

Initial Audit Summary Report

Company Name : **Office of the Solicitor General**

Address : 134 Amorsolo St., Legaspi Village, Makati City 1229

Attention : Mr. John Emmanuel F. Madamba-QMR

Audit Team : Michelle Pestañas , Lera Ajero, Melchor Camina

Standard / Audit Type : ISO 9001:2015

Audit Date : 2019 December 03

Audited Sites/Scope : Docket management service processes such as receiving, barcoding, scanning, encoding, routing, and dispatching of legal documents to court, clients and other parties.

In the audit, the actual process flow of sample operations was examined in individual areas of the company. In doing so, the auditors reviewed the conformity of the process flows with the requirements of the standard and the descriptions in the management documentation. This audit was performed on the basis of random samples, including interviews and examination of the appropriate documents.

All information gained during the audit will be treated with strict confidentiality by the audit team and the certification body. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

1. Positive Observation

No.	Unit/Department Site	Positive findings
1/3	Control of Documented of Information	Creation of Records Management Improvement Committee (RMIC) responsible for implementation of procedures on Disposing of Documented Information approved by NAP (1946 to 2013) is commendable.
2/3	Top Management	Renovations for Financial, DMS, Human Resource and Legal Services is commendable.

3/3	IT	<p>Acquisition of the following infrastructure for continuous improvement such as follows:</p> <ul style="list-style-type: none"> ○ File Storage – 10pcs (2 Terabyte /each) ○ BO IP Phones – 30 pcs ○ Barcode Scanners – 5 pcs ○ Network Attached Storage – 1 pc (20 Terabyte) ○ Upgraded network switches from 1GB to 10 GB (33 pcs) ○ Scanners – 3pcs Canon Scanner (75 page per minute) ○ Network Policy Manager – software ongoing deployment Q4 Y2019
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2. Opportunities for improvement

No.	Unit/Department Site	Recommendations and opportunities for improvement
1/6	Internal Audit	<p>Consider to maintain documented evidences to support the competency of appointed Internal Auditors. (i.e. Certificates)</p> <p>There is an Audit Plan available. In doing so, consider the importance of process concerned, changes affecting the organization and the result of the previous audits.</p> <p>Consider to summarize all audit findings including status for ease of monitoring.</p>
2/6	Administrative Services/ Facilities	<p>The following maybe considered:</p> <ul style="list-style-type: none"> • Establish acceptance criteria for the identified inspection lists of Generator Set (e.g. Cooling System- radiator coolant level; Lubrication service- Oil level; Battery amperes; Reference- Quarterly Preventive Maintenance Service for OSG Generator Set) • Enhance the statement of the quality objectives from activity based to result-based. <p>Ensure to consistently fill out the Service Request form (e.g. Evaluated By:) as a form of approval and accomplishment of the Preventive Maintenance)</p> <p>Evaluation of the effectiveness of the identified risks and opportunities shall be checked next visit.</p>
3/6	Business Planning	<p>There is a need to conduct analysis and evaluation of the results or status of the implementation Information System Strategic Plan and determine the need to take actions in cases of delays determined by the organization as due to causes within its control. Completion of project implementation to be verified during the next follow-up audit.</p> <p>May need to monitor the results of the implementation of the improvement programs to address certain issues relating to the function of the Docket Management Service, e.g. mixed-up of addresses, non-compliance with deadlines for the submission of pleadings, loss of documents received by mail.</p>
4/6	Security Management	<p>In the Security Report OSG- HA-QF-032, follow through as of the effectiveness of action taken should be consistently demonstrated.</p>

5/6	Procurement	Consider to include the date for issuance of Certificate of Acceptance for projects with mobilization requirement (i.e.Consultancy Services for Competency Modelling, profiling and Assessment).
6/6	Human Resource	There is Training Effectiveness in the form of Monitoring and Evaluation Plan Development and Execution Human Resource Management Division. Consider to improve on the following note: <ul style="list-style-type: none">• Date and Responsible Person filled out the Evaluation Form• Action and Monitoring for Low Rating

3. Nonconformity

No.	Clause # / Discussed with	Description / Statement of the Nonconformity.
	None	

4. Audit Conclusion

<input type="checkbox"/>	The last audit revealed nonconformities which have been demonstrably corrected. The corrections and corrective actions taken in this respect have been verified.
<input type="checkbox"/>	A stage 1 audit was performed and the organization found ready for certification. Identified weaknesses, if any, have been eliminated and the corrective action associated therewith verified.
<input checked="" type="checkbox"/>	The current audit revealed the following nonconformities: Standard(s): No. of nonconformities ISO 9001:2015 Zero (0)
<input type="checkbox"/>	The major nonconformities (No. x) with individual standard elements require a re-audit to verify the effectiveness of the corrections and corrective actions (probable date:.ddmmyyyy)
<input checked="" type="checkbox"/>	The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the standard(s).

Recommendation

<input type="checkbox"/>	Award of the new certificates.
<input checked="" type="checkbox"/>	Maintenance of the existing certification.
<input type="checkbox"/>	Inclusion of the changes (see Section 3) in the scope of application of existing certifications
<input type="checkbox"/>	Maintenance or issue of the certificates only after successful completion of a re-audit.

Dates

Due Date for the next audit

2020 December 18

Agreed date for the next audit

2020 November



2019 December 03 and 16

Date

Michelle Pestañas, Lera Ajero, Melchor Camina

Audit Leader / Auditor(s)

