

NQA Audit Plan

This programme relates to the next: **Surveillance 1 Audit**
 Client: **LBP LEASING AND FINANCE CORPORATION**
 Relevant Standard/Supporting Documentation: **ISO 9001:2015**

Vision No.: N/A

Member/Role	Ms. Rhoda VI Demesa (Lead Auditor)	Member/Role	Ms. Khen David (Auditor)
Date	18 December 2020	Date	18 December 2020
Time	Location/Department/Process	Time	Location/Department/Process
9:00am - 9:30am	Opening Meeting	9:00am - 9:30am	Opening Meeting
9:30am – 12:00nn	Top Management Audit/Leadership Context of the Organization Leadership (customer focus/policy/roles and responsibilities) Improvement Planning (risk/objectives) Performance Evaluation (customer satisfaction / management review) Internal Audit/CAR/NC Improvement	9:30am – 10:45am	Purchasing/External Providers
		10:45am – 12:00nn	Human Resources/Training
		12:00nn – 1:00pm	Lunch Break
		1:00pm – 2:00pm	Documents & Records Control
		2:00pm – 3:00pm	Facility Maintenance/IT
12:00nn – 1:00pm	Lunch Break	3:00pm – 4:30pm	Credit Investigation Unit
1:00pm – 3:30pm	Account Management Group Gov't Accts & Special Programs Extension Services	4:30pm – 5:00pm	Audit Report Preparation Closing Meeting
3:30pm – 4:30pm	Account Servicing Group Account Administration Unit		
4:30pm – 5:00pm	Audit Report Preparation Closing Meeting		
Completed by: Ms. Rhoda Vi Demesa		Timings and content may be subject to change	
Acknowledged and Accepted by Client		Name: Signature:	

The objectives of the audit will be;

- To confirm that the management system had been established implemented and maintained in accordance with the requirements of the audit standard.
- To evaluate the ability of the management system to ensure the client organisation meets applicable statutory, regulatory and contractual requirements. Note: A management system certification audit is not a legal compliance audit.
- To evaluate the effectiveness of the management system to ensure it is continually meeting its specified objectives
- To identify as applicable, areas of the management system for potential improvement.

The audit scope describes the extent and boundaries of the audit, such as physical locations, organisational units, activities and processes to be audited. Where the initial or re-certification process consists of more than one audit (e.g. covering different locations), the scope of an individual audit may not cover the full certification scope, but the totality of audits shall be consistent with the scope in the certification document.

From: Rannie Bernardino <Rannie.Bernardino@nqa-ph.com>
Sent: Tuesday, December 15, 2020 12:22 PM
To: Noel D. Calvez <ndcalvez@lbpleasing.com>; Raizza L. Gonzales <rgonzales@lbpleasing.com>
Cc: rhoda vi demesa <demesarhodavi@yahoo.com>; KHEN DAVID <davidkhen11@gmail.com>
Subject: NQA Surveillance 2 Audit Plan and Details: LBP LEASING AND FINANCE CORPORATION

Hi Sir Ting,

Good day!

Please see attached audit plan for your reference and guidance.

Please help to prepare and send/share below documents in soft copies for our audit.
Also, help to set up the video call for our auditors.

1. Quality Manual, SWOT, Risk Register
2. Masterlist of Documents & Records
3. Internal Audit Report & Plan (Latest)
4. Management Review Minutes of Meeting and Attendance Sheet (Latest)
5. Customer Satisfaction Survey - (3-5 actual survey - latest Nov.-Dec. 2020)
6. Quality Objectives or OPCR 2020 Results 1st half 2020
7. Purchasing - 3 records of Purchase Order - latest purchase item or material related to operations - Latest Nov-Dec 2020
8. HR/Training - 1 record of latest/newly appointed personnel; 2020 & 2019 list of completed training with employee name attended, 3 training evaluation
9. Operations:
 - Account Management Group (Gov't Accts & Special Programs & Extension Services) (3-4 records)
 - Account Servicing Group - Account Administration Unit (3-5 records)
 - Credit Investigation Unit (3-4 records)
10. Maintenance/Calibration - masterlist of equipment, PM checklist
11. Permits and Licenses

If you have any other questions or concerns, please don't hesitate to let me know.

Stay Safe!
God bless!

Thanks and best regards,

Rannie L. Bernardino /G\
CEO/General Manager