

Audit plan
CN: 01 100 1900207TRP



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Client:	National Wages and Productivity Commission	If there are no client changes to the audit plan one week prior to the audit, then the audit plan is considered approved.
Location(s) / Production facility (facilities) / temporary sites / other premises of service delivery:	Site 1/HQ – Central Office – 2/F and 3/F Dy International Building, San Marcelino Street corner Gen. Malvar Street, Malate, Manila City Site 2 – Regional Tripartite Wages and Productivity Board – NCR 2/F Dy International Building, San Marcelino Street corner Gen. Malvar Street, Malate, Manila City Site 4 - Regional Tripartite Wages and Productivity Board – IVA 3rd Flr. Milan Prestige Bldg., National Highway, Brgy. Halang Calamba City, Laguna Site 10 - Regional Tripartite Wages and Productivity Board – VI Rm. 30, 3/F Doña Maria Bldg., La Castilla, cor. EL 98 Sts., Jaro Iloilo City Site 14 - Regional Tripartite Wages and Productivity Board – X 2nd Floor, Trinidad Building, Corrales-Yacapin Streets, Cagayan de Oro City Site 16 - Regional Tripartite Wages and Productivity Board – XII Marjoses Building 2, Secretary Jessie M. Robredo Avenue, Purok Pag-Ibig, Brgy. Zone III, Koronadal City, South Cotabato Province	
Scope of application:	Implementation of Policies and Programs on Setting Minimum Wage for Private Enterprises and Promotion of Productivity Improvement and Gainsharing	
Applicable standard, Audit criteria:	ISO 9001:2015, Management system documentation of the organization, Terms and conditions of certification	
Type of audit:	1st Surveillance Audit	
Client's representative:	Maria Criselda R. Sy, Executive Director IV Elvira P. Jota , OIC-Deputy Executive Director/ ISO Coordinator	
Audit objective:	Management system conformity assessment under application of sampling with the purpose of maintaining the existing certification Determination of the ability of the management system to ensure the organization meets applicable statutory, regulatory and contractual requirements Determination of the effectiveness of the management system to ensure the organization can reasonably expect to achieving its specified objectives	
Audit language(s):	English, Filipino	
Audit leader:	Hilario j. Capili (HC)	Auditor(s): Loinell Aala (LA) Melchor Camina (MC)* Ernesto Demoy (ED)*

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Rolando Remitar (RR)*

external, company:

external, company:

Environmental verifier:

Expert(s):

extern, Firma:

extern, Firma:

City, date audit plan preparation:

Taguig City, 2023-March-23

Date of last update: N/A

Reasons for modification of the audit plan during the audit:

A room should be available to the auditors for their internal assessment. Auditee representatives accompany the auditors during the entire audit. During the opening meeting, at the latest, the audit team has to be informed about aspects relevant to occupational health and safety in the company.

Audit time Overview Location

Refresh sums: Mark cell and press F9	9001 [Audit time in md]						Sum (on line):
	DAY 1; 2023-March-29		DAY 2; 2023-March-31				
Debit Location:	0.5	0.5	1.25	0.5	0.5	0.5	3.75
	Site 16 Koronadal XII	Site 14 CDO X	Site 1 HQ	Site 2 NCR	Site 4 Calamba IV A	Site 10 Iloilo VI	
Hilario J. Capili (HC)	0.5		0.625				1.125
Lionell Aala (LA)				0.5			0.5
Melchor Camina (MC)					0.5		0.5
Ernesto Demoy (ED)			0.625				0.625
Rolando Remitar (RR)		0.5				0.5	1.0
TOTAL	0.5	0.5	1.25	0.5	0.5	0.5	3.75

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Date / Time	Organizational Unit and Processes	Auditor/ Abbrev.I	Interviewee	Standard Chapter
DAY 1; 2023-March-29				
March 29 (Fly in) Audit – afternoon of March 29; Flight out March 30 morning				
Site 16 Regional Tripartite Wages and Productivity Board – XII				
Marjoses Building 2, Secretary Jessie M. Robredo Avenue, Purok Pag-Ibig, Brgy. Zone III, Koronadal City, South Cotabato Province				
8:00 – 8:15 1:00 – 1:15	Opening Meeting	HC		
8:15 – 10:15 1:15 – 3:15	Core Process/ Regional Operations: - Policy Formulation - Training - Information and Advisory Services - Application for Exemption Resolution	HC	Jessie M. Dela Cruz	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
10:15 – 11:30 3:15 – 4:30	Support Processes/ Regional Operations: - Documented Information Management - IEC Materials Management - Human Resource Management - Facilities/ Equipment/ Vehicles/ ICT (Preventive and Corrective Maintenance)	HC		5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
11:30 – 12:00 4:30 – 5:00	Wrap-Up of Findings	HC		
12:00 5:00 pm	End of Site 16 Audit			
Online (subject to approval and capability assessment scheduled on March 27, 2023 8:00 – 12:00 nn) Audit - March 29				
Site 14 Regional Tripartite Wages and Productivity Board – X				
2nd Floor, Trinidad Building, Corrales-Yacapin Streets, Cagayan de Oro City				
8:00 – 8:15	Opening Meeting	RR		
8:15 – 10:15	Core Process/ Regional Operations: - Policy Formulation - Training - Information and Advisory Services - Application for Exemption Resolution	RR	Atty. Ma. Vergel B. Walag	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3

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Date / Time	Organizational Unit and Processes	Auditor/ Abbrev.I	Interviewee	Standard Chapter
	Flexi Time 7:00 a. to 6:30pm, M-F (WFH every Friday)			
10:15 – 11:30	Support Processes/ Regional Operations: - Documented Information Management - IEC Materials Management - Human Resource Management - Facilities/ Equipment/ Vehicles/ ICT (Preventive and Corrective Maintenance)	RR		5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
11:30 – 12:00	Wrap-Up of Findings	RR		
12:00	End of Site 14 Audit			

DAY 2; 2023-March-31

Site 1 / HQ Central Office – 2/F and 3/F Dy International Building, San Marcelino Street corner Gen. Malvar Street, Malate, Manila City

8:00 – 8:30	Opening Meeting		Management Team, Management Representative; Process Owners	
8:30 – 9:30	Top Management - Business Planning - Strategic Directions Special Focus: - Changes in the QMS - Quality Policy - Quality Objectives - Interested Parties and their requirements - Resources - Applicable Regulatory and Statutory Requirements - Customer Satisfaction; Feedback and Complaints Handling - Risk and Opportunity Management - Personnel Development/ Competency - Management Review - Contract Terms and Conditions	TUVR Audit Team	Maria Criselda R. Sy Elvira P. Jota Charmane Pia O. De Jesus	4.1, 4.2, 4.3, 4.4, 5.1, 5.2, 5.3, 6.1, 6.2, 6.3, 7.1, 8.1, 8.2, 8.4, 8.5, 9.1, 9.3, 10.1, 10.2, 10.3

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Date / Time	Organizational Unit and Processes	Auditor/ Abbrev.I	Interviewee	Standard Chapter
Flexi Time 7:00 a. to 6:30pm, M-F (WFH every Friday)				
9:30 – 10:30	Internal Audit Process; Nonconformity and Corrective Action Control of Documented Information	HC	Lourdes M. Secillano/ Michelle Irish D. Mackay Donnabeth D. Yodico	5.3, 6.2, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1, 9.2, 10.1, 10.2, 10.3 Verification of action taken from previous audit; use of TUVR logo
9:30 – 12:00	- Policy Formulation - Training Design and Development - Appeals Resolution Management (Wage Order/ Exemption)	ED	Maria Corazon P. Caritativo Donnabeth D. Yodico Amelia C. Kakazu Atty. Faye Marie M. Sabate	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
10:30 – 12:00	Planning and Information Division, including Customer Satisfaction, Customer Feedback and Complaints Handling	HC	Lourdes M. Secillano	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
12:00 – 1:00	Lunch Break			
1:00 – 1:30	Follow-up of Open Items / Consolidation of Audit Findings			
1:30 – 2:00	Closing Meeting			
2:00	End of Audit			

Site 2 Regional Tripartite Wages and Productivity Board – NCR
2/F Dy International Building, San Marcelino Street corner Gen. Malvar Street, Malate, Manila City

8:00 – 8:15	Opening Meeting	LA		
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Date / Time	Organizational Unit and Processes	Auditor/ Abbrev.I	Interviewee	Standard Chapter
Flexi Time 7:00 a. to 6:30pm, M-F (WFH every Friday)				
8:15 – 10:15	Core Process/ Regional Operations: - Policy Formulation - Training - Information and Advisory Services - Application for Exemption Resolution	LA	Atty. Kim S. Lagcao	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
10:15 – 11:30	Support Processes/ Regional Operations: - Documented Information Management - IEC Materials Management - Human Resource Management - Facilities/ Equipment/ Vehicles/ ICT (Preventive and Corrective Maintenance)	LA		5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
11:30 – 12:00	Wrap-Up of Findings	LA		
12:00	End of Site 2 Audit			

Site 4 Regional Tripartite Wages and Productivity Board – IVA

3rd Flr. Milan Prestige Bldg., National Highway, Brgy. Halang Calamba City, Laguna

8:00 – 8:15	Opening Meeting	MC		
8:15 – 10:15	Core Process/ Regional Operations: - Policy Formulation - Training - Information and Advisory Services - Application for Exemption Resolution	MC	Atty. Rio Ariel A. Soriano	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
10:15 – 11:30	Support Processes/ Regional Operations: - Documented Information Management - IEC Materials Management - Human Resource Management - Facilities/ Equipment/ Vehicles/ ICT (Preventive and Corrective Maintenance)	MC		5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
11:30 – 12:00	Wrap-Up of Findings	MC		
12:00	End of Site 4 Audit			

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Date / Time	Organizational Unit and Processes	Auditor/ Abbrev.I	Interviewee	Standard Chapter
March 31 (Fly in) Audit – afternoon of March 31; Flight out April 1				
Site 10 Regional Tripartite Wages and Productivity Board – VI Rm. 30, 3/F Doña Maria Bldg., La Castilla, cor. EL 98 Sts., Jaro Iloilo City				
8:00 – 8:15 10:00 – 10:15	Opening Meeting	RR		
8:15 – 10:15 10:15 – 12:15	Core Process/ Regional Operations: - Policy Formulation - Training - Information and Advisory Services - Application for Exemption Resolution	RR	Atty. Mark Vernon C. Dioquino	5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
10:15 – 11:30 1:15 – 2:30	Support Processes/ Regional Operations: - Documented Information Management - IEC Materials Management - Human Resource Management - Facilities/ Equipment/ Vehicles/ ICT (Preventive and Corrective Maintenance)	RR		5.3, 6.1, 6.2, 6.3, 7.1, 7.2, 7.3, 7.4, 7.5, 8.1, 8.2, 8.3, 8.4, 8.5, 8.6, 8.7, 9.1, 10.1, 10.2, 10.3
11:30 – 12:00 2:30 – 3:00	Wrap-Up of Findings	RR		
12:00 3:00 pm	End of Site 10 Audit			

In case of an audit team the documentation of evidence must be made separately (exception top management). Adequate contact persons in the company must be mentioned in the audit plan.

As per the contract, all work documents are treated confidentially and are stored securely.

Distribution for the client:

(Established by the client)

Distribution for the audit plan:

- Client
 Certification Body (Bodies)
 Auditor/Expert
 Database

First Surveillance Audit Findings of TUVR dated March 29 & 31, 2023
Opportunities for improvement

No.	Unit/Dept Site	Recommendations and opportunities for improvement	Recommended Action	Responsible Unit/Person	Timelines	Status
1	Site 2: NCR – Risk Management	Consider to review the Risk Register to include monitoring tools / files use by the organization (e.g. can also per site) to easily determine what official standard to check for verifying the consistency of actions.	CO and RBs to review/reorient all staff on the Risk Management Process (PM-NWPC-QMS-02-3.0 RBs to update respective regional risks and opportunities	QMS Training Team PMs, RTWPBs	June 2023 Q3 2023 (to be checked during IQA)	
3	Site 2: NCR – Records Control	Consider to check with NWPC for the storage, safekeeping, disposal and authorization on those soft copy files for video /zoom (Does committee member should also involve in decision as their designation is at least max of 5 years)	AD-Records to formulate Guidelines on the management of multimedia resources of the office. Specifically, all units shall be instructed to save all multimedia resources (photos and videos) in the gallery of their respective NWPC Connect pages. AD will research appropriate safe-keeping and maintenance of meeting recordings.	AD, Records	June 2023	
4	Site 14 RTWPB – X Operation	May ensure the following: - Posting the contact numbers required by Civil Service for complaints including 8888 - Real update of risks and opportunities since the entries are still the same since 2021	CO to update the NWPC poster on CSC ARTA and performance pledge for dissemination to all RBs for tarpaulin printing and posting to respective offices Refer to Item 1	HR, MIS RTWPBs	May 2023 To be checked during IQA	

No.	Unit/Dept Site	Recommendations and opportunities for improvement	Recommended Action	Responsible Unit/Person	Timelines	Status
6	Risk Management	<p>May review the system on how to determine the effectiveness of the action taken where the result can be based on the factors of likelihood, severity, and detectability</p> <p>May need to set an RPN level where the resulting risk upon the implementation of mitigating action could be considered as low or acceptable risk</p>	Refer to Item 1			
7	Site 1/HQ Corrective Action	<p>Consider to enhance the corrective action process on the following aspects:</p> <ul style="list-style-type: none"> a. Actual date when the NCCAR was issued to serve as reference for the succeeding monitoring b. Specific date of the Corrective Action implementation c. Consistent identification of the Root Cause d. Timeline for the conduct on the verification of effectiveness of implemented action e. Perform evaluation of the Risk and affected QMS system f. Monitoring summary of audit findings for an efficient tracking of all needed activities to the closure of NCCAR 	<p>QMS Audit Team to review and revise, if necessary, the Control of Non-Conformance and Corrective Action processes to address the recommendations of TUVR</p> <p>QMS Audit Team to conduct reorientation on accomplishing the NCCAR and root cause analysis</p> <p>QMS Audit Team to develop monitoring systems of audit findings</p>	Audit Team	June 2023 (tentative)	

No.	Unit/Dept Site	Recommendations and opportunities for improvement	Recommended Action	Responsible Unit/Person	Timelines	Status
8	Site 1/HQ Document Control	At this stage where digitalization is being developed, may consider drafting the needed control of documented information in electronic form	DCC to coordinate with MIS on the control of QMS documents posted in the NWPC Connect MIS to study the available features to institute control on printing and downloading of forms (controlled or uncontrolled documents)	NWPC-DCC MIS	May 2023	Done; eQMS files in NWPC Connect could only be downloaded and printed by authorized personnel
9	Site 4 RTWPB - IVA Policy Formulation – Risk Assessment	May review the current register of risk and opportunities applicable to the Regional Site concerned and update and evaluate accordingly in consideration of other related risk and consequences e.g. change in leadership.	Refer to Item 1 RB-IVA and similarly situated regions may include the change of Board Chairperson in their risk register; Recommended action may include the orientation of the Chairperson on the wage and productivity updates in the region	RTWPBs	Q3 2023 (to be checked during IQA)	
10	Site 4 RTWPB - IVA Customer Satisfaction	May need to maintain a summary of customer satisfaction survey results and determine the need to take action on survey/feedback results for continual improvement.	RBs to regularly accomplish the monthly summary of customer satisfaction measurement (FM-NWPC-PID-12) which includes Action Taken on Ratings Below "Satisfaction" or "3" and comments of participants (part D of the form)	RTWPBs, PID	May 2023	
11	Site 4 RTWPB - IVA Training	May monitor closely the timelines in the completion of training provisions given to certain clients on a plan vs. actual basis and determine the need to take action on identified causes in the delays encountered.	TTSD to revise the training calendar format to include planned, actual implementation of training program and remarks/recommendation RBs to revise training calendar as soon as the revised form is available	TTSD RTWPBs	May 2023	

No.	Unit/Dept Site	Recommendations and opportunities for improvement	Recommended Action	Responsible Unit/Person	Timelines	Status
12	Site 4 RTWPB - IVA Equipment/Facilities – Control of External Service Providers	May need to establish criteria in the selection and evaluation of performance of local service providers, e.g. providers of training/meeting venues and also maintenance service providers for equipment with expiring/expired warranty provision.	Refer to Item 5b	AD, Procurement PMs RTWPBs	May 2023	