision of tunnel ventilated boiler house that can accommodate almost four thousand heads of boiler</li> <li>- Newly renovated swine project for the actual demonstration of students</li> <li>- 5 newly established lecture rooms at the Animal Science area</li> </ul> <p>Commercialization of soilless culture using BPSU automated production system, funded by DA-BAR , cost of project 5million, date of implementation September 2020.</p> <p>Covid-19 Preparation and Response, including regular campus disinfection and sanitation.</p>
	Extension Services – Site 5	<p>Extension Program – Hope Behind Bars program and its proponent have gained recognitions in its 10 years of implementation, have help thousands of inmates gained livelihood skills and improved lives.</p>
	Public Affairs Office – Site 4	<p>The used of promotional video on covid-19 pandemic prevention protocol and other infographics about BPSU posted on each campus via social media like FB page is praiseworthy.</p>
	Abucay Campus	<p>The following projects and programs are highly notable;</p> <ul style="list-style-type: none"> <li>• ABUKaympu Kitchen Project – a campus initiative to support BPSU Abucay Campus student stranded due to covid-19 pandemic lockdown (ECQ).</li> <li>• PASKUPKOP Project – a fund raising campaign to feed and provide the basic needs to vulnerable students BPSU Abucay Campus students who were not able to go home and go out to claim their allowances and those who do not allowances anymore because their parents were affected with the new normal situation</li> </ul> <p>The production and business enterprise programs that generates additional income or revenue for BPSU Abucay campus like the NUTRIPRADAKS (includes Buko Pie, Coffee products, etc.), Crops (various fruits and vegetables), Live Stocks, Guest House, Training Center Facility, Water Refilling Station, etc.</p>

	Dinalupihan Campus	The new building facility named as Academic Building 3 (one feature of the building is the amphitheater facility) is highly commendable.
	Classroom Observation	BPSU core values on Synergy and Community Spirit is strongly evidenced by support from the Faculty to their Students at the time of pandemic, i.e. Abucay Campus
	MIS Development & Monitoring - Main campus	100% accomplishment vs. Annul Plan is noteworthy.
	MIS/ICTO – site 3 Student Affairs – site 5 Campus Library – site 5	Evaluation of actions to address risks and opportunities can be a benchmark for other processes.

The following recommendations and opportunities for improvement provided by the auditors are intended to contribute to the continuous improvement of the management system. They also serve to eliminate any weaknesses still existing in the organization, ensure management system effectiveness and prevent nonconformities.

No.	Unit/Department Site	Observations and opportunities for improvement
1	Top Management / General all sites	Ensure consistency of implementation of assessment of effectiveness of actions to address risks and opportunities through the proper use of provisions in the Risk & Opportunity Register.  Review the need for Privacy Policy and Privacy Notice as per Data Privacy Act of 2012, and the need for appointment of Data Protection Officer.
	Internal Audit – all sites	There is a need to review and revisit the nonconformity statements, as the requirement, failure, evidence are not clear, but connote only for a specific request. Check for the need for orientation on writing audit findings statements.  'Risk & Opportunity' or 'Similar Nonconformity exist or could possibly exist' provision in the 'Request for Actions' form are not properly utilized.
	Customer Feedback – all sites	Review and revisit for a function to collate and oversee the negative comments or complaint after endorsement to concerned office, obtained via social media, other media.
	Central Administrative Services - HR	Ensure to deploy verification of effectiveness tool for those training initiated by Central HR. This will be checked on the next visit.

	<p>Development, Review, Evaluation and Delivery, including Resource/ Learning Materials Development - All Campus</p>	<p>To verify TOS (Table of Specification) hours allocated/ contact hours delivered, may streamline all documentation used as reference during checking/review by the Deans/Program Chairs. (i.e. Syllabus; Faculty Monthly Work Plan; Monthly Accomplishment Report; Instructional-Learning Materials distribution).</p> <p>There are two versions of TOS (Table of Specifications). Ensure to identify which version is approved for use (e.g. CEA sampled TOS for METD0222 (Sem2 AY20-21) and TOS for ICTC0613 (Sem1 AY20-21)).</p> <p>Ensure to review the following forms: Faculty Work Plan and Faculty Accomplishment Report. These forms share the same interface.</p> <p>There is a need to streamline all forms used for Class Observation. As examined, there were different Class Observation tools from each Campus.</p> <p>Ensure to document all digital learning resources and references in the Syllabus, also, when requiring students to access other platform, may review terms and conditions of use.</p> <p>Ensure availability of syllabi prior to the conduct of Class Observation. Also, may avoid class disruption with intention to request significant documents from Professors (i.e. requesting copy of Syllabus, Learning Modules/Instructional Materials).</p> <p>Ensure to include risk items relative to the current mode of Instructional Delivery.</p>
	<p>Class Observation - Main Campus, Balanga Campus, Orani Campus, Abucay Campus</p>	<p>May need to check conduct of Class Orientation, that includes how the BPSU Vision-Mission and Quality Policy is presented and explained to the students (i.e. Syllabus Week 1 Topic-Content). This is for traceability purposes, since, it is included in the sampled TOS of METD0222 Sem2 AY2020-21.</p> <p>May maximize the Google Meet platform for presenting listed activity/ instruction to minimize students asking for it to be repeated. (FNBC0215 Biochemistry)</p> <p>There is a need to review class management when communication link from the Professor has been cut-off due to power outage. The students were left with no knowledge to what had happened. (E.g. ICT1023 Object Oriented Programming)</p> <p>When presenting resources, ensure availability and/or ease of access by students (E.g. FISH1623 – Reference is “too old, please check its availability”), also, observed reading SMS while class is ongoing.</p> <p>May need to check student attendance from time-to-time especially if “on mute” for a long time.</p> <p>In general, may consider the following:</p> <ul style="list-style-type: none"> <li>• the preparation for students to pose thought provoking questions;</li> <li>• the open-ended questions of consistent quality that allows students time to reflect and respond;</li> <li>• the alignment of questions with the instructional goals of the week’s lesson</li> </ul>
	<p>Research &amp; Development</p>	<p>May review risk item statements to determine if causes/impact can be mitigated within the presented existing controls.</p>
<p><b>Site 1: Main Campus</b></p>		

2	Registrar / Admission & Enrolment	<p>Consider the following, check if can be applied to other processes:</p> <ul style="list-style-type: none"> <li>• Provide separate columns for existing controls and actions to address significant risks</li> <li>• Observe the changes in the risk ratings every after evaluation</li> <li>• Use uniformed format for risk registry.</li> </ul> <p>Aside from IPCR &amp; DPCR, may provide consolidated monitoring summary of quality objectives (e.g. planned vs. actual comparison) for easiness of traceability and evaluation. Consider to apply to other processes and across the university.</p>
3	Student Affairs	<p>May need to improve the traceability of results of objectives by making consolidated monitoring (e.g. planned target vs. actual).</p> <p>May provide detailed Opportunities Register, consider to check with other processes and across the university.</p>
4	Human Resource	May reflect the objective monitoring the quantity (i.e.headcount) for set 100% activity-based completion targets (e.g. 44/44=100%). As sampled objective, Conduct of webinar of non-teaching employees/Target: 100% of target participants/Actual: 100% - but not cited the headcount of teaching employees which already attended the webinar).
5	Procurement	May need to define clearly the criteria in evaluating the performance of external providers of products and services that will be applied by the concerned functions, i.e. procurement, supply and end-user.
6	Campus Library	May conduct a satisfaction survey or feedback gathering from interested parties served by the said function through the virtual library services it has introduced in lieu of the face-to-face approach as a result of the pandemic.
7	Laboratory	The conduct of face to face or actual laboratory activities in addition to the virtual presentations and discussions as preapproved BPSU resolutions to be verified during the succeeding audits.
8	Business Enterprise	May need to ensure timely implementation of planned additional business venture to generate sales income of the BPSU Campus, such as launching of E-load services.
9	Document Control (Sites 1 & 2)	Ensure to put identifications to differentiate the Archive Documents to Active.
	Manufacturing and Production (Site 1 and 2)	Ensure to have a production schedule based on a quarterly calendar of activities presented.
	Security Services	May consider anticipating those risks and opportunities associated with security activities or processes and take appropriate actions as well as the verification of effectiveness on these actions.
	Physical Plant & Engineering Services (Preventive Maintenance)	Revisit the preventive maintenance activities and consider improving the planning and execution activities performed based from the PM guidelines established.
<b>Site 2: Balanga Campus</b>		
	Property & Procurement Office	<p>Ensure to update the Procurement Monitoring Report to measure the performance of the procurement process against the set quality objectives.</p> <p>Ensure to consistently conduct the quarterly performance evaluation of external providers.</p>

	Physical Plant & Engineering Services	<p>Consider establishing Quality Objectives related to the main task of the Physical Plant and Engineering Services. Currently, target has only focused on construction.</p> <p>Consider to define the mitigation to address the risk in the Risk registry. Likewise, ensure additional controls are established to address the significant risks.</p> <p>There is a need to ensure that Covid-19 protocol such as wearing of facemask and Face shield are consistently implemented inside the campus.</p> <p>Ensure to clearly define the frequency of preventive maintenance.</p> <p>Ensure to maintain a copy of the service report as proof of preventive maintenance of vehicles (still awaiting for the Service Reports from external provider). Likewise, ensure to clearly define the frequency of preventive maintenance.</p> <p>Preventive maintenance of generator set will be verified next audit, still under the period of warranty as of the time of the audit.</p>
	Guidance Services	<p>Ensure that the number of counselors to student population is based on an acceptable ratio stated on CMO-09 series 2013.</p> <p>Mental Health Program for students is still on going. The status of the implementation will be verified next audit.</p> <p>Consider to communicate the result of student counselling to the faculty as their guide in implementing flexible learning.</p>
	Registrar	<p>The following have been observed and need to be improved :</p> <ul style="list-style-type: none"> <li>- Ensure to completely fill-out Transcript of Record Log sheet for future reference and basis for quality Objective Performance Monitoring</li> <li>- Need to re-visit and update risk registry based on current risk aligned with the new normal system ( e.g. late posting of grade)</li> <li>- Considering improving manner of monitoring the quality objective to determine level of compliance with respect to target.</li> </ul>
	Student Affairs Services	<p>May also measure student satisfaction survey for other services rendered by the Student Affairs Services. Currently, only counselling service is being evaluated as to the quality of service.</p> <p>Ensure actual accomplishment reflected on the DPCR is the real result of monitoring (e.g. disciplinary action – should be zero).</p>
	Human Resource Management	<p>May consider including training plan completion rate as part of quality objective / DPCR target.</p> <p>Ensure to provide narrative report for all training attended.</p>
	Public Affairs Office	<p>As Risk Registry was presented, consider adding the actions to address risk and opportunity in the risk registry as well as the monitoring of the effectiveness of the action taken.</p>
	Campus Library	<p>Ensure to establish not only objectives but also measurable target to monitor the effectiveness of quality performances.</p>
<b>Site 3: Orani Campus</b>		
	Public Information Office	<p>Though PIO is ad hoc assignment and not a position/designation, ensure to have quality objectives and targets due to its relevance to organization's QMS. This will be check on the next visit</p>

	Supply and Property Management Office	<p>There is a need to ensure the following:</p> <ul style="list-style-type: none"> <li>Persons designated as replacement for retired employees handling purchasing works are properly oriented as to their role and responsibilities prior to deployment.</li> <li>Contractual requirements or service level agreements provision are made available as added basis for the control and evaluation of the performance of service providers, e.g. photocopying service provider.</li> </ul> <p>Performance of services and product providers are evaluated by designated functions (procurement, supply and end-users) accordingly as per policy of the organization.</p>
	Guidance Services	<ul style="list-style-type: none"> <li>The conduct of assessment and psychological examination of applicant student could not be conducted virtually due to in-availability of software to support the said activity of the concerned function. The procurement of the needed software by the 1<sup>st</sup> quarter of 2021 and the implementation by the 2<sup>nd</sup> quarter to be verified during the next audit.</li> </ul> <p>May need to develop a means of verifying the number of students who were able to access the orientation module for students as posted in the social media account of the Orani Campus. This is in addition to the Initial list of students who attended the virtual orientation conducted last Feb. 17, 2021.</p>
	Physical Plant and Engineering Services	<p>There is a need to consider updating the certain general services schedule of cavities in accordance with pandemic or post-pandemic level, e.g. clearing and garbage collection.</p> <p>Update deployment schedule of PPES personnel in the 2 campuses of BPSU-Orani considering the changes in the list of available staff.</p>
	Business Enterprise	<p>May need to consider conducting an analysis and evaluation of the un-achieved target of the said function in terms of realized sales performance and determine the need to implement action to address causes, other than the pandemic and document the results, e.g. effective of the action taken.</p>
	Campus Library	<p>Risk Registry on Facility improvement of Library, consider to review the application of "Share" in the risk decision.</p> <p>Ensure to complete the IPCR monitoring of performance on the part of letter E or efficiency.</p> <p>Consider requesting an advance information of preventive maintenance schedule from 3<sup>rd</sup> party provider to minimize clientele feedback on access to library.</p>
	Manufacturing & Production (Site 3 & 4)	<p>Ensure to determine the rejection rate of production of garments to be able to determine the actual revenue of the Manufacturing.</p> <p>Ensure to fill-up the Maintenance checklist of the machine avoid downtime in the production.</p> <p>Consider to review the Maintenance checklist and separate the items for housekeeping of production line and items specific for machine parts.</p>
	Document and Record Management	<p>Ensure to separate the supplies from archive area of records.</p>
	Students Affairs	<p>Consider to have a plan of activities vs. actual implementation monitoring.</p>
	Administrative Services - HR	<p>Training Plan for 2020 was not implemented, check the need to consider for this year training plan. Free trainings were attended by Staffs instead not included in the training plan but relevant to respective functions.</p>

**Site 4: Abucay Campus**

	Document and Record Management	<p>Consider to review the old files (ex. President Memo) filed since 2011 are still in active files.</p> <p>Separate as well the 201 file of retired, resigned and transferred since 1990 to currently employed files.</p> <p>Consider the re-locate the files almost on the floor for possible flood issue. (Ex. Daily Time Records of employee).</p>
	Risk & Opportunity Management  (Property & Procurement Office / Office of the Student Affairs)	Revisit some of the Risk Registry, where some risk events were categorized as “opportunity”. Further, need to ensure that the noted opportunities will have appropriate actions.
	Office of the Student Affairs	Consider to revisit some of the IPCR to clearly indicate the % Actual Accomplishments / reference computation relative to the corresponding Rating scale.
	Physical Plant & Engineering Services	<p>The Risk Registry presented includes identified “risks” only. There were, however, noted opportunities in the SWOT analysis matrix that could be included in the Risk Registry for formal assessment and identification of appropriate treatment actions to address the relevant opportunities.</p> <p>Further, need to ensure that the Risk Registry and other documents such as Organizational Issues Matrix (SWOT Analysis) are updated accordingly and on a timely basis.</p>
	Laboratories & related Learning Resources	Consider to further improve the Enhanced QCE Instrument for Instruction to capture the evaluation of learning resources in terms of adequacy / suitability / effectiveness of the field and indoor laboratory infrastructure.
	Public Affairs Office	<p>May need to have the identified set of quality objectives document be encoded or written at the Quality Objectives standard template.</p> <p>Likewise, identification of risk &amp; opportunities documents will be verified next audit.</p>
	Registrar	May consider identifying opportunities, actions to address these opportunities and the verification of effectiveness on these actions.
	Guidance Services	Due to pandemic situation, the current Guidance Counselor was not able to take the board exam last year 2020; the target to take the board exam is set on August 2021. Result will be verified next audit.
	Production & Business Enterprise	<p>For Quality Objective, may need to align the monthly monitoring performance results in terms valuation, at current the target is set in percentage value but the monitoring is done in monetary value.</p> <p>Consider anticipating those risks and opportunities that are associated at other PBE areas (i.e. training &amp; conference facilities, hostels, Dorms, etc.) and take appropriate actions as well as the verification of effectiveness on these actions.</p>
<b>Site 5: Dinalupihan Campus</b>		
	Laboratory	Review the syllabus of laboratory courses, the methodology and learning resources need to be clearly specified for both synchronous and asynchronous class under the learning plan.
	Public Affairs Office	<p>The following documents will be verified next audit;</p> <ul style="list-style-type: none"> <li>- Quality Objectives</li> <li>- Risks and Opportunities</li> </ul>
	Registrar	May consider identifying opportunities, actions to address these opportunities and the verification of effectiveness on these actions

	Physical Plant & Engineering Services	<p>Security Services</p> <ul style="list-style-type: none"> <li>May need to add measuring value for each identified quality objectives (as sampled, observed maximum security) and ensure that these identified quality objectives are encoded in the BPSU standard quality objective template.</li> </ul> <p>General Services/ Motorpool/ Facilities Maintenance</p> <ul style="list-style-type: none"> <li>May consider laying down preventive maintenance planning prior to the conduct of PM activities at Motorpool.</li> <li>May need to add measuring value for each identified quality objectives (as sampled, Sanitation of campus facilities).</li> <li>Revisit risk registry and ensure to define clearly, if the identified event is categorized as risk or opportunity.</li> </ul> <p>May need to establish quality objectives for facilities maintenance and monitor its performances.</p>
	Procurement	Ensure to keep updated the status of the P.O. as control of the procurement process, as well as effectiveness of actions to address risks and opportunities in the Risk & Opportunity Register.
	Administrative Services - HR	Review and revisit to determine the level of significance of risks and opportunities after review.
	Business Enterprise	Ensure to identify opportunities from the risks determined through its Risks Registry.

### Nonconformity

No.	Reference	Nonconformity
1	See NC Report List	

### Audit Conclusion

<input checked="" type="checkbox"/>	The last audit revealed nonconformities which have been demonstrably corrected. The corrections and corrective actions taken in this respect have been verified.				
<input type="checkbox"/>	A stage 1 audit was performed and the organization found ready for certification. Identified weaknesses, if any, have been eliminated and the corrective action associated therewith verified.				
<input checked="" type="checkbox"/>	<p>The current audit revealed the following nonconformities:</p> <table> <tr> <td>Standard(s):</td><td>No. of minor nonconformities</td></tr> <tr> <td>ISO 9001:2015</td><td>4</td></tr> </table>	Standard(s):	No. of minor nonconformities	ISO 9001:2015	4
Standard(s):	No. of minor nonconformities				
ISO 9001:2015	4				
<input type="checkbox"/>	The major nonconformities (No. x) with individual standard elements require a re-audit to verify the effectiveness of the corrections and corrective actions (probable date:.ddmmyyyy)				
<input checked="" type="checkbox"/>	The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the standard(s).				

### Recommendation

<input type="checkbox"/>	Waiting for the conduct of onsite audit
<input checked="" type="checkbox"/>	<b>Award of the new certificates.</b>
<input type="checkbox"/>	Maintenance of the existing certification.
<input type="checkbox"/>	Inclusion of the changes (see Section 3) in the scope of application of existing certifications
<input type="checkbox"/>	Maintenance or issue of the certificates only after successful completion of a re-audit.

**Dates****Due Date for the next audit**

21 February 2022

**Agreed date for the next audit**

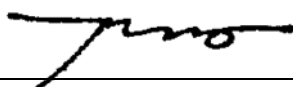
January 2022

**Statement of Non-Conflict of Interest**

The auditor / audit team declares that I / they have neither performed any internal audits for the organization nor provided any consulting services for the development and implementation of the organization's management system within the last two (2) years. I / We also confirm that there are no other conflicts of interests with regards to the performance of this audit.

17 Feb. 2021

Date



Raquel Abutin

Audit Leader / Auditors

-End-