



Management System Certification Audit Summary Report

Organization:	APO PRODUCTION UNIT, INC. & UNITED GRAPHIC EXPRESSION CORPORATION IN THEIR CAPACITIES AS MEMBERS OF THE APO-UGEC SECURITY PRINTING JOINT VENTURE				
Address:	APO Production Unit, Inc., Lima Technology Center, Lot No. 3, Block 16, A. Mabini St., Malvar, Batangas, Philippines				
Standard(s):	ISO 9001:2015	Accreditation Body(s): UKAS			
Representative:	Ms. Tracy Elnor L. Aguirre, AVP-Performance Management, Systems and Compliance				
Site(s) audited:	Same as above	Date(s) of audit(s):	4-5 June 2018		
EAC Code:	09	NACE Code:	22.2	Technical Area code:	QM 9.1
Effective No. of Personnel:	273	No. of Shifts:	2 shifts		
Lead auditor:	Magdalena P. Balingit	Additional team member(s):	Jean A. Jimenez Jhoanna Marie B. Soriano		
Additional Attendees and Roles:	nil				
This report is confidential and distribution is limited to the audit team, audit attendees client representative and the SGS office.					

1. Audit objectives

The objectives of this audit were:

To determine conformity of the management system, or parts of it with audit criteria and its:

- ability to ensure applicable statutory, regulatory and contractual requirements are met,
- effectiveness to ensure the client can reasonably expect to achieve specified objectives, and
- ability to identify as applicable areas for potential improvement.

2. Scope of certification

**Design, development, printing, conversion, personalization, packaging, testing, storage and distribution
of products from its security printing operations**

Non applicable clause: 8.5.1f

Has this scope been amended as a result of this audit?

Yes No

This is a multi-site audit and an Appendix listing all relevant sites and/or remote
locations has been established (attached) and agreed with the client.

Yes No

Job n°: 301749	Report date: 04-05 June 2018	Visit Type: Recertification + Transition	Visit n°: V1R
CONFIDENTIAL	Document: GS0304	Issue n°: 21	Page n°: 1 of 24



For integrated audits, confirm the current level of the client's IMS integration: N/A Basic High

3. Current audit findings and conclusions

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives required by the standard(s). A sampling process was used, based on the the information available at the time of the audit. The audit methods used were interviews, observation of activities and review of documentation and records.

The structure of the audit was in accordance with the audit plan included as an annexe to this summary report.

The audit team concludes that the organization has has not established and maintained its management system in line with the requirements of the standard and demonstrated the ability of the system to systematically achieve agreed requirements for products or services within the scope and the organization's policy and objectives.

Number of nonconformities identified: 0 Major 4 Minor

Therefore the audit team recommends that, based on the results of this audit and the system's demonstrated state of development and maturity, management system certification be:

Granted / Continued / Withheld / Suspended until satisfactory corrective action is completed.

4. Previous Audit Results

The results of the last audit of this system have been reviewed, in particular to assure appropriate correction and corrective action has been implemented to address any nonconformity identified. This review has concluded that:

- Any nonconformity identified during previous audits has been corrected and the corrective action continues to be effective. (Refer to Section 6 for details) Not applicable, no NC raised during previous audit.
- The management system has not adequately addressed nonconformity identified during previous audit activities and the specific issue has been re-defined in the nonconformity section of this report.

5. Audit Findings

The audit team conducted a process-based audit focusing on significant aspects/risks/objectives. The audit methods used were interviews, observation of activities and review of documentation and records.

The management system documentation demonstrated conformity with the requirements of the audit standard and provided sufficient structure to support implementation and maintenance of the management system. Yes No

The organization has demonstrated effective implementation and maintenance / improvement of its management system and is capable of achieving its policy objectives, as well as the intended results of the respective management system(s). Yes No

Job n°: 301749	Report date: 04-05 June 2018	Visit Type: Recertification + Transition	Visit n°:	V1R
CONFIDENTIAL	Document: GS0304	Issue n°: 21	Page n°:	2 of 24



The organization has demonstrated the establishment and tracking of appropriate key performance objectives and targets and monitored progress towards their achievement. Yes No

The internal audit program has been fully implemented and demonstrates effectiveness as a tool for maintaining and improving the management system. Yes No

The management review process demonstrated capability to ensure the continuing suitability, adequacy and effectiveness of the management system. Yes No

Throughout the audit process, the management system demonstrated overall conformance with the requirements of the audit standard. Yes No

Certification claims are accurate and in accordance with SGS guidance and the organization is effectively controlling the use of certification documents and marks. N/A Yes No

6. Significant Audit Trails Followed

The specific processes, activities and functions reviewed are detailed in the Audit Planning Matrix and the Audit Plan. In performing the audit, various audit trails and linkages were developed, including the following primary audit trails, followed throughout:

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- Relating to Previous Audit Results:

Not applicable

- Relating to this Audit; including any significant changes (eg: to key personnel, client activities, management system, level of integration, etc.):

Top Management Audit/Presentation:

- Scope of QMS and its processes: APO production Unit, IMA Technology Center; accountable forms, sensitive high quality high volume, securitized printing requirements of the Republic of the Philippines
- Context of the organization: Joint Venture, recognized under NEDA 2013 Joint Venture Guidelines – high security printing of the National Government and its agencies.

Vision; Values CIPITS.

- Needs and expectations of interested parties: February 2018 strategic Planning; Requirements of Clients. External providers, Employees, Shareholders, Technopark Administration, LGU, Regulatory Bodies.

Cylinder Making; Personalization for the Tax Stamp; Security guards – Jamilla; Wastes hauler; access/security providers/IRSIS – personalization provider/NEC – systems passport.

- Risk assessment/Actions taken to address risk: Macro level; projects are assessed for overall viability, including risks and opportunities; due diligence is conducted for all new suppliers and service providers/SWOT analysis/reviewed last February 2018.
- Leadership and commitment/ Organizational structure including roles, responsibilities and authorities: Executive Com – President – Executive VP – VP Operations.

Job n°: 301749	Report date: 04-05 June 2018	Visit Type: Recertification + Transition	Visit n°:	V1R
CONFIDENTIAL	Document: GS0304	Issue n°: 121	Page n°:	3 of 24