



## 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:	Edna Y. Cureg				
Site(s) audited:	Same as above		Date(s) of audit(s):	27-30 January 2020	
EAC Code:	09	NACE Code:	22.2	Technical Area code:	QM9.1
Effective No. of Personnel:	396		No. of Shifts:	2 shifts (24 hours operation)	
Lead auditor:	Ellen S. Cruz		Additional team member(s):	Joel T. Portugal (day 2 only)	
Additional Attendees and Roles:	-				
<i>This report is confidential, and distribution is limited to the audit team, audit attendees, client representative, the SGS office and may be subject to Accreditation Body, Certification Scheme owners or any other Regulatory Body sampling in line with our online Privacy Statement which can be accessed <a href="#">here</a></i>					

### 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.

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

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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 3 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)
- 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

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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

### Opening and Closing Meeting Attendance Record

Name	Position	Opening	Closing
Edna Y. Cureg	Executive Vice President	/	/
Elvie B. Cureg	Manufacturing Operations Head	/	
Leonardo de Jesus	Plant Operations Manager – Apo Lima	/	/
Scott Price W. Atayde	Apo Business Development Manager	/	
Glenn P. Cureg	Technical Operations	/	/
Avelino Fortes	Production Manager	/	/
Beverly Ann Olap	Sales and Marketing	/	
Lino Angelo Pasion	Logistics Head	/	
David Adis	Secured ID	/	/
Percival de Castro	APO-PPC/SCM	/	/
Blanca Manalo	HR-Manager	/	/
Manolito M. Fabian	Technology and Process	/	
Daniel Victor Biscocho	Personalization	/	
Giolet Lindo	Senior Manager - Accounting	/	
Frances Ann P. Magnaye	IMS	/	
Rhoderick Rodica	HRM	/	
Jerry Jallores	Security Management	/	

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Michael V. Licup	PCO / HR & Admin	/	
Ma. Concepcion Villa	PP Personalization Supervisor	/	
Jayson Navarez	Logistics	/	

Next audit: due on or one month before 30 January 2021.

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