



CLOSING MEETING

2nd Surveillance Audit

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THANK YOU VERY MUCH!

LBP LEASING AND FINANCE CORPORATION (LLFC)

Management, QMS Team & All staff / Auditees

- Hospitality
 - Assistance
 - Cooperation
 - Generosity
 - Kind Support
-

ISO 9001:2015

Type of Audit : 2nd Surveillance Audit

UKAS Accreditation

We pledge for the confidentiality of your -

- Information
 - System
 - Customer
 - Strength and weakness
-

Company: **LBP LEASING AND FINANCE
CORPORATION**

Office Address: **15th Floor Syciplaw Center, 105
Paseo de Roxas Street, Makati City, 1226,
Philippines**

Scope of Registration

Provision of Leasing and Financial Services

Exclusion: Clause 8.3 Design and Development

- **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 comprehensive management review inputs and minutes of meeting is commendable.
 3. The well-rounded internal audit implementations is commendable as follows:
 - The conducting of Internal Auditor's Performance evaluation in selecting the audit team is commendable.
 - The Internal Audit Checklist with ISO Standard Clauses of requirements is noteworthy.
 - The consistency in the conduct of Internal Auditor Performance Evaluation after the audit
 - The conduct of comprehensive internal audit to Procedures' Risk Assessment
 4. The LBP-LLFC's conduct of customers satisfaction survey last August 30 to September 28, 2021 despite of pandemic situation is noteworthy.
 5. The provision of "Calamity Rehabilitation Support (CARES) Program to cater the Customer's needs during the pandemic situation is commendable.
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GOOD POINTS:

6. The improvement made by the Account Management Group to the previous NQA audit findings is noteworthy.
 7. The improvement made by the Account Servicing Group to the previous (2020) NQA audit findings is noteworthy.
 8. The paper-recycling program is a good practice.
 9. The well-organized filing and organization of records of Account Management Group & Account Servicing Group is noteworthy.
 10. The active participation of all staff/auditees is noteworthy.
 11. The detailed results of 2021 LBP-LFC Customer Satisfaction Survey is commendable.
 12. The provision of training(s) for the Directors is noteworthy.
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Opportunities for Improvement: 5 OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
1	9.3.2/9.3.3	<p>1) The Status of Opportunities for Improvement – External Audit addresses the 1st Surveillance Audit (December 18, 2020). However, consider improving the Management Review/Minutes of Meeting input(s) to “Audit Results” to include the previous and latest NQA audit findings status in the conduct management review and minutes of meeting.</p> <p>e.g. Quantitative Trends from the start of QMS ISO 9001:2015 implementation</p> <p>2. Also consider ensuring to add the required Management Review Outputs as prescribed by ISO Standard clause 9.3.3 as follows:</p> <p>The outputs of the management review shall include decisions and actions related to:</p> <ul style="list-style-type: none"> a)opportunities for improvement b)any need for changes to the quality management system; c)resource needs. 	OFI
2	6.1.1, 6.1.2, 9.2.2	Consider reflecting the internal audit’s risks and opportunities prescribed by the ISO 19011:2018 Guidelines for Auditing Management Systems.	OFI

Opportunities for Improvement: 5 OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
3	7.1.2	<ol style="list-style-type: none"> 1. Need to ensure that the job description is acknowledged by the newly hired employee. 2. May consider to complete the filled-out records of the Individual Performance Commitment Review, it has no evaluation date. 3. Consider to ensure that the professional license of the certified public accountant is valid/updated. 	OFI
4	7.2	<ol style="list-style-type: none"> 1. Need to ensure that there is training effectiveness evaluation both for internal and external training attended/conducted. 	OFI
5	7.5.2/ 7.5.3	<ol style="list-style-type: none"> 1. Need to ensure that the registered documents like Supplier Evaluation Form with Guidelines on Performance Evaluation of Suppliers are within the coding requirement of Control of Documented Information Procedure. 2. Need to include the details of revision in the revision history section. 3. Need to define in the control of records procedure the manner of disposal of the established records. 	OFI

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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2nd SURVEILLANCE AUDIT RESULTS BS EN ISO 9001:2015

LBP LEASING & FINANCE CORPORATION

PASSED

Continued Certification is Recommended

**Recertification Audit:
On or before Dec. 2022**

- *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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