



# CLOSING MEETING

## 1<sup>st</sup> 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
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## **ISO 9001:2015**

**Type of Audit : 1st Surveillance 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 QMS is commendable.**
  - 2. The attended refresher training on ISO 9001:2015 last October 2023 is a good practice.**
  - 3. The review and improvement made on the QMS documentations is a good practice.**
  - 4. The improvement made in the Management Review inputs and outputs is commendable.**
  - 5. The good results of the Customer Satisfaction Survey with 98% overall satisfaction score from its customers is commendable.**
  - 6. The regular conducting of the internal audit is noteworthy.**
  - 7. The well-organized records of the Account Management Group for the sampled Government Accounts is noteworthy.**
  - 8. The well-rounded used of Table of Contents/Contents Checklist by the Account Servicing Group and Account Administration Unit is noteworthy.**
  - 9. The improvements made on the previous NQA audit findings are good practices.**
  - 10. The reconstitution of the QMS Team is a good practice.**
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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	6.2	Consider setting quality objectives for other functions/levels e.g Govt. Accounts, Special Programs, Extension Services, Account Servicing Group, Account Administration Unit, Credit Investigation Unit, etc.	OFI
2	9.2	Consider aligning the internal audit forms with ISO 19011:2018 Guidelines for Auditing Management Systems.	OFI
3	10.2	Ensure utilizing the Root Cause/s (Ask Why Five Times) column. RFA records with identified root cause reflects only one (1) cause and one (1) corrective action/s.	OFI
4	7.1.3	With established daily, monthly and quarterly maintenance, but need to establish Annual Preventive Maintenance for the facilities.	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	6.1.1, 6.1.2	<p>1) Need to establish Risk Assessment for Credit and Investigation Unit, and HR to be check next Audit.</p> <p>2) Risk assessment of Preventive Maintenance for IT/facility- need to strengthen, ensure to evaluate the risk identified, evaluate and measure the effectiveness of the Action</p>	OFI
6	7.5	<p>1) Review the date of submission and date of Effectivity and date of registration of DCARRF e.g. Supplier/Service Provider Accreditation Evaluation LCC-CSG-FR-124.00 effective 9/19/2022. Submission October 18, effectivity 9/19/2023, Oct 19, 2023 DCC reg.</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)
7	7.2	With training plan but need to be specific in actual. Actual training are general ex. 1 <sup>st</sup> quarter fellowship program, women's month celebration, etc.	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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## 1<sup>st</sup> SURVEILLANCE AUDIT RESULTS BS EN ISO 9001:2015

# LBP LEASING & FINANCE CORPORATION

# PASSED

## Recommended for continued certification

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**2nd Surveillance Audit:  
On or before Dec. 2024**

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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!

Unit 1504B Richville Corporate Tower, MBP, Ayala Alabang, Muntinlupa City Philippines 1780  
+632 88863795 | [info@nqa-ph.com](mailto:info@nqa-ph.com) | [www.nqa-ph.com](http://www.nqa-ph.com)

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