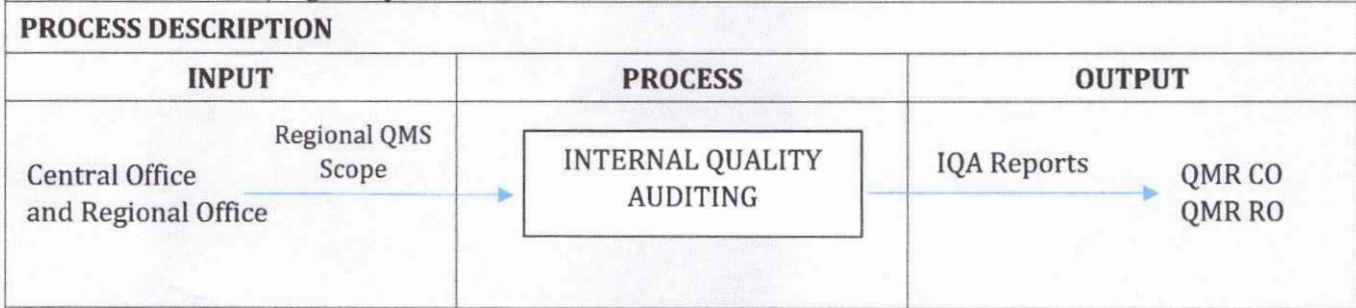




SYSTEM PROCEDURE

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| PROCEDURE TITLE | REGIONAL INTERNAL QUALITY AUDITING |
| SCOPE | This procedures starts with the audit program preparation, communication of audit plan to concerned auditees, conduct of audit proper, preparation of audit report and ends with the review of audit program. |
| PURPOSE/S | To define the process of regional internal quality auditing to determine Regional compliance to its established QMS standards, department's policies and the applicable legal requirements. |



DESCRIPTIVE STATEMENT:

The Regional Internal Quality Audit (RIQA) Leader prepares the Annual Regional Audit Program, have it reviewed by the Regional Quality Management Representative (QMR), and submits it to the Regional Director for approval. Once approved, the Regional Internal Quality Audit (RIQA) Leader prepares the Regional Audit Plan, seeks approval from the Regional QMR and communicates to all concerned Auditees. All assigned Auditors prepare the audit checklist, conduct the audit, generate the findings and issue CAR and OFIR (if any), and prepare the IQA report. The verification of implementation of CA Plans/ Action Plans are then monitored in accordance with the Nonconformity and Corrective Action Procedure. The process ends with the review of the Audit Program by the IQ Audit Head and Deputy QMR to be approved by the QMR.

| Step No. | Responsible Personnel | PROCESS/ACTIVITY | Details | References |
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| 1 | The Regional Internal Quality Audit (RIQA) Leader | Prepare the Annual Regional Audit Program | <ul style="list-style-type: none"> Prepare the Annual Regional Audit Program for the current year and submit to Regional QMR for review <p>Notes:</p> <ol style="list-style-type: none"> Audit Program is prepared during the Regional OPB Preparation Include the verification of Corrective Action effectiveness of the open CARs in the Annual Regional Internal Quality Audit Program. | <ul style="list-style-type: none"> Annual Regional Audit Program |
| 2 | Regional QMR | Review the Annual Regional Internal Audit Program | <ul style="list-style-type: none"> Review the Annual Regional Internal Audit Program for suitability and adequacy. Make necessary comments/instructions if any, for appropriate action of the Regional Internal Quality Audit | <ul style="list-style-type: none"> Annual Regional Internal Audit Program |

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| | | | (RIQA) Leader; else, approve the audit program. <ul style="list-style-type: none"> • Submit to the top Mangement/Regional Director the Audit Program | |
| 3 | Regional Director | Approve the Annual Regional Internal Audit Program | <ul style="list-style-type: none"> • Sign the Annual Regional Internal Audit Program. | <ul style="list-style-type: none"> • Annual Regional Internal Audit Program |
| 4 | Regional Internal Quality Audit (RIQA) Leader | Prepare the Regional Audit Plan | <ul style="list-style-type: none"> • Prepare the Regional Audit Plan covering the audit period based on the Annual Regional Internal Qality Audit Program indicating the auditees, audit timelines and audit scope <p>Note: On the second audit onwards, include follow-up/verification of effectiveness of Corrective Action (CA) Plan of open Corrective Action Report/s (CAR/s), if any.</p> | <ul style="list-style-type: none"> • Annual Regional Internal Audit Program • Regional Audit Plan |
| 5 | Regional QMR | Review and approve the Regional Audit Plan. | <ul style="list-style-type: none"> • Review the Regional Audit Plan for suitability and adequacy. • Make necessary comments/instructions if any, for appropriate action of the Regional Internal Quality Audit (RIQA) Leader. • Approve the Regional Audit Plan and forward to to RIQA head | <ul style="list-style-type: none"> • Regional Audit Plan |
| 6 | Regional Internal Quality Audit (RIQA) Leader | Communicate IQ Audit Plan to all concerned | <ul style="list-style-type: none"> • Prepare the Memorandum communicating the audit schedule, scope and assigned auditors based on the approved IQ Audit Plan to concerned auditees, for review of the Regional QMR and signature of the Regional Director. | <ul style="list-style-type: none"> • Memorandum • Regional IQ Audit Plan |
| 7 | Internal Quality Auditor | Prepare Regional IQ Audit Checklists | <ul style="list-style-type: none"> • Prepare the checklists relevant to the assigned audit area based on the Regional IQA Plan. • Ensure all applicable clauses to the area of audit are considered in the checklist. | <ul style="list-style-type: none"> • Regional IQ Audit Checklists |
| 8 | Audit Team Leader | Review and approve the Regional IQ Audit Checklist | <ul style="list-style-type: none"> • Review the Regional IQ Audit Checklist for adequacy and suitability of the audit points. | <ul style="list-style-type: none"> • Regional IQ Audit Checklists |

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| | | | <ul style="list-style-type: none"> • Make necessary comments/instructions if any, for appropriate action of the Internal Quality Auditor. • Approve the Regional IQ Audit Checklist. | |
| 9 | IQA Team | Conduct Opening Meeting | <ul style="list-style-type: none"> • Conduct the opening meeting to the auditees of the concerned office to discuss the following: <ul style="list-style-type: none"> (a) Objectives, scope and coverage of the Audit; (b) Agreement of the Audit schedule; and (c) Reporting of Audit findings. | <ul style="list-style-type: none"> • Attendance sheet • IQ Audit Plan |
| 10 | IQA Team | Conduct Audit | <ul style="list-style-type: none"> • Conduct audit in accordance with the Regional IQ Audit Plan and Regional IQ Audit Checklists. • Confirm the implementation of the specified processes. • Accomplish the Regional IQ Audit Checklist to be approved by the RIQA Team Leader. • Record conformities, non-conformities, opportunities for improvements and items for follow-up. • If audit includes verification, verify effectiveness of Corrective Action. If found fully implemented and root cause did not recur, recommend close out of the Corrective Action Report (CAR) by signing the "Verified" field by the IQ Auditor and the "Approved" field by the RIQA Team Leader; else, continue verification until full implementation and verified effectiveness of the CA. • Furnish a copy of the close out CAR to the Internal Audit Service. • For Field Audits, conduct Provincial/HUC Level Closing | <ul style="list-style-type: none"> • Regional IQ Audit Checklists • Regional IQ Audit plan |





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| | | | Meeting. Present the findings (conformity/nonconformity/opportunity for improvement) verbally based from the audit notes in the Audit Checklist. | |
| 11 | Audit Team | Conduct Audit Team Meeting | <ul style="list-style-type: none"> Conduct an audit meeting at least an hour before the closing meeting chaired by the Audit Team Leader to discuss the following: <ul style="list-style-type: none"> To review the recorded nonconformities with supporting audit evidence, opportunities for improvements and other audit observations, against the audit objectives; To agree on the audit conclusions; To prepare the audit findings presentation for the closing meeting; To discuss the flow of the closing meeting | <ul style="list-style-type: none"> Audit Checklist Audit Plan Regional Initial Audit Report |
| 12 | IQ Audit Team, IQ Audit Head | Conduct Regional closing meeting | <ul style="list-style-type: none"> Present audit findings and conclusions to the auditees of the concerned office. | <ul style="list-style-type: none"> Regional Initial Audit Report |
| 13 | IQ Auditor, Audit Team Leader | Formalize the Audit Findings and Issue CAR/OFIR | <ul style="list-style-type: none"> IQ Auditor: Formalize the audit findings. State the nonconformity in the Corrective Action Report and the opportunity for improvement for raising the bar of quality in the OFIR. Audit Team: Review the nonconformity statement as to clarity, reliability and accuracy and/or the Opportunity for Improvement statement as to appropriateness and sign. Else, make necessary comments and instructions for appropriate action of the IQA Auditor. IQ Auditor: Secure acceptance by the concerned Division/Field Office Head/QMR. | <ul style="list-style-type: none"> Regional IQ Audit Checklist CAR OFIR CAR Monitoring Matrix OFIR Monitoring Matrix |

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| | | | <ul style="list-style-type: none"> • IQ Auditor: Release CAR/OFIR to concerned Process Owner and log accordingly. <p>NOTE: Concerned Process Owners shall submit Corrective Action/s/Action Plan/s within 10 working days upon receipt of CAR/OFIR in accordance with the Nonconformity and Corrective Planning Procedure</p> <p>Upon receipt of the submitted Action Plan from the process owner:</p> <ul style="list-style-type: none"> • Regional IQ Auditor: Evaluate the proposed CA Plan/Action Plan in the CAR/OFIR. If found appropriate, forward to RIQA Team Leader for acceptance; else, return CAR/OFIR to Process Owner for revision with timeframe for the auditee to re-submit CA Plans/Action Plans. • Provide copy of the accepted CAR/OFIR to Central Office IAS and to the concerned Process Owner. | |
| 14 | IQ Audit Team, Regional QMR | Prepare the Regional Internal Quality Audit Report | <ul style="list-style-type: none"> • IQ Audit Team: Prepare the Regional Internal Quality Audit Report and Memo-transmittal to Regional Director and attach the issued CARs, OFIRs, and CAR/OFIR Monitoring Matrix to form the Regional IQ Audit Report. • Regional QMR: Review the Audit Report. If found acceptable, approve the Audit Report and sign the Memo-transmittal and submit to Regional Director; else, return to IQ Audit Team for appropriate action. • Distribute the IQ Audit Report with Memo-transmittal and log accordingly. | <ul style="list-style-type: none"> • Regional Internal Quality Audit Report • Memo-transmittal |





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| | | | <ul style="list-style-type: none"> Furnish copy of the Regional IQA Report to Central Office IQA Head and QMR. | |
| Verification of implementation of CA Plans/ Action Plans | | | | |
| 15 | Regional IQ Auditor | Verify implementation of Corrective Action (CA) plans/action plans | <ul style="list-style-type: none"> Verify the implementation of the proposed CA Plan/Action Plan in the CAR/OFIR, refer to Corrective Action Process. Record result of verification in the CAR and update the CAR monitoring Matrix. | <ul style="list-style-type: none"> CA Plans CAR OFIR CAR Monitoring Matrix OFIR Monitoring Matrix Memorandum |
| 16 | Regional IQ Auditor | Review IQ Audit Program and Revise as necessary | <ul style="list-style-type: none"> Based on the results of the audit, review the IQ audit program and revise as necessary duly approved by the QMR. | <ul style="list-style-type: none"> IQ Audit Program CAR Monitoring Matrix |
| 17 | Process Records Custodian | Retain Records | <ul style="list-style-type: none"> Retain records in accordance with Control of Retained Documented Procedure and the Masterlist of Records. | <ul style="list-style-type: none"> Control of Retained Documented Procedure Masterlist of Records |

| Prepared By: | Reviewed By: | Approved By: |
|--|--|--|
| ATTY. MICHELLE ANNE P. VIEJO Regional Internal Quality Audit (RIQA) Head | LAILYN A. ORTIZ, CESO V Regional Quality Management Representative | JOSEPHINE CABRIDO-LEYSA, CESO III Regional Director Top Management |

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