

## Initial Audit Summary Report

Company Name	:	<b>Employees Compensation Commission</b>
Address	:	Site 1/ Central Office – 4th-5th Floor, ECC Bldg., 355 Sen. Gil Puyat Ave., Makati City 1200 Philippines Site 2/ Unit 109 Ground Floor Milan Prestige Building, National Highway, Barangay Halang, Calamba City, Laguna 4027 Philippines Site 3/ ECC Regional Extension Unit VI (WESTERN VISAYAS) – M.E. Building, Dungon B, Jaro, Iloilo City 5000 Philippines Site 4/ ECC Regional Extension Unit XIII (CARAGA) – Department of Labor and Employment (DOLE), Nimfa Tiu Building, J.P. Rosales Avenue, Butuan City, Agusan del Norte 8600 Philippines
Attention	:	Stella Zipagan-Banawis, Executive Director/QMR
Audit Team	:	Grace Del Rosario (GDR), Melchor Camina (MC), Eufronio Alonzo (EA)
Standard / Audit Type	:	ISO 9001: 2015 / First Follow up Audit
Audit Date	:	November 23, 2021
Audited Sites/Scope	:	Site 1: Public Administration that provides social services such as Development and review of policies on Employees' Compensation Program, Disposition of Employees' Compensation appealed cases, Rehabilitation of Persons with Work Related Disability (PWRDs) and Information Dissemination Site 2: Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs) Site 3: Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs) and Information Dissemination Site 4: Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs) and Information Dissemination

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	Corporate Social Responsibility	In the continuing service of the agency to the workers and employees, expanding the coverage of the EC program to self-employed, land-based OFW, and the planned coverage for senior citizens is commendable.

2	Awards / Recognition	<p>Recipient of the following awards:</p> <ul style="list-style-type: none"> <li>- Chosen as one of the awardees in the forthcoming 2021 FOI Awarding Ceremony on November 25, 2021 in Radisson Blu Cebu is commendable.</li> <li>- Recognition award given by Asean Social Security Association for its achievement in Customer Service Recognition Award for the year 2020-2021.</li> <li>- Certificate of Appreciation given last July 12, 2021 by 1Shepherd Corporation for their constant support of the project and programs and in consistent Promotion of Occupational Safety and Health</li> <li>- Certificate of Appreciation from Bombo Radyo Philippines dated June 2, 2021</li> <li>- Certificate of Recognition for active support to all the trainings of the Safety Organization of Negros Occidental Inc. since 2014 given OSHC dated January 20, 2021</li> </ul>
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## 2. Opportunities for improvement

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	Site 1: Management	Ensure to clearly state the physical boundaries of the scope of the management system in the Quality Manual.
2	Site 1: Finance	Ensure actual accomplishment is monitored based on the success indicator.
3	Site 1: IT	<p>Ensure server room is properly maintain:</p> <ul style="list-style-type: none"> <li>- Monitoring the temperature and humidity should be considered</li> <li>- Prevent storing of unnecessary materials near the server.</li> </ul> <p>The implementation of comprehensive guidelines for ICT on the Regional Extension Units (REUs) will be verified next audit.</p>
4	Site 2: ECC Regional Extension Unit IV-A (CALABARZON)	<p>Ensure cause of the low number of served request should be determined to establish action to continually improve the process.</p> <p>Consider establishing monitoring of number of requests versus number of served request and analyze the result.</p>
5	Site 1: Government Quality Management System documentation – PPSMD / Appeals Div.	The standard prescribed that quality objectives shall be established at all levels of the organization. As such, ensure that DPCR (Division Level Objectives) are also formally and officially released in the organization. Currently, only OPCR (ECC Level) is reviewed, approved and submitted for approval by the mother agency DOLE.
6	Site 1: (WCPRD) Work Contingency Prevention and Rehabilitation	Based on the guidelines issued recently regarding the processing of applications for cash assistance, establish process duration for each of the steps taken including ECC interfaces with the respective Regional Extension Units.
7	Site 1: (IPAD) Information and Public Assistance Division	May consider reviewing the performance of the concerned unit when it comes to promptness in the release of reports. In was noted that the Annual Report for 2020 was uploaded to the ECC website last June 23, 2021 and hard copies were sent to target recipients last June 29, 2021.

8	Site 3: WCPRD	<p>May monitor analyze and evaluate the results of implemented steps process in the processing of applications for cash assistance and establish process durations for each of the steps taken.</p> <p>Likewise, based on the results of implementation of the program for rehabilitation of work-related injuries establish process time for the activities taken for both face to face and remote applications.</p>
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### 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 respective corrective action verified.						
<input checked="" type="checkbox"/>	<p>The current audit revealed the following nonconformities:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 30%;">Standard(s):</td> <td style="width: 35%; text-align: center;">No. of major nonconformity</td> <td style="width: 35%; text-align: center;">No. of minor nonconformity</td> </tr> <tr> <td>ISO 9001</td> <td style="text-align: center;">Zero</td> <td style="text-align: center;">Zero</td> </tr> </table>	Standard(s):	No. of major nonconformity	No. of minor nonconformity	ISO 9001	Zero	Zero
Standard(s):	No. of major nonconformity	No. of minor nonconformity					
ISO 9001	Zero	Zero					
<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).						

The auditor therefore recommends

<input type="checkbox"/>	Award of the new certificates.
<input type="checkbox"/>	Maintenance of the existing certification.
<input checked="" 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

**2022-12-18**

Agreed date for the next audit

**2022-12-18 (+0 day/-3 months)**

Nov. 23, 2021

Date

Grace Del Rosario (GDR), Melchor Camina (MC), Eufronio Alonzo (EA)

Audit Leader / Auditor(s)