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Precisely Right.

**CERTIFICATE**

**CN 01 100 1734897**

**2<sup>nd</sup> Follow Up Audit Report as per**

**ISO 9001:2015**

**for**

**BATAAN PENINSULA STATE UNIVERSITY**

**Capitol Compound, Tenejero, City of Balanga, Bataan, Philippines, 2100**

Client	Standard	Certification Number(s)	Audit Type
Bataan Peninsula State University	ISO 9001:2015	CN 01 100 1734897	2nd Follow Up

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**Audit Leader** : Cecilia Ignacio

**Audit Team** : Jogina Mendiola, John Francis Faustorilla Jr.

**Client's representative** : Dr. Gregoris J. Rodis, University President

**Audit Date** : 04-06 March 2020

## 1 Audit result

Management system effectiveness was verified on site by means of random sampling by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and the descriptions in management system documentation. The special features of the organization's business activities, the applicable statutory and regulatory requirements and the requirements set forth in other generally applicable documents were also taken into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in Sections 4 of this report.

<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. Note: NC #'s 1, 2, 3 – Closed, NC #4- open
<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 respective corrective action verified.
<input checked="" type="checkbox"/>	The current audit revealed zero (0) major nonconformities and two (2) minor nonconformities:
<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:.ddmmyyy)
<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 stand-

The auditor therefore recommends (provided nonconformity response has been approved):

<input type="checkbox"/>	Award of the new certificates.
<input checked="" 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.

## 2 Scope

### 2.1 Description of the organization

The Bataan Peninsula State University was established by virtue of Republic Act 9403, signed into law on 22<sup>nd</sup> of March 2007. It is a conglomeration of fine leading higher education institutions in Bataan seeking to contribute to the national and regional development through providing quality services in instruction, research, production and extension.

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**BPSU Mandate:** The University shall primarily provide advanced instruction and professional training in agriculture, education, engineering, science and technology, arts and humanities, computer and forestry, and other relevant fields. It shall also undertake research, extension services and production activities in support of the socioeconomic development of Bataan and provide progressive leadership in its areas of specialization.

**BPSU Vision:** A leading university in the Philippines recognized for its proactive contribution to Sustainable development through equitable and inclusive programs and service by 2030.

**BPSU Mission:** To develop competitive graduates and empowered community members by providing relevant innovative and transformative knowledge, research, extension and production programs through progressive enhancement of its human resource capabilities and institutional mechanisms.

**BPSU Quality Policy:** Bataan Peninsula State University commits itself to providing only the best to its stakeholders by:

Building a culture of quality in all core functions of the University;  
 Providing responsive, relevant, innovative and transformative academic, research, extension and production programs and services to all stakeholder;

Sustaining the University's nationally and internationally recognized standards through adherence to the statutory and regulatory requirements and continual improvement of its QMS; and  
 Upholding transparency in governance through participatory policy-making and development

## 2.2 Scope of certification

Scope of certification:	Provision of Higher and Advance Education Services, including Research, Extension and Production Services
ISO 9001 standard requirements which are not applicable:	N/A
Reasons for non-applicability:	N/A

Internal auditing throughout the multi-site organization was verified with a positive result. The management representative has appropriate authority over the sites included in the multi-site organization.

Classes: 7:00 AM up to 8:30 PM. Administration and other support services: 8:00 AM – 5:00 PM.

The following sites and their scopes are included in the scope of certification:

Site No. (CN ext.)	Sites included in cert. Name/address of site	No. of emp.	Scope and processes	Standard(s)	Audited
01 100 173489 7	<b>Bataan Peninsula State University</b> Capitol Compound, Tenejero, City of Balanga, Bataan, Philippines, 2100	Total of 884 at the time of audit	Provision of Higher and Advance Education Services, including Research, Extension and Production Services	ISO 9001:2015	<input checked="" type="checkbox"/>
01 / 01 100 173489 7	<b>Bataan Peninsula State University - Main</b> Capitol Compound, Tenejero, City of Balanga, Bataan, Philippines, 2100	367 at the time of audit	Provision of Higher and Advance Education Services, including Research, Extension and Production Services		

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02 / 01 100 173489 7	<b>Bataan Peninsula State University - Balanga Campus</b> Don Manuel Banzon Avenue, Poblacion St., City of Balanga, Bataan, 2100 Philippines	128 at the time of audit	Provision of Higher Education Services, including Research, Extension and Pro- duction Services	ISO 9001:20 15	<input checked="" type="checkbox"/>
03 / 01 100 173489 7	<b>Bataan Peninsula State University - Orani Cam- pus</b> Bayan, Orani, Bataan, 2112 Philippines	96 at the time of audit	Provision of Higher Education Services, including Research, Extension and Pro- duction Services	ISO 9001:20 15	<input checked="" type="checkbox"/>
04 / 01 100 173489 7	<b>Bataan Peninsula State University - Abucay Cam- pus</b> Bangkal, Abucay, Bataan, 2114 Philippines	96 at the time of audit	Provision of Higher and Advanced Educa- tion Services, including Research, Exten- sion and Production Services	ISO 9001:20 15	<input checked="" type="checkbox"/>
05 / 01 100 173489 7	<b>Bataan Peninsula State University - Dinalupihan Campus</b> San Ramon, Dinalupihan, Bataan 2110 Philippines	72 at the time of audit	Provision of Higher and Advanced Educa- tion Services, including Research, Exten- sion and Production Services	ISO 9001:20 15	<input checked="" type="checkbox"/>

### 3 Changes in the management system / Contract review

The order details which form the basis of the audit (including number of employees, scope and sites) reflect the actual situation in the organization.

The following changes have been implemented in the management system and the management system documentation since the last audit. Major changes are:

- a) Improvement in the facilities for College of Engineering as well as College of Industry Technology
- b) New Designated Director for Extension Services
- c) New Designated Campus Director (Main and Balanga)
- d) Updated Laboratory facilities of the main campus

The implementation of these changes in the existing management system and the management system documentation was verified within the framework of the audit.

The description of the scope in the certificate appropriately reflects the scope of the management system.

The audit plan was not changed during the audit.

### 4 Audit findings

The audit findings related to the audited standard are listed in the Annexes to this report (see. Annex ISO 9001:2015).

All information gained during the audit will be treated with strict confidentiality by the audit team 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.

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No.	Unit/Department Site	Positive findings
1	Infrastructure	Improvement in the facilities for college of engineering at main campus as well as college of industrial technology is noted.
2	Site 5: Dinalupihan Campus - Infrastructure	January 2019 Turnover of the Bio-Chem Laboratory is commendable.
3	Site 5: Dinalupihan Campus - Library	Acquisition of 3 additional aircon units and computers to enhance the facility is noteworthy.
4	Achievements (Abucay Campus/Orani Campus)	<ul style="list-style-type: none"> <li>- Recipients of Gold Medals for the 2019 SCUAA held at New Clark City at Tarlac for the following events: Arnis, Karatedo, Swimming.</li> <li>- First Place, Best Paper (Faculty) awarded during the 14<sup>th</sup> In-House Review, "Improvement of Mango Production through Science and Technology Innovations and Support Mechanisms for Capacity Development in Bataan and Zambales.</li> <li>- First Place, Best Paper (Faculty) Awarded during the 3<sup>rd</sup> BASC Regional Research Conference, "Value Chain Analysis for Sustainable and Improved Cashew Production in Bataan</li> </ul> <p>(Orani Campus)</p> <ul style="list-style-type: none"> <li>- Recipients of Gold Medals for the 2019 SCUAA held at New Clark City at Tarlac for the following events: Arnis, Swimming, Athletics.</li> <li>- Recipient of Gold Medal for the Baguio Day Charter for the Arnis-Combative Event</li> <li>- Recipient of Gold Medal for the BAFTH Skills Competition for the Volleyball Girls event</li> </ul>
5	Site 3 Orani Campus	The following improvements and ongoing projects are commendable: a) Fisheries Building b) Research Center c) Students Dormitory – Additional Capacity d) Rehabilitation of hostel e) Academic Building with Library

The following recommendations and opportunities for improvement provided by the auditor are intended to contribute to the continuous improvement of the management system.

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	Management Review	<p>Consider to include conclusion on the management system with regards to its continuing suitability, adequacy, effectiveness and alignment with the strategic direction of the organization.</p> <p>Ensure Minutes of the annual Management Review provide adequate information including analysis and evaluation of data to determine trends in order for Top Management to make decisions and take actions related to the QMS.</p>

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2	Risks and Opportunities	<p>There is a need to improve them methodology of reviewing and identifying Risks and Opportunities including evaluation on the effectiveness of action.</p> <p>Likewise ensure unmet objectives are taken into account during the determination of issues.</p> <p>Ensure unmet objectives are taken into account during the SWOT Analysis (e.g. Site 5 –Dinalupihan Campus)</p> <p>Ensure to include in the risk registry plans and preparations for possible prolonged loss of classes in light of external events (e.g. COVID-19).</p>
3	Management	<p>Review exploring educator account accesses for different cloud-based services / tools.</p> <p>Explore scholarship opportunities with Project SPARTA PH for Data Science tracks for all teaching and non-teaching personnel.</p>
4	Curriculum Design and Development	<p>Look into the graduate attributes as to the jobs of the future for enhancing curriculum and increasing preparedness for the Jobs of the Future.</p>
<b>Site 1 – Main Campus</b>		
5	Internal Audit	<p>Ensure the following:</p> <ul style="list-style-type: none"> <li>a) Audit programme takes into consideration changes in the organization</li> <li>b) Corrections are taken without undue delay in case of nonconformity.</li> <li>c) Conduct of analysis and evaluation with regards to the results of internal audit.</li> </ul>
6	Corrective Action	<p>There is a need to improve the determination of the root cause/s. Likewise, ensure corrective action addresses the root cause/s.</p>
7	Customer Satisfaction	<p>Ensure proper disposition is provided as a result of analysis and recommendation. Likewise, consider establishing communication process particularly on the concerned parties involved.</p>
8	Human Resource	<p>Need to improve the following:</p> <ul style="list-style-type: none"> <li>a)Method of training effectiveness evaluation</li> <li>b)Consistency in the implementation of evaluation</li> <li>c)Availability of documented information (e.g. Individual performance monitoring)</li> </ul> <p>Likewise, in case evaluation is not effective, analysis is conducted to determine appropriate actions.</p>
9	Property and Procurement Process	<p>Ensure accuracy of data during the evaluation process (e.g. Rate 4 should be excellent but categorized as good)</p> <p>Ensure results of evaluation is consistently communicated with the supplier.</p> <p>Consider to conduct analysis of top suppliers to ensure selection for evaluation is an appropriate representation of its impact in the management system.</p>
10	Curriculum Design and Development	<p>Ensure consistency in the document implementation required in the current approved Curriculum Development Guidebook (BOR Res03 s.2019)</p> <p>Consider to review the tool, i.e. Classroom Observation in consideration of the changed presented in the Curriculum Development Guidebook</p>

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11	Physical Plant, Engineering Services, Security and Motor pool	Ensure Work Order Form is filled accordingly. i.e. Filling up of the actual problem encountered.
12	NSTP (National Service Training Program)	May consider to conduct trend analysis on the number of “drop-outs” for the NSTP class, including the reason/s for doing so.
13	MIS	May align the MIS Quality Objectives to the SD-HD Unit Objectives to determine how monitoring and evaluation can contribute to continual improvement.  Ensure to maintain Work Order Form for traceability purposes. i.e. Work Order Form 0597 was missing).
14	Security Services	Ensure review of Risk Registers are documented.
15	Supplies and Materials Management	There is a need to improve the following: 1)Overall housekeeping including pesticide control 2)Labelling of items 3) Stock control (alignment of stock card against actual) 4)Proper monitoring and control of fire extinguisher. 5)Disposal of obsolete items Likewise ensure Risk Registry is updated.
16	Accounting	Ensure Risk Registry template is not obsolete.  Improve the awareness with regards to the Risk Management Process
17	Students Affairs and Services	Ensure effectiveness of action on significant risk is evaluated accordingly.
18	Guidance	Ensure data analysis is conducted for continual improvement (e.g. Response time on Request for Certificate)
<b>Site 2 – Balanga Campus</b>		
19	Building Maintenance	Ensure to have a timely disposition on the status of the equipment found to be defective (e.g. Fire Extinguisher #17).  Need to ensure the competence of personnel doing work during transfer.  Consider establishing pesticide program.
20	Security Services	Ensure data accuracy during monitoring (e.g. expiration of certificate)
21	Awareness	Need to improve the awareness of personnel with regards to the management system
22	Guidance Services	Ensure monitoring metric of objectives are aligned with the targets.
23	Library	Ensure the following: a)Quality objectives are monitored and aligned with the targets b) Actions are put in place in case of non-achievement

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24	Classroom Observation PRED0323 Facilitated Learning – Centered Teaching Week 7 Social Interactions, Interpersonal Relations and Communication	The Classroom is hot for the students to be in during the course of the class. The ventilation is poor and the AC is not working, causing students to be put in a hot classroom setting.
25	Classroom observation PSYC 0823 Abnormal Psychology	<p>It can be noted that throughout the entire course outline and learning plan of PSYC 0823, all course outcome codes are CO01-CO06 for every week.</p> <p>Diagram was used to present the multidimensional diathesis-stress theory of borderline personality disorder, but the image text cannot be read from the back portion of the room.</p> <p>The discussions does not refer to the appropriate diagnosis method as per DSM-5.</p> <p>Cases could have been discussed and let the students try out what the cases are instead of openly divulging what disorders they are.</p>
26	Classroom Observation Bachelor of Science in Accountancy BMGT 109 Business Policy and Strategy	<p>It can be noted that throughout the entire course outline and learning plan of BMGT, all course outcome codes are CO01-CO06 for every week.</p> <p>May use more targeted and specific strategies towards facilitating understanding on lesson at hand (e.g. BMGT 109 Lesson 4 Strategy Implementation)</p>
27	Learning Resources	Review current master list of the installed software to ensure compatibility and up-to-date versions of software.
<b>Site 3- Orani Campus</b>		
28	Classroom Observation Bachelor of Physical Education (BPEd) BPED0723 International Dance and Other Forms	<p>May provide more appropriate formats for the type of class activity (e.g. dance routine may better be demonstrated through recorded video dance routine than worded routine instructions).</p> <p>The Dunong Pandayan hall were the dance routine is being conducted is not optimal for the purpose of dance routines. It is small and does not have mirrors to aid students to see how they are performing their routines.</p> <p>A lot of broken tiles in the floor are seen that may pose as hazard when dance routine is being conducted.</p>
29	Library	Review relevance of available electronic resources like subscriptions to upcoming revised minimum requirements to be implemented by CHED for libraries to see gaps and additional requirements lacking forecasting compliance, if needed.

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30	Laboratories	<p>The following be ensured –</p> <ul style="list-style-type: none"> <li>- Updated inventory of the acquired Chemistry Laboratory Equipment</li> <li>- Provision of Eye Wash for emergency cleansing of possible eye irritants during conducted experiments.</li> <li>- Posting of the Guidelines for the Use of Chemical Laboratory</li> <li>- Guideline for disposal of chemicals, waste segregation and the likes</li> <li>- Management of procured chemicals to which were not used during the Semester and have expired.</li> <li>-</li> </ul> <p>May consider pooling of laboratory resources i.e. dispense and use of chemical with small amounts requested.</p>
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### Site 4 –Abucay Campus

31	Risks and Opportunities	<p>Ensure Risks Registry is updated. (e.g. issue on the difficulty to invite enrollees for agriculture)</p> <p>Ensure issues identified in the SWOT Analysis is taken into account in the risk evaluation process.</p> <p>Ensure consistency in the implementation of change in assessment.</p>
32	Building Maintenance and Security Services	<p>Security</p> <p>Consider establishing monitoring of license expiration</p> <p>Building Maintenance</p> <p>Consider establishing a system for the planning and tracking on the status of request.</p>
33	Class Observation	<p>May provide opportunities for students to demonstrate the ability to solve problems correctly (AGB0523 Class).</p>
34	Library	<p>May consider to include data on lost, unreturned and weeded books, so that planned actions may be initiated when called for. i.e. Unreturned books borrowed since SY2012.</p>
35	Guidance Services	<p>May review the conduct of “Counselling” activities among non-RGCs, in compliance to the requirement of Counselling activities by a licensed GC.</p> <p>There is a need to review how the Quality Policy is communicated to First Year/ New Students.</p>
36	Curriculum Design and Development	<p>Ensure to include in the Resources section of the Syllabus, all possible reference/s to be used in the Semester (e.g. AGB0523 Class Syllabus did not contain the reference used for the sample Figure 2.18 as referred to by the Professor)</p>

### Site 5 – Dinalupihan Campus

37	Library	<p>Ensure accuracy of data in the monitoring of performances</p>
38	Maintenance	<p>May consider establishing Maintenance program for aircon. Likewise ensure pesticides activities are put in place not only for building preservation but other properties as well.</p> <p>Need to review qualification requirement on outsourced process. (e.g. aircon servicing)</p>

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39	Classroom Observation Bachelor of Elementary Education HELE 101 Home Economics and Livelihood Education	<p>Students are asked to do microdemo, but all other students serve as spectators without need to provide feedback to the one presenting.</p> <p>At the end of the first and second presenter, the teacher did not provide relevant feedback on the teaching strategies used by the students in teaching HELE/EPP(G4-6) and focused only on feedback regarding mastery of the subject.</p>
40	Classroom Observation Bachelor of Elementary Education PRED 1123 Assessment in Learning 2	<p>The teacher does not have any rubrics used at the time of the presentation evaluation.</p> <p>The teacher coincidentally is talking about the use of rubrics in group work, but she has not used one herself as she proceeds with processing the outputs.</p> <p>The Teacher has not provided feedback on the presentation made by first group.</p>
41	Classroom Observation Bachelor of Elementary Education ELEM 0423 Teaching Social Students in Primary Grades – Philippine History and Government	<p>The text in the visual aids cannot be easily read from the back portion of the room. Likewise, the words in the presentation can extend as much as 12 lines with 10 words per line.</p> <p>The legend does not present a rubric for what 4 – Outstanding, 3 – Very Satisfactory, 2 – Fair, and 1 – Needs Improvement means for the Classroom Observation Guide parameters.</p> <p>The current lesson provided is on “Steps in teach-reteach method” and uses 10-item formative test with 75% as criterion level of success but does not emphasize on competencies as basis of success.</p>
42	Guidance Services	<p>Review the need to assess what professions / programs may be considered HIGH RISK and needs more definitive psychological tests appropriate for the intention of counselling.</p> <p>Use data set on the classification of population groups (e.g. PWD, IPs, Indigents, etc.) for the purpose of enhancing program implementation geared towards impact and intended outcomes.</p> <p>Focus on more meaningful intended outcomes when implementing programs in the calendar of activities by the Guidance Office.</p>
43	Laboratories and Learning Resources	May improve inventory by including items for replacement.

## 5 Dates

**Due Date for the next audit**

2021-02-21

**Agreed date for the next audit**

2021-01-21

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March 6, 2020

Date



C. Ignacio

Audit Leader / Auditor(s)

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## Annex ISO 9001:2015

Item	Audit result																
Context of the organization	<p>The organization has determined internal and external issues related to the following subject areas (Note: subject areas can be legal requirements, co-operations, competition, community etc.). Example of Issues:</p> <p>Internal Issues:</p> <ul style="list-style-type: none"> <li>• Inconsistent licensure performance of graduates</li> <li>• Understanding in some department</li> <li>• Non-commercialization of R&amp;D outputs</li> <li>• Insufficient number of qualified faculty</li> </ul> <p>External Issues:</p> <ul style="list-style-type: none"> <li>• Emerging requirements/demand from labor market</li> <li>• New policies, standards and guidelines on the offering of curricular programs</li> <li>• Quality of K-12 graduates</li> <li>• Implementation of CPD law</li> </ul> <p>The organization has identified interested parties and the requirements of these parties. Examples for such parties are:</p> <ul style="list-style-type: none"> <li>•</li> </ul> <table border="1"> <thead> <tr> <th>Interested Party</th> <th>Needs and Expectation</th> </tr> </thead> <tbody> <tr> <td>Students</td> <td>High quality education</td> </tr> <tr> <td>Faculty and employees</td> <td>Efficient Service</td> </tr> <tr> <td>Industry partners</td> <td>Employable graduates</td> </tr> <tr> <td>CHED – Commission on higher education</td> <td>Compliance to Policies, Standards and Guidelines</td> </tr> <tr> <td>Accrediting Agency (AACUP)</td> <td>Compliance to standards</td> </tr> <tr> <td>Funding agencies (DA-BAR, DOST, CHED, PCARD, PCIERD)</td> <td>Compliance to requirements</td> </tr> <tr> <td>Partner Agencies (Civil Service)</td> <td>Compliance to Policies, Standards and Guidelines</td> </tr> </tbody> </table>	Interested Party	Needs and Expectation	Students	High quality education	Faculty and employees	Efficient Service	Industry partners	Employable graduates	CHED – Commission on higher education	Compliance to Policies, Standards and Guidelines	Accrediting Agency (AACUP)	Compliance to standards	Funding agencies (DA-BAR, DOST, CHED, PCARD, PCIERD)	Compliance to requirements	Partner Agencies (Civil Service)	Compliance to Policies, Standards and Guidelines
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Policy / objectives	<p>Top Management has declared its quality policy binding and implemented. The quality policy is appropriate and provides a framework for the respective quality objectives. It commits all employees to pursue continuous quality system improvement.</p> <p>Key quality objectives include:</p> <ul style="list-style-type: none"> <li>• Higher Education Services <ul style="list-style-type: none"> <li>○ Percentage of first time licensure exam takers that pass the licensure exam – Achieve 102%</li> <li>○ Percentage of graduates that are employed – Achieve 80%</li> </ul> </li> <li>• Advanced Education Services <ul style="list-style-type: none"> <li>○ Percentage of undergraduate students – Achieve 103%</li> <li>○ Percentage of undergraduate programs – Achieve 100%</li> </ul> </li> <li>• Research Services <ul style="list-style-type: none"> <li>○ Number of research outputs completed within the year – Achieve 100%</li> <li>○ Percentage of research outputs published in internationally or CHED – Achieve 93%</li> </ul> </li> <li>• Technical Advisory Extension Services</li> </ul>																

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	<ul style="list-style-type: none"> <li>○ Number of active partnerships with LGUs – Achieve 111%</li> <li>○ Number of extension programs organized – Achieve 100%</li> </ul> <p>These are measurable and are controlled, communicated and up-dated regularly.</p>
Process control including outsourced processes	<p>The processes available in the organization have been identified and documented. Process workflows and interactions have been described and appropriately controlled. The processes are evaluated at regular intervals by means of key performance indicators.</p> <p>Key processes within the scope of product realization include:</p> <ul style="list-style-type: none"> <li>● Instruction, Curriculum Design and Development</li> <li>● Admission and Classroom Management Process</li> <li>● Research</li> <li>● Extension</li> <li>● Production</li> <li>● Faculty Evaluation on Instructional Delivery</li> <li>● Monitoring and Measurement of Customer Satisfaction and Students' Learning</li> </ul> <p>The following processes have been outsourced:</p> <ul style="list-style-type: none"> <li>● Transportation Services</li> <li>● Maintenance Services (e.g. aircon)</li> </ul> <p>These processes are appropriately reviewed and controlled.</p>
Risk-based thinking	<p>The requirements for risk-based thinking are being realized in the organization as follows:</p> <p>Risk-based thinking has been applied for the following <b>processes</b>:</p> <ul style="list-style-type: none"> <li>● Management/Institutional</li> <li>● Campus Level (all campus)</li> <li>● Support Processes</li> </ul> <p>Examples of <b>risks and opportunities</b> of processes identified are:</p> <ul style="list-style-type: none"> <li>● Lack of license faculty and personnel</li> <li>● Poor customer feedback on the service delivery</li> <li>● Failure to pass the civil service examination</li> <li>● Damage of properties</li> <li>● Unavailability of supplies and materials-disruption of services</li> <li>● Commercialization of R&amp;D outputs</li> </ul> <p>Examples of <b>measures</b> taken to react on identified risks are:</p> <ul style="list-style-type: none"> <li>● Faculty assistance in securing cpd units</li> <li>● Well implementation of citizen's charter</li> <li>● Free review conducted by the university</li> <li>● Improve planning and preparation</li> <li>● Request storage room</li> </ul> <p>Examples of risks and opportunities concerning the <b>context</b> of the organization are:</p> <ul style="list-style-type: none"> <li>● Program Closure</li> <li>● Low employability of students</li> </ul>

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	<ul style="list-style-type: none"> <li>• Low funding grants</li> <li>• Poor quality of education</li> </ul> <p>Concerning risk based thinking the following <b>tools</b> are used:</p> <ul style="list-style-type: none"> <li>• SWOT Analysis</li> <li>• Risk assessment based on the organizational issues, needs and expectations of interested parties</li> </ul>
Customer-related and other requirements	<p>The organization analyses and evaluates customer requirements and/or enquiries and any documented, assumed, statutory and regulatory requirements within the scope of a production and feasibility study performed in a team.</p> <p>Offers are prepared and approved by Admissions. The person who prepared the offer reviews the contract to ensure its compliance with the offer and documents this compliance in an order confirmation. The same procedure applies to amendments.</p> <p>The following process requirements significantly affect product or service quality:</p> <ul style="list-style-type: none"> <li>• Quality of Instruction</li> <li>• Laboratory Facilities and Equipment</li> <li>• Classroom Facilities and Equipment</li> <li>• Curriculum Design and Development</li> <li>• Student / Teacher Ratio</li> </ul> <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> <li>• Civil Service Commission; 2017 Omnibus Rules on Appointments and other Human Resource Actions</li> <li>• Civil Service Commission; 2017 Rules on Administrative Cases in the Civil Service</li> <li>• CHED Policies, Standards, Guidelines in offering Curricular programs</li> <li>• AACUP Instrument for Program Accreditation</li> <li>• RA 10911 Anti Age Discrimination Law in The Workplace</li> <li>• RA 10931 Universal Access to Quality Tertiary Education Act of 2017</li> <li>• RA 10627 Anti-Bullying Act of 2013</li> <li>• DBM Circular Budget Circular No. 2007-1 - DBM</li> <li>• DBM Circular This Circular is issued to prescribe the guidelines on the grant of honoraria to lecturers, resource persons, coordinators and facilitators in seminars, training programs, and other similar activities pursuant to Section 46(b). General Provisions of RA No. 9401, the FY. 2007 General Appropriations Act (GAA). 2.0. Definitions. 11.</li> <li>• DBM Circular Position Classification. National Budget Circular No. 461: Revising and Updating the Compensation and Position Classification Plan for Faculty Positions Embodied in National Compensation Circular (NCC) No.</li> <li>• COA Circular 2017-002 COA Circulars Reimbursement of expenses</li> <li>• National Budget Circular No. 572 Third Tranche Monthly Salary Schedule for Civilian Personnel,</li> <li>• COA Circular 2012-001-003 Updated Guidelines for Disallowance</li> <li>• COA Circular 2012-001 Prescribing the Revised Guidelines and Documentary Requirements for Common Government Transactions</li> <li>• RA No. 10963 (TRAIN Law) TRAIN LAW</li> <li>• CMO NO. 46 2012 Policy Standard to Enhance Quality Assurance in Philippine Higher Education</li> <li>• COA Circular 2013-007 Guidelines for the Use of Electronic Official Receipts to Acknowledge Collection of Income and Other Receipts of Government</li> </ul>

Client	Standard	Certification Number(s)	Audit Type
Bataan Peninsula State University	ISO 9001:2015	CN 01 100 1734897	2nd Follow Up

Item	Audit result																																																															
	<ul style="list-style-type: none"> <li>Res. No. 01, 08, 11, 12, 14, 34, 2013 Government Procurement Policy Board</li> </ul>																																																															
Customer satisfaction and complaints	<p>The organization maintains documented and effective procedures governing the handling of information, data analyses, improvement actions and responses to customer feedback.</p> <p>Results of evaluation of Student Services is conducted per semester basis, per campus for 12 criteria with the following Rating equivalent: 4.00 – 3.25: Outstanding, 3.24 – 2.50: Very Satisfactory, 2.49 – 1.75: Satisfactory 1.74 – 1.00: Needs Improvement. The following are the average rating per campus:</p> <table border="1"> <thead> <tr> <th>Campus</th> <th>Overall Rating</th> <th>Rating Equivalent</th> </tr> </thead> <tbody> <tr> <td>Abucay</td> <td>2.57</td> <td>Very Satisfactory</td> </tr> <tr> <td>Bagac</td> <td>3.04</td> <td>Very Satisfactory</td> </tr> <tr> <td>Balanga</td> <td>2.97</td> <td>Very Satisfactory</td> </tr> <tr> <td>Dinalupihan</td> <td>2.95</td> <td>Very Satisfactory</td> </tr> <tr> <td>Main</td> <td>3.63</td> <td>Outstanding</td> </tr> <tr> <td>Orani</td> <td>2.73</td> <td>Very Satisfactory</td> </tr> <tr> <td>Overall Results</td> <td>2.60</td> <td>Very Satisfactory</td> </tr> </tbody> </table> <p>Overall Mean per Services:</p> <table border="1"> <thead> <tr> <th>Unit</th> <th>Overall Rating</th> <th>Interpretation</th> </tr> </thead> <tbody> <tr> <td>Registrar</td> <td>2.95</td> <td>Agree</td> </tr> <tr> <td>Guidance</td> <td>2.98</td> <td>Agree</td> </tr> <tr> <td>Admission</td> <td>2.58</td> <td>Agree</td> </tr> <tr> <td>Scholarship</td> <td>3.10</td> <td>Agree</td> </tr> <tr> <td>Library</td> <td>3.33</td> <td>Agree</td> </tr> <tr> <td>Cashier</td> <td>3.10</td> <td>Agree</td> </tr> <tr> <td>Clinic</td> <td>3.06</td> <td>Agree</td> </tr> <tr> <td>School Cafeteria</td> <td>2.77</td> <td>Agree</td> </tr> <tr> <td>Security</td> <td>3.05</td> <td>Agree</td> </tr> <tr> <td>Maintenance</td> <td>2.27</td> <td>Agree</td> </tr> <tr> <td>Job Placement</td> <td>1.76</td> <td>Agree</td> </tr> <tr> <td>Overall</td> <td>2.60</td> <td>Agree</td> </tr> </tbody> </table>	Campus	Overall Rating	Rating Equivalent	Abucay	2.57	Very Satisfactory	Bagac	3.04	Very Satisfactory	Balanga	2.97	Very Satisfactory	Dinalupihan	2.95	Very Satisfactory	Main	3.63	Outstanding	Orani	2.73	Very Satisfactory	Overall Results	2.60	Very Satisfactory	Unit	Overall Rating	Interpretation	Registrar	2.95	Agree	Guidance	2.98	Agree	Admission	2.58	Agree	Scholarship	3.10	Agree	Library	3.33	Agree	Cashier	3.10	Agree	Clinic	3.06	Agree	School Cafeteria	2.77	Agree	Security	3.05	Agree	Maintenance	2.27	Agree	Job Placement	1.76	Agree	Overall	2.60	Agree
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Internal audit and management review	<p>The organization measures MS implementation, maintenance and effectiveness by means of at least once a year scheduled system audits. The recent audit was conducted last Nov. 25 to Dec. 16, 2019 by 26 Qualified Internal Auditors. The organization reliably carries out these audits according to Plan. The results were as follows: 363 Opportunities for Improvement and 88 Nonconformities. The nonconformities identified in these internal audits had been corrected by the time the audit documented in this report was performed.</p>																																																															

# Audit Report

Client	Standard	Certification Number(s)	Audit Type
Bataan Peninsula State University	ISO 9001:2015	CN 01 100 1734897	2nd Follow Up

Item	Audit result
	Top management reviews the organization's quality management system at regular intervals and in line with the requirements to ensure its continuous suitability, adequacy and effectiveness. The management review of January 16, 2020 was carried out in accordance with the requirements and was effective.
Use of certificate and logo	The logo and the certificate are used in compliance with the requirements. This has been checked by sampling. The sampling included business cards, company brochures or websites or others.

Chapter of standard	4.1	4.2	4.3	4.4	5.1	5.2	5.3	6.1	6.2	6.3		
Rating *	1	1	1	1	1	1	1	1	1	1		
No. of nonconformity	-	-	-	-	-	-	-	-	-	-		
Chapter of standard	7.1	7.2	7.3	7.4	7.5	8.1	8.2	8.3	8.4	8.5	8.6	8.7
Rating *	1	1	1	1	1	3	1	1	1	1	1	1
No. of nonconformity	-	-	-	-	-	1 (2/2)	-	-	-	-	-	-
Chapter of standard	9.1	9.2	9.3	10.1	10.2	10.3						
Rating *	1	1	1	1	3	1						
No. of nonconformity	-	-	-	-	1 (1/2)	1						

- \* **Rating:**
- 1 = conforming
  - 2 = not audited in this audit
  - 3 = nonconformity (see nonconformity report)
  - 4 = not applicable

# Nonconformity Report No. 1 to 2



Client	Standard(s)	Certification Number(s)	Audit Type
Bataan Peninsula State University	ISO 9001:2015	01 100 1734897	2nd Follow Audit

**Client's representative:** Dr.Gregoris J. Rodis,  
**Audit Team Leader:** CECILIA IGNACIO  
**Auditor(s)/Expert:** JoginaMendiola, John Francis FaustorillaJr  
**Audit Date:** March 4-6, 2020

March 06, 2020 CECILIA IGNACIO DR. GREGORIS J. RODIS  
 Date Audit Team Leader Client's representative

The client is required to analyse the root cause of the nonconformities. This results and the correction(s) and corrective action(s) has (have) to be described in the nonconformity report.

Please forward the completed nonconformity report until March 26, 2020.... to the audit team leader considering:

- for major nonconformities the **actions have to be accomplished** and corresponding documents have to be submitted
- for minor nonconformities as minimum requirement information about **planned actions, planned dates** of these actions must be submitted

<input checked="" type="checkbox"/>	Minor nonconformities: Plan for correction(s) and corrective action(s) was reviewed and accepted.	<input type="checkbox"/>	Major nonconformities: Correction(s) and corrective action(s) were reviewed, accepted and verified.
<input type="checkbox"/>	Minor nonconformities: Correction(s) and corrective action(s) were reviewed, accepted and verified.	<input type="checkbox"/>	A re-audit was performed.

04/21/2020

Cecilia Ignacio

Date, processing auditor

# Nonconformity Report No. 1 to 2

Client	Standard(s)	Certification Number(s)	Audit Type
<b>Bataan Peninsula State University</b>	ISO 9001:2015	01 100 1734897	2nd Follow Audit

No	Standard Clause	NC Type *1	Nonconformity a) Description of nonconformity b) Evidence for nonconformity	Re-audit *2	Root Cause	Actions (incl. evidences)*3 a) Corrections b) Corrective Action	Evidence and decision of review/ verification (by auditor) *4
1	10.2/8.3	Minor	<p>a) When a nonconformity occurs, the organization shall review the effectiveness of the corrective action taken. However, recurrence and new occurrences in Curriculum and Course Design and Development were noted at the time of the audit</p> <p>b) Evidence NC 4/4 during the last audit recurred as the curriculum matrix identifying the levels of competency (i.e. L, P, O) for Bachelor in Elementary Education and Secondary Education following the progressive tree cannot be verified at the time of the audit.</p> <p>Likewise, the following occurrence in the syllabus-level issues similar to NC 4/4 during the last audit were detected in this audit:</p> <p>Bachelor of Elementary Education (General Education)</p> <p>PRED0713 Assessment in Learning 1</p> <p>-8 course outcomes but only CO-001 and</p>	No	<p>Periodic review of syllabi is lacking.</p> <p>Program Heads are carrying more than the required teaching loads that they missed to discharge their functions and duties as such.</p> <p>Lack of planning and proper programming.</p>	<p>a.1) On 10 March 2020, a meeting was called by the VPAA to discuss the minor nonconformities observed during the ISO 2nd Follow-Up Audit with the Campus Directors, Deans, Program Heads, Cluster Chairs, University Registrar, Director of Student Affairs, University Librarian and the University Quality Assurance Director.</p> <p>a.2 Office of Vice President for Academic Affairs. Convene the Deans and Program Heads on 12 March 2020 to address the minor nonconformities observed in their respective programs.</p> <p>The group agreed to have an updating in the form of training-workshop on Curriculum Development, including syllabus preparation and instructional materials development this coming Summer Break (between June and July 2020).</p> <p>b)</p>	<p><input checked="" type="checkbox"/> Plan accepted OK <input type="checkbox"/> Verification OK</p> <p>Evidences: a.1 Narrative report a.2 Office Memorandum</p>

# Nonconformity Report No. 1 to 2

Client	Standard(s)	Certification Number(s)	Audit Type
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	<p>CO-002 with course major output -No Rubrics It was noted that the course outcomes for ELEM 0723 and ELEM 0423 (Bachelor of Elementary Education) have exactly the same CO-001 to CO-005 course outcomes and Course Major Output (both also has missing Course Major Output for CO-001 and CO-002) despite being different courses taken at different semesters</p> <p>Bachelor of Elementary Education</p> <p>PRED 1123 Assessment in Learning 2</p> <ul style="list-style-type: none"> <li>- Course outcomes – all course outcomes have CO1-4 with Correlating Program Outcomes at varying levels (Learned, Practiced and opportunity to exist)</li> <li>- 4 course outcomes but only CO-002 and CO-003 with Course Major Output</li> </ul> <p>Bachelor of Elementary Education</p> <p>ELEM 0423 Teaching Social Students in Primary Grades – Philippine History and Government</p> <ul style="list-style-type: none"> <li>- Course outcomes – all course outcomes have CO1-5 with Correlating Program Outcomes at varying levels (Learned, Practiced and opportunity to exist)</li> </ul>	<p>Periodic review of syllabi is lacking.</p> <p>Program Heads are carrying more than the required teaching loads that they missed to discharge their functions and duties as such.</p> <p>Lack of planning and proper programming.</p>	<p><i>B) Inclusion of Syllabi Preparation in the Individual Performance Commitment Form (IPCR) as one of the core deliverables of the faculty.</i></p>	<p><input checked="" type="checkbox"/> Plan accepted OK <input type="checkbox"/> Verification OK</p> <p>Evidences: Proposed guidelines Rubrics Proposed Calendar of Summer Activities</p>
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# Nonconformity Report No. 1 to 2



Client	Standard(s)	Certification Number(s)	Audit Type
Bataan Peninsula State University	ISO 9001:2015	01 100 1734897	2nd Follow Audit

No	Standard Clause	NC Type *1	Nonconformity a) Description of nonconformity b) Evidence for nonconformity	Re-audit *2	Root Cause	Actions (incl. evidences)*3 a) Corrections b) Corrective Action	Evidence and decision of review/ verification (by auditor) *4
			<ul style="list-style-type: none"> <li>- Course Outcomes CO-001 and CO-002 does not have Course Major Output</li> <li>- Final Requirement (Final Task Assessment) is required but no Course is Outcome is mapped against it.</li> </ul>				

# Nonconformity Report No. 1 to 2

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		<p>Mapped against it.</p> <p>Bachelor of Secondary Education (English)</p> <p>PRED0323 Facilitating Learner-Centered Teaching</p> <p>CO001 and CO-005 are the only courses that has Course Major Output mapped. CO-002, CO-003, CO-004 does not have Course Major Outputs. Final Requirement "Written Examination" does not have mapped out course outcome.</p> <p>Bachelor of Secondary Education, Major in English/Filipino</p> <p>PRED0523 The Teacher and the Community, School Culture and Organizational Leadership</p> <p>PO-0001 to PO-019 mapped to CO-001 and CO-005 (PO up to PO-026), CO-002 does not have Course Major Output</p> <p>Bachelor of Technology &amp; Livelihood Education (Major in Industrial Arts)</p> <p>BTLE 0213 Home Economics Literacy</p> <p>CO-001 to CO-008 mapped against all PO-001 to PO-023 based on the progression tree, BTLE0213 is mapped only against PO-004, PO-006, PO-007, PO-009, PO-014, PO-017;</p>	<p>Periodic review of syllabi is lacking.</p> <p>Program Heads are carrying more than the required teaching loads that they missed to discharge their functions and duties as such.</p>		
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# Nonconformity Report No. 1 to 2



Client	Standard(s)	Certification Number(s)	Audit Type
Bataan Peninsula State University	ISO 9001:2015	01 100 1734897	2nd Follow Audit

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			Only CO-005 and CO-007 out of 8 COs have Course Major Output.				

# Nonconformity Report No. 1 to 2



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2	8.1	Minor	Description	No			<input checked="" type="checkbox"/> Plan accepted <input type="checkbox"/> Verification OK Evidences: Narrative Report Office Memorandum
			a) The organization shall implement and control processes needed to meet requirements for the provision of educational service delivery. However, at the time of the audit, lapses were seen in the implementation as follows: A) Agreed syllabus in various subjects Evidence Bachelor of Elementary Education  HELE 101 Home Economics and Livelihood Education  The teacher did not have any actual rubrics used at the time of evaluating the students on their micro demo. Likewise, the rubrics for assessment in the approved syllabus is more appropriate for written work and cannot be used for verbal or demonstrated work.  Bachelor of Elementary Education  PRED 1123 Assessment in Learning 2  The approved rubrics for this course is for oral presentation (individual). However, the actual activity conducted(1) requires a written output, (2) is done in groups of 7-8 students, (3) requires presentation from one representative for the entire group. It is unclear how all of the students' competencies can be assessed provided that the activity is conducted in groups.		Periodic review of syllabi is lacking.  Program Heads are carrying more than the required teaching loads that they missed to discharge their functions and duties as such.	2.a) As part of the actions to be taken to address the minor nonconformities, the group agreed on the following: a.1. Convene the Deans and Program Heads on 12 March 2020 to address the minor nonconformities observed in their respective programs.  2.b) additional policy on <i>Syllabi preparation with random audit before its implementation.</i> To zero out the nonconformities as regards to curriculum development, particularly in syllabus, after the scheduled training seminar, syllabi preparation will be slated. Institutional random audit on the prepared syllabi shall be done by the academic heads to ensure its conformity with the BPSU Curriculum Development Guidebook. Appropriate intervention shall be adopted once nonconformity is observed during the institutional random audit.	VPAA.COR.2020.0002 CM  VPAA.COR.2020.000 CM

# Nonconformity Report No. 1 to 2



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# Nonconformity Report No. 1 to 2



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		<p>Bachelor of Elementary Education</p> <p>ELEM 0423 Teaching Social Students in Primary Grades – Philippine History and Government</p> <p>The Rubrics for Assessment in the approved plan is more appropriate for written output that oral presentations.</p>			
		<p>Bachelor of Science in Accountancy</p> <p>BMGT 109 Business Policy and Strategy</p> <p>It was noted that reporting is conducted in class, but the syllabus has no approved rubrics for oral reporting. Likewise, it was observed that the teacher writes notes in a yellow sheet of paper but does not have any rubrics in use.</p>			
		<p>BMGT-313 Fundamentals of Business Analytics indicates in that there are teaching-learning activities that requires internet</p>			

# Nonconformity Report No. 1 to 2



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			<p>connection. However, at the time of the audit, there is no internet connection in COMLAB 303.</p> <p>It cannot be verified that the Laboratory component of PSYC 0225 Psychological Statistics has execution of Week 4 to 7 Laboratory activities that requires usage of a statistical software.</p>				

# Nonconformity Report No. 1 to 2

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		<p>Bachelor of Elementary Education</p> <p>ELEM 0423 Teaching Social Students in Primary Grades – Philippine History and Government</p> <p>The Rubrics for Assessment in the approved plan is more appropriate for written output than oral presentations.</p> <p>Bachelor of Science in Accountancy</p> <p>BMGT 109 Business Policy and Strategy</p> <p>It was noted that reporting is conducted in class, but the syllabus has no approved rubrics for oral reporting. Likewise, it was observed that the teacher writes notes in a yellow sheet of paper but does not have any rubrics in use</p> <p>BMGT-313 Fundamentals of Business Analytics indicates in that there are teaching-learning activities that requires internet connection. However, at the time of the audit, there is no internet connection in COMLAB 303.</p> <p>It cannot be verified that the Laboratory component of PSYC 0225 Psychological Statistics has execution of Week 4 to 7 Laboratory activities that requires usage of a statistical software.</p> <p>B)The controls for the risk management process was not evident as required in the BPSU Risk Registry</p>	<p>Periodic review of syllabi is lacking.</p> <p>Program Heads are carrying more than the required teaching loads that they missed to discharge their functions and duties as such.</p> <p>Faculty who are not teacher education graduate may not have knowledge on test and measurement.</p>		
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# Nonconformity Report No. 1 to 2



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			C) No assessment conducted by the MIS-HD in the Risk Registry to date		Lack of review and monitoring of Risk Registry	a. Review and updated the Risk registry b. Update Risk Registry Guidelines in the QMS Manual	<input checked="" type="checkbox"/> Plan accepted OK <input type="checkbox"/> Verification OK  Evidences: Revised Risk Registry

\*1) Remarks under NC Type = "Major" or "Minor"

\*2) Remarks under re-audit = "Yes" or "No"

\*3) in case of minor nonconformities atleast please list the planned actions incl. action dates

\*4) in case of minor nonconformities and verification during next regular audit only "Plan accepted" is mandatory