



CLOSING MEETING

1st Surveillance Audit

CLOSING MEETING

THANK YOU VERY MUCH!

LBP LEASING AND FINANCE CORPORATION (LLFC)

Management, QMS Team & All staff / Auditees

- Hospitality
 - Assistance
 - Cooperation
 - Generosity
 - Kind Support
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We pledge for the confidentiality of your -

- Information
 - System
 - Customer
 - Strength and weakness
-

- **Everything cannot be checked**
 - **Audit will be based on sampling**
 - **Audit result will be based on outcome of the verification of audited sample**
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Non fulfillment of a requirement. Requirement can be from :-

- ❖ **ISO 9001:2015**
 - ❖ **Your established QMS**
 - ❖ **Statutory & Regulatory requirements**
 - ❖ **Customer requirements**
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Nonconformity that does not affect the capability of the management system to achieve the intended results

It can be either one of the following situations:

- **a single system failure or lapse in conformance with a ISO 9001 standard or customer quality management system requirement; or**
 - **a single system failure or lapse in conformance with a procedure associated to the organization's quality management system.**
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Nonconformity that affects the capability of the management system to achieve the intended results.

Nonconformities could be classified as major in the following circumstances:

- if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;**
 - a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.**
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Relates to a matter about which the assessor is concerned but which cannot be clearly stated as a non-conformance.

Opportunity for improvement also indicates trends that may result in a future non-conformance.

GOOD POINTS:

- 1) The Top Management Commitment in consistently implementing the Quality Management System is commendable.
- 2) The detailed management review minutes of meeting was noteworthy.
- 3) The detailed action plans and status of actions implementation for Audit Observations is a good practice;
- 4) The LBP-LFC's customers satisfaction survey result (2020) is commendable.
- 5) The inclusion of audit results to the 'Process Risks is a good practice
- 6) The integration and implementation of risks and opportunities action plans to QMS Procedures are good practices.
- 7) The provision of Training to enhanced the awareness and competence of QMS Personnel is noteworthy. E.g.
 - Internal Auditors Training, Root Cause Analysis Training, ISO Awareness-Training

GOOD POINTS:

- 8) *The consistency of meeting the number of days to accomplished the credit investigation of within 3 days up to 5 days is commendable.*
- 9) *The orderliness of the shared quality management system documented information and the IT Support Help Desk is noteworthy.*
- 10) *The improvement for Customer Messaging System is commendable.*
11. *The improvement made for the Internal Audit Activities and work documents are good practices as follows:*
- *Detailed Audit Checklist, Audit Results, Audit Report, Summary of OFI, Request For Action records, RFA Summary and monitoring and follow-up of RFAs;*
- 12) *The completeness and legibility of most records of Account Servicing Group/Account Administrative Unit are good practices.*
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Opportunities for Improvement: OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
1	4.1, 4.2	Consider including the Covid-19 Pandemic on the documented identification of internal & external issues	OFI
2	10.2	<ol style="list-style-type: none"> 1) Consider improving to further determine and analyze the root causes of the nonconformities as required. E.g. use 5 why's method 2) Omit the term "preventive action" on the corrective action column of 'Nonconformities and Corrective Actions Results'. 	OFI
3	9.2.2	<ol style="list-style-type: none"> 1) The Status of Corrective Action for RFAs has been monitored. However, consider indicating the individual "date of update" for each RFA to demonstrate the timely monitoring and progress of follow-up until closure of findings. 2) The Auditor Performance Evaluation Rating Sheet has been implemented for Auditor evaluation. However, consider separating the name of the Auditor being evaluated from Team Head. 3) Consider adding the requirements of ISO 19011:2018 (Guidelines for Auditing Management Systems) on the Audit work documents such as Audit Programme, Audit Plan and other affected documents. 	OFI

Opportunities for Improvement: OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
4	8.5.1	<p><u>Operations (AMG)</u></p> <p>The records to support the operations' implementation were available. However, consider verifying the records' contents before filing for both paper and electronic files such as but not limited to the following:</p> <ol style="list-style-type: none"> 1) legibility of scanned records e.g. (blurred photocopy) of LTO OR/CR 2) No Date on certified true copy (Reference: Approval document: Credit Facility Proposal-Public Transport Re-fleeting Program) 3) (Blank) Release Date, Maturity Date, no notarization Details (Reference: Promissory Note, Loan Agreement, Chattel Mortgage with SPA, STOT) yet showed the original complete records; 4) Checking of completeness of documents prior acceptance of received documents e.g. no date of certification from ASEC M.T., some incomplete details (Reference(s): LTFRB Independent Accountants, Request for Multi-Year Obligational Authority) <p><u>Operations (ASG)</u></p>	OFI

Opportunities for Improvement: OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
5	7.1.2	Need to ensure that the performance evaluation or performance contract are accomplished as per scheduled within this month of December 2020.	OFI
6	7.1.3	May consider to review and modify the Preventive Maintenance Checklist (Weekly) to describe in details the requirement of check items and the actual result Reference Procedure: Updated Anti-Virus; status up to date (describe in details)	OFI
		Nothing Follows	

Minor Nonconformity

NONE

Major Nonconformity

NONE

Opportunities for Improvements (OFI)

- **No document required to submit**
 - **Held by the client for close out at the next visit.**
 - **Recommended to take action internally and immediately**
 - **Include as input during next management review**
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1st SURVEILLANCE AUDIT RESULTS

BS EN ISO 9001:2015

LBP LEASING & FINANCE CORPORATION

PASSED

Continued Certification is Recommended

2nd Surveillance: Dec. 2021

- *In case of disagreement from the auditee on the findings, auditees may request for review with proper justification/Evidences. Auditor/Lead Auditor shall review*
 - *If not satisfied with the review the auditees can appeal to NQA for review of the findings. NQA will process the appeal as per established independent appeal process*
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NEVER STOP IMPROVING

Q&A



In behalf of NQA Philippines,

THANK YOU VERY MUCH!

- Hospitality
- Assistance
- Cooperation
- Generosity
- Kind Support

Lead Auditor: Ms. Rhoda Vi B. Demesa

Auditor: Ms. Khen David

THANK YOU & CONGRATULATIONS!

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