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01 100 1934875

Audit Report as per

ISO-9001:2015

for

Agricultural Credit Policy Council (ACPC)

28/F One San Miguel Avenue Building, San Miguel Avenue, Ortigas Center, Pasig City 1605, Philippines

Client	Standard	Certification Number(s)	Audit Type
Agricultural Credit Policy Council (ACPC)	ISO-9001:2015	01 100 1934875	1st Surveillance Audit

Contents

1	Audit result.....	3
2	Scope.....	3
2.1	Description of the organization.....	3
2.2	Scope of certification	4
3	Changes in the management system / Contract review.....	4
4	Audit findings	5
5	Dates.....	7

Client	Standard	Certification Number(s)	Audit Type
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Audit Leader	:	Hilario J. Capili
Audit Team	:	Melchor Camina
Client's representative	:	Emmalyn J. Guinto, Chief, Communications and Public Affairs Division
Audit Date	:	2020-October-14

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 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 respective corrective action verified.
<input checked="" type="checkbox"/>	The current audit revealed (0) major nonconformities and (0) 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
<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.

The auditor therefore recommends

<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 Agricultural Credit Policy Council (ACPC) was created in 1986 by virtue of E.O. No. 113, s.1986, to synchronize all agri-credit policies and programs in support of the Department of Agriculture (DA) priority programs. It was tasked to monitor and evaluate the economic soundness of all credit programs. It became an attached agency of the DA through E.O. No. 116, s.1987. It was mandated to administer the Comprehensive Agricultural Loan Fund (CALF) through A.O. No. 5, s.1987. The ACPC's role was expanded in 1992 under the Magna Carta of Small Farmer as per R.A. No. 1992, to conduct special projects to promote innovative financial schemes for small

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farmers and to orchestrate institution building programs for agricultural finance institutions. The Agricultural Modernization Act (AFMA), R.A. No. 8435 paved the way for ACPC to carve its niche in the liberalized and global environment. In 2016, the DBM approved the creation of a new Accreditation and Certification Division in ACPC in support of its mandate to certify the eligibility of binds and other debt securities and accredit non-bank rural financial institutions (NBEFI), pursuant to R.A. No. 10000 (Agri-Agra Reform Credit Act of 2009) and its IRR and DA S.O. No. 605, s.2011.

2.2 Scope of certification

Scope of certification:	Provision of Agricultural/ Rural Finance Policy Research and Formulation; Planning; Development of Innovative Financing Schemes; Institutional Capacity Building; Accreditation and Certification; Monitoring; Fund Management; Communications and Public Affairs; Information Systems Management; and Finance and Administrative Services
ISO 9001 standard requirements which are not applicable:	N/A
Reasons for non-applicability:	N/A

The organization operates on a single-shift with a flexible 8-hour scheme between 7:00AM and 6:00PM, Monday to Friday.

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	Audited
01	Agricultural Credit Policy Council (ACPC) 28/F, One San Miguel Avenue Building, San Miguel Avenue, Ortigas Center, Pasig City 1605, Philippines	116 (at the time of audit)	Provision of Agricultural/ Rural Finance Policy Research and Formulation; Planning; Development of Innovative Financing Schemes; Institutional Capacity Building; Accreditation and Certification; Monitoring; Fund Management; Communications and Public Affairs; Information Systems Management; and Finance and Administrative Services	ISO 9001: 2015	<input checked="" type="checkbox"/>

3 Changes in the management system / Contract review

No major changes have been made to the management system and the management system documentation since the last audit. 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 implementation of these changes in the existing management system and the management system documentation was verified within the framework of the audit.

Client	Standard	Certification Number(s)	Audit Type
Agricultural Credit Policy Council (ACPC)	ISO-9001:2015	01 100 1934875	1st Surveillance 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). 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.

No.	Unit/Department Site	Positive findings
1	Awards and Recognitions	<p>The appointment of ACPC Executive Director Jocelyn Alma R. Badiola to the Consultative Committee of the Common Fund for Commodities (CFC) by the Philippine Agriculture Office for the European Affairs in Brussels last 2020-October-05</p> <p>Certificate of Recognition given to ACPC for ranking 2nd among the Top Performers of the Department of Agriculture – Attached Agencies, given last 2019-February-08 by the Secretary of Department of Agriculture</p> <p>Plaque of Honor given to ACPC for being a cherished partner of the New Rural Bank of San Leonardo and the thousands of small farmers and livestock raisers, given last 2019-December-20.</p>
2	Program Development and Advocacy	Despite the pandemic situation, efficiency improvement is very evident with the committed delivery of Php 2.5B to more than 40,000 farmers within 6 months, which is way beyond the target for 1 year.

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

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	Internal Quality Audit / Corrective Action Process	May need to review the system for monitoring the implementation and verification of effectiveness on the corrective action from the non-conformity stated in the Request For Action (RFA) form under Section 3. This is also monitored in the Summary of OFI and RFA.

Client	Standard	Certification Number(s)	Audit Type
Agricultural Credit Policy Council (ACPC)	ISO-9001:2015	01 100 1934875	1st Surveillance Audit

2	Program Development and Advocacy	Where notable Opportunity was realized with the implementation of on-line activity processing, may need to determine the associated Risk so that action plans can be initiated and implemented as needed.
3	Actions to Address Risks and Opportunities	<p>Consider reviewing the Monitoring of the Risks and Opportunities where enhancement is still possible in the following items:</p> <ul style="list-style-type: none"> • Measure of effectiveness on the implemented action and control in preventing the consequence from the identified risk (or opportunity) • Assessment of the Risk Rating and Risk Priority after determining the effectiveness of the mitigating action • Monitoring of the date when the action plan was implemented <p>Review of the Risk Register whenever a non-conformity (internal or external audit result, complaints, concerns, etc.) was detected.</p>
4	Program Monitoring	Based on the results of the monitoring of the implementation of the Bayanihan 1 (SURE COVID 19 Program) Loan Disbursement Program, may analyze and evaluate the causes of delays in the completion of the release of loans to MSE facilities and determine the immediate/additional actions to be taken and review of the results to ensure glitches are avoided in the implementation of future project of similar nature, such as Bayanihan2.
5	Information System Management	May review current Information System protection being applied for ACPC and determine the need to institute additional information protection measures for computers and peripherals issued to work from home employees to ensure a more secure data protection. E.g. disabling of USB ports and application of VPN connection.
6	Fund Management	To ensure immediate disposition of acquired properties may consider implementing alternative means of communicating with priority buyers of foreclosed properties other than client visits, e.g. sending of notification/communications through couriers.
7	Financial Management	<p>May consider the following:</p> <ul style="list-style-type: none"> • Establish timeframe as criteria for promptness in the release of payments to interested parties, e.g. internal employees requesting for reimbursement of out-of-pocket expenses. • Monitor compliance with issued guidelines in the preparation and submission of proposed budget for FY 2022.

Audit Report



Client	Standard	Certification Number(s)	Audit Type
Agricultural Credit Policy Council (ACPC)	ISO-9001:2015	01 100 1934875	1st Surveillance Audit

8	Top Management – Customer Satisfaction	May need to define the expected degree of satisfaction of clients for services rendered and evaluate accordingly versus customer perception given.
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5 Dates

Due Date for the next audit 2021-October-02

Agreed date for the next audit 2021-September

2020-October-14

Date

Hilario J. Capili / Melchor Camina

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.)</p> <ul style="list-style-type: none"> • External Issues <ul style="list-style-type: none"> ○ Political – not defined ○ Economic – active contributor to the Philippine economic system (+) ○ Socio-Cultural – very inclusive (+) ○ Technological – not defined ○ Legal – not defined ○ Environmental – not defined • Internal Issues <ul style="list-style-type: none"> ○ Culture – Inclusive culture (+) ○ Structure – Lacking people (-) ○ Competencies – additional requirements for CPA (-) <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"> • Positive – Department of Agriculture (DA), Farmers, Cooperatives, Rural Banks, Landbank of the Philippines (LBP), Development Bank of the Philippines (DBP), ACPC Council Members, Department of Budget & Management (DBM) • Negative - • Neutral – Bureau of Internal Revenue (BIR), Government Service Insurance System (GSIS), Philippine Health Insurance Corporation (PHIC/PhilHealth), Home Development Mutual Fund (HDMF/Pag-IBIG Fund), Commission on Audit (COA), Civil Service Commission (CSC)
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"> • Credit Support Services <ul style="list-style-type: none"> ○ Agro-Industry Modernization Credit and Financing Program (AMCFP) Administration <ul style="list-style-type: none"> - Credit funds administered - Fund Resource Mobilization / Collection and Monitoring

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	<ul style="list-style-type: none"> ○ Policy formulation, research and advocacy, monitoring and evaluation of credit policies, plans and programs and capacity building <ul style="list-style-type: none"> - Undertake policy research studies / other materials that provide timely and reliable recommendations on credit policies and programs for agriculture - Technical support to implementation of RA 10000 (Agri-Agra Reform Credit Act of 2009) - Planning and Monitoring of the Agency's Work & Financial Plan and Performance to DA, DBM and others - Secretariat / technical support to Agrarian Production Credit Program (APCP) ○ Institutional Capacity Building (ICB) Program ○ Monitoring and Evaluation and Information System Management ○ Public Affairs and Communications <ul style="list-style-type: none"> - Credit facilitation meeting / consultations / dialogues market matching seminars / workshops / fora / briefing / orientations / conferences with program partners / beneficiaries and other stakeholders - Packaging / publication and dissemination of education and communication (IEC) materials. <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"> ● Core Processes <ul style="list-style-type: none"> ○ Policy, Planning, Program Development and Advocacy <ul style="list-style-type: none"> - Policy & Planning - Accreditation & Certification - Program Development - Advocacy ○ Program Monitoring and Information Systems Management <ul style="list-style-type: none"> - Monitoring ○ Fund Management <ul style="list-style-type: none"> - Fund Recovery

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	<ul style="list-style-type: none"> - Assets Disposition • Support Processes <ul style="list-style-type: none"> ○ Administrative Management <ul style="list-style-type: none"> - HRM - General Services ○ Financial Management <ul style="list-style-type: none"> - Accounting/Budget - Treasury ○ Communication & Public Affairs ○ Information Systems Management (under PSISM) <p>The following processes have been outsourced:</p> <ul style="list-style-type: none"> • Research Studies • IT Systems Development • 3rd Party Appraisal for Assets • Vehicle Maintenance • Collections through Outsourced Agents • Manpower Sourcing • Printing and Publications • Service Providers – Consultants, ICB, External Resource Providers, Enumerators, ISP, CB <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 processes:</p> <ul style="list-style-type: none"> • IMSD (TN: ISM12331) • PRPS (TN: PRP12369) • FMD (TN: ACC12364) • FMS (TN: TMS12365) • ACD (TN: PRP12361) • MD (TN: MNE12219) • OED (TN: OED12371) • PDD (TN: none) • AD/ICB (TN: ICB12363)

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	<ul style="list-style-type: none"> • Admin-Procurement, Motorpool, Messengerial, Security, Janitorial, HRM (TN: ADM 12348) • CPAD (TN: ADM 101410) <p>Examples of risks and opportunities of processes identified are:</p> <ul style="list-style-type: none"> • Delayed implementation of ICB projects due to either Natural Calamities, Security or Dynamic changes in ICB requirements and priorities. • Audit observations memo / penalties, disallowance, suspension or termination caused by unreliable documents submitted as attachments to vouchers. • Better policy recommendations to improve agency performance which can lead the opportunity to write better research papers which captures more insights and can better support policy recommendations • Improved efficiency in retrieving documents and records and sustained records management as an opportunity to improve records management. <p>Top 5 Risks Identified for 2019 (updated as of September 2020)</p> <ul style="list-style-type: none"> • Possibility of Data Privacy / Data Security Breach • Data integrity and quality of information released to Relevant Interested Parties • Unexpected breakdown of IT equipment / Downtime IT services • Security risk of personnel during fieldwork • Lack of Manpower / Workstation <p>Top New Risks Identified for 2020</p> <ul style="list-style-type: none"> • Health risk due to COVID-19 pandemic • Declaration of stricter community quarantine protocols • Slow internet Connectivity (the use of different virtual communication platforms and online approval of documents) <p>Examples of measures taken to react on identified risks are:</p> <ul style="list-style-type: none"> • Moving training site(s) to unaffected area(s) • Revision of ICB project implementation project • Peace and order added to criteria in site selection • Realignment of resources • Creation of new project(s) /program(s) • Instruct concerned personnel to submit additional signed documents to verify

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Item	Audit result
	<p>validity of claims.</p> <ul style="list-style-type: none"> Assess unique needs of members and proactively search for trainings which may respond to need. Establish ACPC Knowledge Center or Central Library. <p>Actions Taken for the Top 5 Risks (implemented as of September 2020)</p> <ul style="list-style-type: none"> Establish data center & access control policy, Encryption of data, update of security software, security firewall Protocols to address data quality & reliability, ACPC database system for accessibility of unified & updated data from all units Regular network server & workstation maintenance Coordination & request for assistance with DA, travel insurance, experience sharing Staff hiring <p>Actions Taken for the 2020 Risks</p> <ul style="list-style-type: none"> Work from home arrangement Procurement of back-up pre-paid Wi-Fi <p>Examples of risks and opportunities concerning the context of the organization are:</p> <ul style="list-style-type: none"> Performance -Based Bonus (PBB) compliance – no achievement of ISO 9001 certification will prevent the granting of the PBB to ACPC. Improved systems and processes – it allows for more efficient and measurable performance with goal setting made more systematic. Encouragement of organizational and personal creativity and innovation – empowered organization. Feedback mechanism – allows for more openness to improvement and suggestion. ISO certification – gives respect and prestige among peers and customers. <p>Concerning risk based thinking the following tools are used:</p> <ul style="list-style-type: none"> Customized risk management methodology based on the Risk Identification and Planning Guidelines, ACPC-QMS-01, 27 Mar 2019, v0, pg.19-21 <ul style="list-style-type: none"> Definition of Terms Criteria for Consequence (Insignificant -1, Minor – 2, Significant – 3, Major – 4, Catastrophic – 5) Criteria for Likelihood (Rare -1, Unlikely – 2, Possible – 3, Likely – 4, Certain – 5)

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Item	Audit result
	<ul style="list-style-type: none"> ○ Risk Rating Matrix (Low – 1-4, Medium – 5-9, High – 10-25) ○ Criteria for Action (low – no action required, medium – more frequent monitoring / may consider pursuing opportunity, high – take immediate action / pursue opportunity) ● Customized Risk & Opportunities Register, with the following provided information: <ul style="list-style-type: none"> ○ Description of Risk or Opportunity ○ Source or Cause ○ Consequence (Impact to the intended MS outcome) ○ Risk/Opportunity ○ Current Control / Existing Situation ○ Rating ○ Priority ○ Significant? Y/N ○ Action ○ Process ○ Related document ○ Responsible unit / party ○ (*new*/change) Evaluation of Effectiveness of Action Plans
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>The following process requirements significantly affect product or service quality:</p> <ul style="list-style-type: none"> ● Policy and Planning <ul style="list-style-type: none"> ○ Policy and Planning – accurate prediction of current economic trends to allow for a well-planned and budgeted next calendar year. Similarly, well planned and designed Policy Research Studies, such as the Small Farmer & Fisherfolk Indebtedness Survey, done every 2 years by ACPC, track the borrowing behavior of farmers and fisherfolk, from formal or informal ○ Accreditation & Certification – through review and verification of all required documentation to issue accreditation for Non-Bank Rural Financial Institutions (NBRFI) and certifications of Funds and Debt Securities as per R.A. No. 10000 (Agri-Agra Law) ● Program Development and Advocacy <ul style="list-style-type: none"> ○ Program Development – through review and verification of all required documentation for approval to the PUNLA (Program for Uni-

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	<p>fied Lending to Agriculture) – PLEA (Production Loan Easy Access) Program.</p> <ul style="list-style-type: none"> ○ Advocacy – provide competence internal and outsourced trainers and service providers in providing Institutional Capacity Building (ICB) support for ACPC Credit Programs as per R.A. No. 7607 (Magna Carta for Small Farmers) ● Program Monitoring <ul style="list-style-type: none"> ○ Monitoring – scheduling of Field Evaluation for ACPC programs such as the PUNLA-PLEA, and monitoring of bank lending to farmers in conjunction with the Bangko Sentral ng Pilipinas. ● Fund Management <ul style="list-style-type: none"> ○ Fund Recovery – ensuring the effective collection of ageing (or past due) Accounts Receivables. ○ Assets Disposition – the monitoring of assignment of foreclosed properties and receivables (with attached collaterals) from closed banks through the PDIC. ● Information System Management <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> ● E.O. No. 113, s.1986 ● E.O. No, 116, s.1987 ● DA A.O. No. 5, s.1987 ● R.A. No. 7607 ● R.A. No. 8435 ● DA A.O. No. 6, s.1998 ● AMCFP, Operating Policies and Procedures, 2001 + Attachment 2 ● BSP Cir. No. 217 (1999) ● Opinion of Solicitor General (Oct 1999) ● S.O. No. 438, s.1999 ● E.O. No, 138, s.1999 ● H.R. No. 1130, s.1999 ● E.O. No. 338, s.2001 ● R.A. No. 10000, s.2009 ● IRR of R.A. No. 10000 ● DA S.O. No. 605, s.2011 ● Issues on the Rationalization Plan of ACPC, s.2013

Client	Standard	Certification Number(s)	Audit Type
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Item	Audit result
	<ul style="list-style-type: none"> • ACPC Res. No. 99-01 • DA-DOF-DBM Joint Cir. No. 1, s.2003 • Memorandum, 23 Jan 2013, Rat-Plan of ACPC
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>Submitted memorandum to the Executive Director last 2020-February-24 for the 2019 ACPC Clients Satisfaction Feedback Report contains the result gathered by the MD group on client satisfaction feedback survey conducted in 2019 covering 24 partner lending conduits and 1,323 farmer-borrowers in 29 provinces nationwide.</p> <p>Partner Lending Conduits' Overall Satisfaction with ACPC Programs (Table 7.2)</p> <p>Satisfied = 92%</p> <p>Not Satisfied = 8% (analysis; due to difficulty in complying with additional documentary requirements for the transfer of funds)</p> <p>Borrowers' Overall Satisfaction with ACPC Credit Program (Table 13.2)</p> <p>Very Satisfied = 41%</p> <p>Satisfied = 57%</p> <p>Unsatisfied = 0%</p> <p>Very Unsatisfied = 2%</p>
Internal audit and management review	<p>The organization measures MS implementation, maintenance and effectiveness by means of annually scheduled system audits. The organization reliably carries out these audits. The nonconformities identified in these internal audits had been corrected by the time the audit documented in this report was performed.</p> <p>Latest Internal Quality Audit was conducted last 2020-September-15 to 25 covering the Top Management, Core Processes, and Support Processes. The Internal Quality Audit Team was audited separately last 2020-September-28</p> <p>Audit findings were as follows:</p> <p>Non-Conformities : none (0)</p> <p>Opportunities for Improvement (OFI) : 42</p> <p>Most of the 14 unit were given an OFI for a common findings to update or improve their documented information, including the Manual of Operation, SIPOC, Risk and Opportunities Registry, and Document Masterlist. Other OFIs are related to the specific process for each unit. The 14 units are as follows:</p> <ol style="list-style-type: none"> 1. Program Development Division 2. Monitoring and Evaluation Division 3. Policy and Planning Division

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Item	Audit result
	<p>4. Accreditation and Certification Division</p> <p>5. Institutional Capacity Building</p> <p>6. Fund Recovery Division</p> <p>7. General Services Division</p> <p>8. Human Resources</p> <p>9. Financial and Management Division</p> <p>10. Communication and Public Affairs Division</p> <p>11. Bids and Awards Committee (BAC)</p> <p>12. Disposal Committee</p> <p>13. Office of the Executive Director</p> <p>14. QMS – Knowledge Management Team</p> <p>Request For Action (RFA) was issued on all raised Opportunities for Improvement (OFI). Corrections are still on-going during this 1st Surveillance Audit.</p> <p>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 2nd management review were carried out via ZOOM video conferencing in accordance with the requirements and was effective with details as follows:</p> <ul style="list-style-type: none"> • Part 1 2020-August-25 and Part 2 2020-September-28 with the agenda below: <ul style="list-style-type: none"> ○ Changes in Internal and External Issues / Updates from different unit ○ Process Performance Monitoring and Measurement Result / Targets versus Accomplishments ○ Internal Quality Audit and Corrective Action ○ Actions Taken to Address Risks and Opportunities ○ Client Satisfaction and Feedback ○ Performance of External Providers • Other required inputs are discussed on the monthly Management Committee Meeting.
Use of certificate and logo	The logo and the certificate are used in compliance with the requirements. This has been checked by sampling. The logo with QR code was used as per the guidelines provided, as posted in the ACPC website and letter heads.

Chapter of standard	4.1	4.2	4.3	4.4	5.1	5.2	5.3	6.1	6.2	6.3		
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Audit Report

Client	Standard	Certification Number(s)	Audit Type
Agricultural Credit Policy Council (ACPC)	ISO-9001:2015	01 100 1934875	1st Surveillance Audit

Rating *	1	1	1	1	1	1	1	1	1	1		
No. of nonconformity	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A		
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	1	1	1	1	1	1	1
No. of nonconformity	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Chapter of standard	9.1	9.2	9.3	10.1	10.2	10.3						
Rating *	1	1	1	1	1	1						
No. of nonconformity	N/A	N/A	N/A	N/A	N/A	N/A						

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