NQA Recertification Audit Summary
December 27, 2021
LBP Resources and Development Corporation

Good Points:

1. Top Management and staff commitment in implementing and maintaining QMS was commendable.
2. Complete and well-maintained documented information is noteworthy.
3. Commitment, dedication and active participation and dedication of all staff and auditees is noteworthy.
4. The use of file traceability e.g., "File is saved as:" is a good practice for the electronic control of documented information
5. The provision of training despite of pandemic situation is noteworthy.
6. The conduct of internal audit despite limited number of auditors is noteworthy.

Audit Findings:

Ref. No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
1	9.3	Need to improve the management review to include the future plans of the organization or opportunities for improvement.	OFI
2	8.5.1	Need to properly document the tool-box meeting.	OFI
3	8.4.3	Need to ensure to conduct performance evaluation of suppliers both goods and services.	OFI

Ref. No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
4	9.2.2	1. Consider the inclusion of the following in the Procedure for Internal Quality Audit: - The requirements of ISO 19011:2018 Guidelines for Auditing Management Systems - The Nonconformity and Corrective Action process(es) - The Corrective Action Request Form - The risks and opportunities of the audit as per ISO 19011:2018 2. Consider improving the Internal Audit Plan (IQA-003, Rev.00, ED: Nov. 20, 2019) to reflect the factors/changes affecting the audit planning. 3. Consider improving the Internal Quality Audit Report to include the following: - reflect the ISO Standard Clauses applicable for the Good Points - Reflect the requirements of ISO 19011:2018 for the Audit Report 3. Consider ensuring to register the Internal Quality Audit Report form to maintain and retain as documented information. 4. Consider improving the Corrective Action Request Form (SF-IA-004, Rev.00, ED: Nov. 20, 2018) to include the following: - CAR control number - Date of Internal Audit - Name of Auditor(s) - Name of Auditee(s)/Department/Division 5. Ensure to reflect in the Internal Audit Checklist (SF-IA-003, Rev. 00, ED: Nov. 20, 2018) records the details and objective evidences of: Compliant, Minor NC, Major NC, OFI 6. Consider improving the Internal Audit Checklist format to include the following: - Auditor(s) name - Auditee(s) name - Department/Division - Date of Audit - widen the portions for Evidences and Auditor's Notes that have been gathered to support the internal audit findings raised.	OFI

Ref. No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
5	7.5.3	1) Consider establishing a Form as label to boxes for control of records under retention period and register as official form. 2) Ensure that the provision in the Document Control Procedure Activity letter (a) has been implemented as "Shall be reviewed at least every three years or as deemed necessary" e.g., Effective dates were Nov. 20, 2018, in its 3rd year last November 20, 2021 3) Ensure to assign a Reference Code to the Document Control Procedure, Rev. 00 Effective Date: September 17, 2019 4) Ensure improving the manner of approval of the Procedure to reflect the format requirement of "Date Signed" by the one whom "Prepared", "Reviewed and Recommended", and "Approved" the QMS Procedure. e.g., sampled were HR Procedures 5) Ensure to reflect the effective date of procedure on the allocated portion under the Revision Number row which was blank, aside from the Revision History's "Date Effective" e.g., last Nov. 20, 2018	OFI
6	7.2	1) Ensure to include QMS related trainings on the Training Program as refresher trainings for the newly hired and existing employees. e.g. • ISO 9001:2015 Standard Requirements Refresher • ISO 19011:2018 Guidelines for Auditing Management Systems • Documents and Records Control Training 2) Ensure reflecting on the "Remarks" portion of the Training Program those trainings that have been and have not been conducted as planned. 3) Consider indicating the trainings as a result of Competency Assessment Form (FD-RF-) and government required training on the Training Program. e.g., Government Procurement Reform Act (RA 9184) and its revised IRR and Updates held last October 13-15, 2021) 4) Ensure to register the following (HR) Forms that do not have document coding, revision number and effective date such as but not limited to the following: - Training Program - Training Calendar - Evaluation Sheet for External Training Program 5) Ensure the timely availability of training records especially at the time of audit e.g. Evaluation Sheet for External Training Program for the training attended last September 15, 2021 Essentials of Business Writing in the Corporate World.	OFI

Ref. No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
1	4.1	The identification of the internal and external issues of the organization was not effective. Evidence: 1. The SWOT analysis verified provided but the date was May 25, 2019. 2. No documented process or policy on identification and review of the context of the organization verified.	Minor NC
		End of Findings	
Note: Responses to findings must be sent using the Corrective Action Plan form, as applicable, to caps@nqa-ph.com within the timeframes stated on Page 4.			