



# CLOSING MEETING

## Recertification 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 : Recertification Audit**

**UKAS Accreditation**

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We pledge for the confidentiality of your -

- Information
  - System
  - Customer
  - Strength and weakness
-

Company: **LBP LEASING AND FINANCE  
CORPORATION**

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

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## Scope of Registration

# Provision of Leasing and Financial Services

*Exclusion: Clause 8.3 Design and Development*

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- **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.

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## GOOD POINTS:

1. The Top Management's commitment in implementing the Quality Management System is commendable.
2. The improvement on the Management Review Inputs with inclusion of external audit findings such as the NQA, BSP and COA in the Audit Results of the Management Review is a good practice.
3. The exceeded target score to meet from GCG, with the Agency receiving 98% overall satisfaction score from its customers, with 92% feeling very satisfied and 6% feeling satisfied is commendable. (Interview Dates: Sept. 7 to October 13, 2022).
4. The identification and updating of the internal and external issues is a good practice.
5. The positive comments obtained from the latest Customer Satisfaction Survey is noteworthy such as but not limited on the following:
  - “Accommodating, Considerate and understanding, Maasikaso”;
  - “Responsive and Efficient: requests are immediately approved, fast approval of loans, inquiries are immediately answered, calls to hotlines are immediately answered-isang dial lang may sasagot agad; punctual in meetings, gives updates, low interest rate-2% , etc.

## GOOD POINTS:

6. The conducting of the Internal Auditors' Performance Evaluation for the IQA Team Head and Members is a good practice.
  7. The internal refresher training conducted for the Internal Auditors on ISO 19011:2018 Guidelines for Auditing Management is a good practice.
  8. The monitoring of trend of internal and external audit findings is a good practice.
  9. The well-maintained and well-organized records of the Account Management Group and Account Servicing Group/Administration Unit are commendable.
  10. The improvement and registration made on the Document Checklist for ROPA Endorsement Form and other 2022 new and revised documents are commendable
  11. The monitoring of Legal and other Requirements is noteworthy.
  12. The actions being taken on the results of Customer Feedback is a good practice.
  13. The active participation of all the Auditees during the audit is noteworthy.
  14. The conducting of Enterprise Risk Management (ERM) – Bowtie Analysis is a good practice.
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## Opportunities for Improvement: 10 OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
1	Q: 9.3.2	Ensure to follow the management review inputs heading as required to not confused with the data to be reflected: e.g., it should be “Nonconformities and Corrective Actions” – instead of Nonconformities and Conformity of Products and Services” which should be “Process Performance and Conformity of Products and Services”, should be “Customer Satisfaction and Feedback from Relevant Interested Parties” than separating them as “Customer Satisfaction”, “Relevant Interested Parties”.	OFI
2	Q: 9.3.3	Ensure to follow the required sequence of the Outputs of the Management Review.	OFI
3	Q: 6.2	Consider reflecting and/or separating the column for the “Remarks” if the Quality Objectives have been “Achieved” “Ongoing” or “Not Achieved”. Some have remarks as “Ongoing” while others were updates.	OFI

## Opportunities for Improvement: 10 OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
5	Q: 9.2.2	<ol style="list-style-type: none"> <li>Consider reflecting the same Processes reflected on the Special Order (e.g. 22-012 s.2022) into the Internal Quality Audit Program (LLC-QMS-FR-003.01).</li> <li>Ensure reflecting the Risks and Opportunities in the Internal Quality Auditing (QMS Procedures LLC-QMS-PR-004.02, Rev. 2, Effectivity Date: 09/01/2020)</li> </ol>	OFI
6	Q: 7.4	<ol style="list-style-type: none"> <li>Need to ensure that the process owners/performers are aware of the documented risks, how these were assessed and being mitigated.</li> </ol>	OFI
7	Q: 7.5	<p>Document Control:</p> <ol style="list-style-type: none"> <li>Consider to revisit the Control of Records and Control of Documents Procedure e.g. on retention, maintenance &amp; protection of documented Information are documented on the Control of Documents Procedure;</li> <li>Need to establish control of soft copy to ensure that only controlled copies are circulated.</li> </ol>	OFI

## Opportunities for Improvement: 10 OFI (s)

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
8	Q: 7.1.3	Preventive Maintenance: Consider to revisit the ICT Maintenance Plan for IT to include a column for Plan versus actual dates conducted.	OFI
9	Q: 8.4	Procurement: Need to analyse the results of Supplier Evaluation e.g. trends of Supplier/Service Provider Performance.	OFI
10	Q: 8.5	Credit Investigation: Consider to improve the Monthly Monitoring of Request for Credit Investigation, Inspection and Validation to reflect the status of requests.	OFI

## Minor Nonconformity

**NONE**

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## Major Nonconformity

**NONE**

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## 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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## RECERTIFICATION AUDIT RESULTS

BS EN ISO 9001:2015

**LBP LEASING & FINANCE CORPORATION**

**PASSED**

**Recommended for granting of Certificate**

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**1<sup>st</sup> Surveillance Audit:  
On or before Dec. 2023**

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- *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. Teresita D. Aquino

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# THANK YOU & CONGRATULATIONS!

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