



MANAGEMENT SYSTEMS SOLUTIONS

# Audit report

## 2. Surveillance Audit

ISO 9001:2015

# Office of the Government Corporate Counsel

3rd Floor MWSS Administration Building, Katipunan Road, Matandang Balara  
1119 Quezon City  
Philippines

## Single site

**Audit date:**

From: 05 Nov 2021 to: 05 Nov 2021

REF No.: 50500984

# 1. Certificate recommendation

Thank you for your cooperation during the recent audit of your organization. This report describes the audit results including strengths, opportunities, and weaknesses. These results were presented to your management at the closing meeting of the audit. You should now use these results to further strengthen your management system. We look forward to continue our partnership towards sustainable business success.

## ISO 9001:2015

### Overall evaluation

The management system is fully effective and fulfils the requirements of the applied standard(s). No nonconformities were identified.

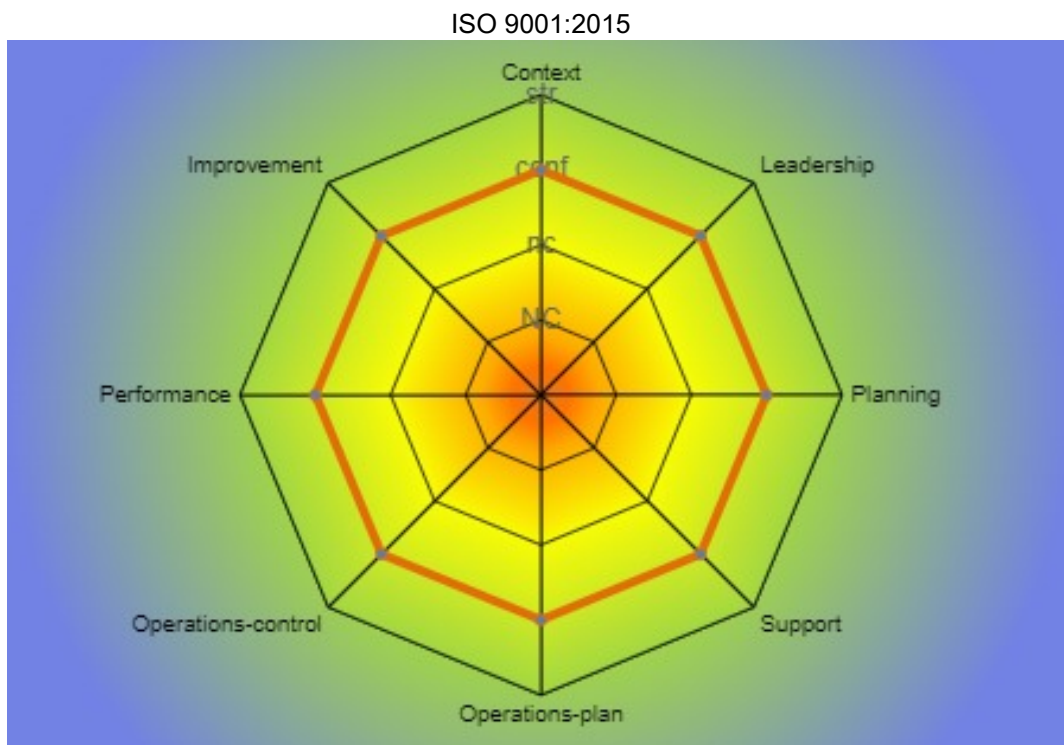
### The audit team recommends to DQS in reference to the applied standard:

The maintenance of the existing certificate.

## 2. Audit results

### 2.1 Executive summary

The audit team confirms that the audited company has implemented and maintains a management system in accordance with the applied standard(s). Detailed audit results were presented, explained and, as necessary, discussed with the organization's management during the closing meeting. The following chart provides a graphic overview of the respective audit findings and evaluations, which are stated explicitly in chapter 3 of this audit report.



#### Rating in 4 levels

*NC = major nonconformity was identified, conformity to standard requirement was not evident or potential risk for providing nonconforming product/service to customer*

*nc = minor nonconformity was identified, single or isolated deficiencies were identified without impact onto the system's effectiveness*

*conf = conforming, all requirements are fully met, (with or without potential for improvement)*

*str = conforming, all requirements are fully met and significant strength was identified, evident through excellent results*

All audit findings are based on a sampling process, targeted towards reliable evidence for effective implementation and compliance of the management system. Where applicable findings and required corrective action plans were or will be agreed upon with the responsible managers or management representatives, steps have been or will be defined to resolve such non-conformity. Further business aspects may exist, positive or negative, which have not been reviewed by the audit team. It is the organization's responsibility to investigate and evaluate the potential impact and scope of findings, thus continuously ensuring full compliance to the applied standard(s).

## 2.2 Strength(s) - Exceed(s) the requirements of the standard/specification

No.	Standard	Requirement	Process	Statement	Evaluation
1	ISO 9001:2015	5.1	Management Review, Internal and External Issues, Risk and Opportunity Register, Interested parties their needs and expectations	The organization has implemented strict COVID-19 protocols such as implementation of a Health Protocol Officer, transition of trainings and meetings to online, QR Health Declaration (Stay Safe APP), and 100% Vaccination of all its employees.	Strength
2	ISO 9001:2015	7.2; 7.3	Competence, Training, Awareness, Organizational Knowledge	<p>The organization has implemented a comprehensive Training Program for its employees in which all of its employees are given at least 1 training per year. CIP: Based on completed trainings for the year they have exceeded this target with some employees having a minimum of 3 to 4 completed trainings already for the year.</p> <p>It is commendable that they have utilized training programs which uses Video on Demand for the continual education of its staff.</p>	Strength
3	ISO 9001:2015	10.2	Internal Audits	The organization has implemented in its CAR report the use of 5 WHY methodology, and that a comprehensive review and analysis of the root causes of Non-conformities is conducted. A CAR team is also developed to monitor and evaluate the effectiveness of Corrective Actions.	Strength
4	ISO 9001:2015	8.1	Legal Services - Legal Opinion and Contract Review	It is commendable how the organization implements a Opinion Tracking Form which monitors the timeline and completion of activities to ensure quality services and are delivered on time.	Strength
5	ISO 9001:2015	9.1	KPM Monitoring, Performance Evaluation, Objectives, Improvement	It is noteworthy that the organization has achieved a client satisfaction rating of 98% in its customer feedback and evaluation.	Strength

## 2.3 Opportunities for improvement and non-conformities

nc = minor nonconformity, NC = Major nonconformity, OFI = Opportunity for improvement

No.	Standard	Requirement	Process	Statement	Evaluation
1	ISO 9001:2015	7.2	Competence, Training, Awareness, Organizational Knowledge	The organization has established an on-boarding / orientation program for its new employees. May consider to develop different sets of post examination test.	OFI
2	ISO 9001:2015	8.1	Library	The organization has established a System & Procedure Manual (Doc. No. IMP-LIV-001), may consider to review the requirements or guidelines for removal or disposal of old and/or damaged books or materials in the library.	OFI
3	ISO 9001:2015	8.4	Purchasing/Procurement - Supply and Property	The organization has established Procurement of Goods and Services & Common Supplies (INT-SUP-001), there is an opportunity to review the process for products which are non-confirming.	OFI
4	ISO 9001:2015	7.5	Control of Documented Information	<p>The organization has a well-established Document control procedure, there is an opportunity to include the revision history incorporated in the Procedure manuals to reflect changes in the document.</p> <p>There is an opportunity for the organization to conduct document audit with its document controllers to ensure all documents are updated and obsolete documents are removed from the system.</p>	OFI

### 3. Evaluation of the management system

#### 3.1 Context of the organization

ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined external and internal issues relevant to its purpose and ability to achieve the intended outcome of its management system. (4.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined relevant needs and expectations of interested parties and determined which needs and expectations are compliance obligations. (4.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined its management system scope considering applicable issues, compliance obligations, boundaries, activities, and functions. (4.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
For every process all standard requirements have been applied effectively (inputs, outputs, criteria, indicators, resources, interaction, authority, risk). (4.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 3.2 Leadership

ISO 9001:2015

	NC	nc	conf	str	not audited
Top management demonstrates leadership and commitment with respect to the management system and take accountability for its effectiveness. (5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The policy and objectives are established and understood; they are compatible with context and strategic direction of the organization. (5.1, 5.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Top management ensures customer focus, including awareness for requirements, risks, opportunities and customer satisfaction. (5.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organizational roles, responsibilities and authorities are assigned, communicated, understood and supported by top management. (5.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The audited company's current quality policy is dated 11 Nov 2019.

### 3.3 Planning

ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined risks and opportunities considering interested parties and scope of the management system. (6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has determined and planned suitable actions to assure intended outcomes, including compliance obligations to address risks and opportunities. (6.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Objectives (measurable) have been established at all relevant functions, levels and processes (and are being pursued). (6.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Action planning to achieve quality objectives is deployed effectively, including the need for change (who, when, what, how, resources, evaluation of results). (6.2, 6.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



### 3.4 Support

ISO 9001:2015

	NC	nc	conf	str	not audited
Necessary resources (people, infrastructure, organizational knowledge, environment for the operation of processes) including monitoring and measuring resources are determined and provided for the establishment, implementation, maintenance and continual improvement of the management system. (7.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Necessary competence and awareness of personnel operating under the organization's control is ensured. (7.2, 7.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Effective internal and external communication is determined (who, how, what, when). (7.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Documented information is determined, available, maintained and controlled, ensuring effectiveness of the management system and its processes. (7.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 3.5 Operation

#### a) Planning operation

ISO 9001:2015

	NC	nc	conf	str	not audited
All operational processes needed to meet product and service requirements, including customer-specific requirements, are planned, implemented and controlled effectively. (8.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Effective customer communication ensures that all relevant requirements related to product and service are determined, reviewed and confirmed. (8.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization has established, implemented and maintains an effective design and development process, ensuring subsequent provision of compliant product and services. (8.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Externally provided processes, products and services are effectively controlled, including selection and evaluation of external providers. (8.4)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## b) Controlling operation

ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has ensured controlled conditions for all production and service provision operations, including post-delivery activities. (8.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitoring and measuring activities are suitable to support controlled conditions, including prevention of human error. (8.5)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
The organization ensures release of conforming product and service by planned arrangements effectively. (8.6)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nonconforming process output is identified and controlled to prevent unintended use or delivery. (8.7)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### 3.6 Performance evaluation

ISO 9001:2015

	NC	nc	conf	str	not audited
The organization has determined adequate measuring and monitoring provisions to evaluate performance and effectiveness of its management system, including customer satisfaction. (9.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
The organization has determined and implemented processes needed to evaluate fulfilment of its compliance obligations and maintains knowledge and understanding of its compliance status. (9.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An internal audit program is planned and deployed effectively by competent personnel, ensuring compliance and suitability of the management system. (9.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Top management performs management review to ensure continuing suitability, adequacy and effectiveness of its management system, including alignment with the strategic direction of the organisation. (9.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The last management review was performed on 22 Oct 2021.

### 3.7 Improvement

ISO 9001:2015

	NC	nc	conf	str	not audited
The organization determines and selects opportunities for improvement and implements necessary actions to achieve the intended outcomes of its management system. (10.1)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complaints and improvement proposals are registered and treated effectively. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Corrective action is implemented effectively and appropriately, eliminating causes for nonconformity with risk identification and evaluation of corrective action effectiveness. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
When nonconformities have occurred the organization has reacted to control and provide correction. Defined corrective action from previous audit has been implemented effectively. (10.2)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Considering the results from analysis, evaluation and management review, the organization continually improves suitability, adequacy and effectiveness of its management system. (10.3)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## 4. Further audit results

### 4.1 Sampling bases for employees

Management personnel	5	thereof interviewed	5	= 100%
Employees without management authority	40	thereof interviewed	10	= 25%
Total employees	45	thereof interviewed	15	= 33%

Since time of audit planning, total number of employees has not changed.

### 4.2 Audited shifts

Does the organization work in multiple shifts?  Yes  No

Is any part of this audit based on remote auditing?  Yes  No

### 4.3 List of relevant processes

Process:	Performance indicator(s):	Remarks	Audited
Management Review, Internal and External Issues, Risk and Opportunity Register, Interested parties their needs and expectations	Number of open and closed items based on the previous management review meeting, internal audit results, customer satisfaction, customer complaints and feedback, nonconformities and corrective actions, performance of external providers, effectiveness of actions taken to address risks and opportunities, opportunities for improvement	Targets are achieved and reported to Top Management for review and approval.	yes
KPM Monitoring, Performance Evaluation, Objectives, Improvement	Number of open and closed items based on the key performance results, process performance and conformity of products and services, quality objectives, opportunities for improvement	Targets are achieved and reported to Top Management for review and approval.	yes
Internal Audits	Number of findings noted during the internal audit, Classification of Findings (Major, Minor, OFI), Number of closed audit findings,	Targets are achieved and reported to Top Management for review and approval.	yes
Control of Documented Information	Number of Documented information processed	Targets are achieved and reported to Top Management for review and approval.	yes
Competence, Training, Awareness, Organizational Knowledge	Number of trainings conducted per year	Targets are achieved and reported to Top Management for review and approval.	yes
Personnel	Provide OGCC with competent human resource and ensure continual improvement by providing training and development program	Targets are achieved and reported to Top Management for review and approval.	yes

Process:	Performance indicator(s):	Remarks	Audited
Cashier	Submit cash receipts record to COA on the 4th day of the following month	Targets are achieved and reported to Top Management for review and approval.	yes
Accounting	Submit Check Disbursement Record to COA on the 24th day of the following month.	Targets are achieved and reported to Top Management for review and approval.	yes
Purchasing/Procurement - Supply and Property	Ensure adequate availability of supplies, materials, equipment, furniture and fixtures in accordance to General Procurement Law. Ensure conduct of repair and maintenance of properties and equipment.	Targets are achieved and reported to Top Management for review and approval.	yes
Legal Services - Legal Opinion and Contract Review	Transmitted reviewed contracts and rendering legal opinion to the requesting party 20 working days after request.	Targets are achieved and reported to Top Management for review and approval.	yes
Records Management	Records and Archives Manual	Targets are achieved and reported to Top Management for review and approval.	yes
Library	Learning resources available is effectively being monitored	Targets are achieved and reported to Top Management for review and approval.	yes

#### 4.4 Further locations of certificate scope

None

## 5. Next steps

### 5.1 Process to resolve nonconformities / findings

No nonconformities were identified.

### 5.2 Next regular audit planning

Type of audit:	Recertification Audit
Planned date for next audit: (non-binding estimate of audit days)	12 Jul 2022 - 13 Jul 2022 (week or month, if appropriate) For ISO 9001:2015: 3 audit day(s) in total, performed by 2 auditor(s). For applicable standards calculated as 100% value of IAF mandatory document for audit duration.
The estimated amount of time for verification of action plans for the next audit/year is:	N/A
Main emphasis will be on the following subjects:	Competence, Documented Information, Procurement, Library and all relevant clauses of ISO 9001:2015 standard.



## 6. Audit and Certification Data

### 6.1 Certification data

Current scope of certification/registration	ISO 9001:2015: Provision of Contract Review and Rendering of Legal Opinion
Primary IAF / EA code	EAC36

### 6.2 Certificate, logos and their use

The symbols and logos of DQS, the accreditation bodies and IQNet are being used appropriately

### 6.3 Changes, identified during the audit

Basic data changes identified during the audit (if applicable) are incorporated into the audit report and are automatically transmitted to DQS.

Please remember to inform DQS immediately of any significant changes to your management system. We will analyse the changes and inform you about the possible impact to your certification.

### 6.4 Fulfillment of audit objectives and audit schedule

Audit objectives and audit schedule were fulfilled without changes.

### 6.5 Audit data

Name of the organisation(client):	Office of the Government Corporate Counsel
Division	
Main address:	3rd Floor MWSS Administration Building, Katipunan Road, Matandang Balara, 1119 Quezon City, Philippines
Ref. No.:	50500984
Audit type:	2. Surveillance Audit
Surveillance frequency (mth):	12
Date of audit:	05 Nov 2021 to 05 Nov 2021
Total number of audit days:	1
Date of previous stage2 / initial audit:	to
Exclusions, if applicable:	Design
Total number of employees of ref.no. above:	45

## 6.6 Contact data

Top management: Bel Derayunan  
Telephone:  
E-Mail: recderayunan@gmail.com

Management Representative: Rhoda Daet  
Telephone:  
E-Mail: rhodadaet@ogcc.gov.ph

Lead-Auditor: Jenny Barachina  
Audit days: 1.00  
Telephone:  
E-Mail: jenny.barachina@dqs-phils.org

Expert: Umalab Tadina  
Audit days: 0.00  
Telephone: 0927-764-1170  
E-Mail: umalab.tadina@dqs-phils.org

DQS Customer service person: Romeo Zamora  
Telephone: (0917) 821-1148  
E-Mail: romeo.zamora@dqs-phils.org

Report last version date: 09 Nov 2021

Lead Auditor: Jenny Barachina

This report was provided to the management of the audited organization on 05 Nov 2021

by personal handover  electronically  by other means (please specify)

## Disclaimer

DQS maintains ownership of this report. The content of this report and all information received in relation to the audit and certification of the audited organization will be treated confidential and not disclosed to third parties. For exceptions e.g. disclosure to accreditation body refer to DQS Certification and Assessment Regulations.

This report is considered as final by the audit team, if you do not get any adverse information from DQS within 14 days after the last audit day. The recommendation of the audit team is subject to review and approval by DQS technical certification experts, who take binding certification decision. An appeal process is defined in DQS Certification and Assessment Regulations. Should DQS obtain any information indicating nonconformity of the certified management system, DQS will notify the certified organization timely and initiate investigation and evaluation of such information.

### **Distribution:**

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