



# CLOSING MEETING

## Surveillance 2 Audit

RANNIE BERNARDINO

16 JANUARY 2025



# CLOSING MEETING

---

THANK YOU VERY MUCH!

**LBP LEASING AND FINANCE CORPORATION**

**Management, QMS Team & All staff / Auditees**

- Hospitality
  - Assistance
  - Cooperation
  - Generosity
  - Kind Support
-

# ISO 9001:2015

**Type of Audit : Surveillance 2 Audit**

**UKAS Accreditation**

---

We pledge for the confidentiality of your -

- Information
  - System
  - Customer
  - Strength and weakness
-



## **CLOSING MEETING: COMPANY DETAILS**

---

**Company: LBP LEASING AND FINANCE CORPORATION**

**Office Address: 15th Floor Sycip Law Center, 105 Paseo de Roxas, Makati City, 1226, Philippines**

---

**Scope of Registration**

**Provision of Financial Leasing  
Services**

***Exclusion: Clause 8.3 Design and Development***

---

- **Everything cannot be checked**
  - **Audit will be based on sampling**
  - **Audit result will be based on outcome of the verification of audited sample**
-

**Non fulfillment of a requirement. Requirement can be from :-**

- ❖ ISO 9001:2015**
  - ❖ Your established QMS**
  - ❖ Statutory & Regulatory requirements**
  - ❖ Customer requirements**
-



**Nonconformity that does not affect the capability of the management system to achieve the intended results**

**It can be either one of the following situations:**

- **a single system failure or lapse in conformance with a ISO 9001 standard or customer quality management system requirement; or**
  - **a single system failure or lapse in conformance with a procedure associated to the organization's quality management system.**
-

## CLOSING MEETING: MAJOR NON CONFORMITY

---

**Nonconformity that affects the capability of the management system to achieve the intended results.**

**Nonconformities could be classified as major in the following circumstances:**

- if there is a significant doubt that effective process control is in place, or that products or services will meet specified requirements;**
  - a number of minor nonconformities associated with the same requirement or issue could demonstrate a systemic failure and thus constitute a major nonconformity.**
-

Relates to a matter about which the assessor is concerned but which cannot be clearly stated as a non-conformance. Opportunity for improvement also indicates trends that may result in a future non-conformance.

---

## GOOD POINTS:

1. Top management and staff commitment in implementing and maintaining QMS was commendable.
  2. Commitment, dedication and active participation of staff and auditees was commendable.
  3. Good results of customer satisfaction survey with over-all rating of 99.43% was commendable.
  4. Complete and well-organized documents and records of AMG, ASG and Credit Investigation Unit was commendable.
  5. Improvement of internal audit process and procedure is noteworthy.
-

## Opportunities for Improvement: 9 OFI

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
1	4.1	Need improve the internal and external issues log to include climate change.	OFI
2	4.2	Need improve the list of interested parties to specify the interest parties such as BSP, LGU, GSIS, ARTA, LBP and others and include climate change.	OFI
3	4.4	Need to improve the quality manual to include climate change in clauses 4.1 and 4.2. Need to attached copy of quality policy in the quality manual.	OFI

## Opportunities for Improvement: 9 OFI

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
4	9.3	Need to improve the management review minutes of meeting to include specific review inputs such as changes in internal and external issues, process performance and conformity of products and services (e.g core services output instead of scorecard), details of audits (internal & external) and opportunities for improvement/future plans.	OFI
5	6.2.1	Need to ensure to provide documented root-cause and action plan/s for unachieved objectives.	OFI
6	8.5.1	AMG 1. Need to improve the Schedule of Leased Rental and Amortization Schedule to include date generation and prepared by. 2. Need to check the correct control number use for Schedule of Leased Rental and Amortization Schedule as it is noted same but difference document title. 3. Need to collect additional evidence for clients with undertaking instead of insurance (e.g bank statement or bank deposit)	OFI

## Opportunities for Improvement: 9 OFI

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
7	9.2	<ol style="list-style-type: none"> <li>1. Ensure improving the scope from Process/Area to be audited to activities, products and services.</li> <li>2. Ensure improving the Audit Criteria in the Audit Program to include customer requirements.</li> <li>3. Ensure the inclusion of other Auditor's personal behaviour e.g. Diplomatic, Collaborative, Decisive, etc.</li> <li>4. Ensure availability of competency record of the newly hired IQA Team Leader.</li> <li>5. Ensure attending the Training the Trainers training.</li> <li>6. Ensure aligning the Audit Results Report (Audit Report) outline with the ISO 19011:2018.</li> </ol>	OFI

## Opportunities for Improvement: 9 OFI

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
8	7.1/7.2	<ol style="list-style-type: none"> <li>1. Ensure that the Job Description includes a clear reporting structure and a brief job summary.</li> <li>2. Need to include the ISO during the New Employment Orientation.</li> <li>3. Need to ensure to provide documented evidence of conducted Training Needs Analysis (TNA).</li> <li>4. Need to control as documented information the Training Calendar/Training Plan and include prepared by and approved by.</li> <li>5. Need to include the date in the Training Effectiveness.</li> <li>6. Need to specify the actual training title as indicated in the training certificate. (e.g The training is titled "Office Administration," but the certificate states "Training for Executive Assistant." - The training titled "Training and Development" is referred to in the certificate as "Training Fundamentals Asynchronous Program.")</li> <li>7. Ensure that all questions in the Training Evaluation are properly completed.</li> </ol>	OFI



## Opportunities for Improvement: 9 OFI

Ref No.	Clause No.	Details of any finding(s) raised.	Type (Major NC, Minor NC, OFI or AoC)
9	8.4	<ol style="list-style-type: none"><li>1. Need to update the masterlist of suppliers every first quarter of the year, ensuring it has a document control number, along with details of prepared by and approved by.</li><li>2. Need to include the date of last evaluation in the Supplier Evaluation form.</li><li>3. Need to include the date in the Inspection and Acceptance Report.</li></ol>	OFI



## CLOSING MEETING: AUDIT FINDINGS PRESENTATION

---

### Minor Nonconformity

**NONE**

---

## Major Nonconformity

**NONE**

---

### Opportunities for Improvements (OFI)

- **No document required to submit**
  - **Held by the client for close out at the next visit.**
  - **Recommended to take action internally and immediately**
  - **Include as input during next management review**
-



## **CLOSING MEETING: AUDIT RESULTS**

---

**SURVEILLANCE AUDIT RESULTS  
BS EN ISO 9001:2015**

**LBP LEASING AND FINANCE CORPORATION**

**PASSED**

**Continued Certification is Recommended**

---



## CLOSING MEETING: NEXT AUDIT ACTIVITY

---

**Recertification: Nov. 2025**

---

## CLOSING MEETING: NQA APPEAL PROCESS

---

- *In case of disagreement from the auditee on the findings, auditees may request for review with proper justification/Evidences. Auditor/Lead Auditor shall review*
  - *If not satisfied with the review the auditees can appeal to NQA for review of the findings. NQA will process the appeal as per established independent appeal process*
-

# Q&A

---



**In behalf of NQA Philippines,**

**THANK YOU VERY MUCH!**

- Hospitality
- Assistance
- Cooperation
- Generosity
- Kind Support

Lead Auditor: Mr. Rannie Bernardino  
Auditor: Ms. Thesz Bernardino  
Ms. Rhoda Vi Demesa

---



# THANK YOU

# &

# CONGRATULATIONS!

Unit 1504B Richville Corporate Tower, MBP, Ayala Alabang, Muntinlupa City Philippines 1780

+632 88863795 | [info@nqa-ph.com](mailto:info@nqa-ph.com) | [www.nqa-ph.com](http://www.nqa-ph.com)

---