



## NQA Recertification Audit Summary

### December 19, 2024

### LBP Resources and Development Corporation

#### Good Points:

1. Top Management and staff commitment in implementing and maintaining QMS was commendable.
2. Commitment, dedication and active participation and dedication of all staff and auditees is noteworthy.
3. Good results of customer sta

#### Audit Findings:

Ref. No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
1	4.1	Need to improve the SWOT analysis to include climate change.	OFI
2	4.2	Need to include the climate change in the interested parties matrix	OFI
3	4.4	Need to align the quality manual as per the structure of ISO 9001 standard (e.g Clauses 4, 5, 6, 7, 8, 9, 10)	OFI
4	6.1	Need to ensure to put date in the risk assessment update.	OFI
5	9.1.2	Need to provide customer satisfaction survey with customer/clients feedback for Construction Services.	OFI
6	9.2	<p>1. Ensure improving the Internal Quality Audit procedure/process to align with the ISO 19011:2018 Guidelines for Auditing Management Systems; e.g.</p> <ul style="list-style-type: none"><li>- Managing an audit Programme</li><li>- Conducting an Audit</li><li>- Competence and evaluation of Auditors</li></ul> <p>2. Ensure procuring an original copy of the ISO Standards ISO 9001:2015 and ISO 19011:2018.</p> <p>3. Ensure improving the Internal Audit Programme to include in the criteria the 'Applicable Statutory and Regulatory Requirements' and the 'established QMS' instead of Quality Manual and Quality Objectives,</p> <p>4. Ensure improving the Internal Quality Audit Plan 's Audit Schedule to conduct the internal audit to each Department/Section/Functions on a twice a year frequency.</p> <p>5. Ensure improving the Internal Audit Checklist records by consistently completing the required information as follows:</p> <ul style="list-style-type: none"><li>- omit the 'Acknowledged by" the process owner;</li><li>- reflect the Internal Audit date</li><li>- reflect the Office/Unit Department/Section/Function of the Auditee</li></ul>	OFI

Ref. No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
		<ul style="list-style-type: none"> <li>- reflect the Auditee/s Name:</li> <li>- reflect the audit time: start and end in actual for future planning</li> <li>- omit the audit objective as this was already required in the audit programme and audit plan.</li> </ul> <p>6. Ensure the filing of the internal audit records in one set of folders for the period covering the audit e.g. June 2024 and November 2024 or consolidated according to the year;</p> <p>7. ensure that each Internal Auditor uses individual audit checklist for separate audit records and not as two (2) to three (3) Auditors in one audit checklist but one stroke of handwriting.</p> <p>8. Ensure completing the audit checklist since it was observed that most of the internal audit checklist were left incomplete/with blanks.</p> <p>9. Ensure indicating the year in the Internal Audit Programme other than the date signed e.g. 04.13. 2023</p> <p>10. Ensure that the Audit Programme reflects any remarks if the programmed audit was not conducted as planned e.g. planned for May, actual was June,</p> <p>11. Ensure to align the auditor performance evaluation with ISO 19011:2018</p> <p>12. Ensure the registration of the created Internal Quality Auditors Performance Report and Internal Quality Audit Report</p> <p>13. Ensure that the Internal Quality Auditor Performance Form (SF-IA-005, Rev.00, ED: Oct. 16, 2023) is being implemented, the form has no fill-up/records at the time of the audit.</p>	
7	10.2	<p>1) Ensure documenting a separate procedure for the Nonconformity and Corrective Action following the ISO 9001:2015 clause 10.2 requirements.</p> <p>2) Ensure to use the root cause analysis portion in completing the CAR form for the verification of each proposed actions as per commitment target date and confirmation of effects of countermeasure;</p> <p>3) Ensure to determine a tool to use in root cause analysis e.g. 5 Why Analysis to determine the effectiveness of the tool used for the analysis etc.</p>	OFI
8	8.5.1	<p>Manpower Deployment</p> <p>1) Need to establish a Client Folder Checklist to ensure that each folder has complete contents, reflecting the type of copies in the file e.g. original, xerox, status if signed/conformed copy from received email is already filed; e.g. conforme in the Summary of Quotations</p> <p>2) Consider other filing methods e.g. tabbing system for ease of and consistency of records retrieval.</p> <p>3) Ensure checking the date of acknowledgement on the Notice to Proceed before filing to project folder.</p>	OFI

Ref. No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
		4) Ensure reflecting the date on the Memorandum of Agreement from the agreement entered, until the date of signing. E.g. Landbank, NTRC. 5) Ensure checking the date conformed in the Notice of Award before filing to project folder.	
9	7.2	1. Need to improve the organizational chart to include prepared by and approved by the top management. 2. Need to improve the contents of training evaluation based . learning and understanding of the trainee	OFI
10	8.4	Need to provide documented procedure for supplier evaluation process.	OFI
11	8.5.1	CMD 1. Need to control as documented information the tool-box minutes of meeting to include accident & incident reporting and opportunities for improvement 2. Need to control as documented information the Project Inspection and Update Report. 3. Need to provide documented daily activity log with details of project, weather condition, manpower, equipment, activities and progress, any visitor/s and inspector/s, prepared by and checked/reviewed and approved by.	OFI
1	7.1, 7.2	The control of human resources process was not effective. Evidence: 1. No training effectiveness conducted for the following training completed – dated Mar. 5, 2024 Climate Change Expenditure Training; Aug. 16, 2024 ISO 9001:2015 Internal Audit & Sept. 4, 2024 Proactive Sales and Marketing Training. 2. Incomplete 201 file for the newly hire employee Ms. Shiela May Ortego (Asst. Sec.) such as no job description, no interview sheet and no new employee orientation	Minor NC
		<b>End of Findings</b>	
<b>Note: Responses to findings must be sent using the Corrective Action Plan form, as applicable, to <a href="mailto:caps@nqa-ph.com">caps@nqa-ph.com</a> within the timeframes stated on Page 4.</b>			