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CERTIFICATE 01 100 1432634

1st Follow-up Audit Report as per

ISO 9001:2015

for

EMPLOYEES' COMPENSATION COMMISSION

4th and 5th Floors, ECC Building, 355 Sen. Gil Puyat Ave., Makati City 1200 Philippines

Client	Standard	Certification Number(s)	Audit Type
Employees' Compensation Commission	ISO 9001:2015	01 100 1432634	1 st Follow up Audit

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Audit Leader : Grace Del Rosario (GDR)

Audit Team : Melchor Camina(MC); Eufronio Alonzo (EA)

Client's representative : Ms. Stella Zipagan-Banawis - Executive Director / QMR

Audit Date : November 23, 2021

1 Audit result

Management system effectiveness was verified on site by means of random sampling by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and the descriptions in management system documentation. The audit objectives as mentioned in the audit plan, the special features of the organization's business activities, the applicable statutory and regulatory requirements and the requirements set forth in other generally applicable documents were also taken into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in Sections 4 of this report.

<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"/>	The current audit revealed zero major nonconformities and zero minor nonconformities.
<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:.ddmmyyy)
<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.

The auditor therefore recommends

<input checked="" type="checkbox"/>	Award of the new certificates. (Additional site)
<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.

2 Scope

2.1 Description of the organization

The Employees' Compensation Commission (ECC) is a government corporate entity attached to the Department of Labor and Employment (DOLE) for policy and program coordination. It became operational in 1975 through PD 626 and was created primarily to "promote and develop a tax-exempt Employees' Compensation Program (ECP) whereby

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employees and their dependents, in the event of work-connected disability or death, may promptly secure adequate income benefit and medical or related benefits."

The Secretary of Labor and Employment chairs the eight-member Commission composed of the heads of the Social Security System (SSS) and the Government Service Insurance System (GSIS), the Chairperson of Philippine Health Insurance Corporation (PhilHealth), Chairperson of the Civil Service Commission (CSC) all ex-officio members, the ECC Executive Director and two members representing the employers' and employees' sectors appointed by the President of the Philippines. For the past many years, the DOLE Secretaries, owing to their many concerns, have designated Undersecretaries to sit in their behalf as chair-designate/alternate of the Commission as well as the heads of the SSS, GSIS, PhilHealth.

Mission: To provide a package of benefits to employees and/or their dependents in the event of work-connected sickness, injury, disability and/or death.

Vision: By 2022, Employees' Compensation Commission (ECC) is a nationally-recognized social insurance institution committed to protect workers who meet work-connected sickness, injury, disability and/or death.

Corporate Values:

- We at the ECC are God-loving, dedicated and steadfast professionals and public servants.
- We stand for transparency, efficiency, and effectiveness in our office operations.
- We deal with our clients and other publics with utmost courtesy, patience, compassion
- We deliver excellent services promptly and fairly to all
- Most of all, we are honest, industrious and committed to our work and to the Filipino worker.

2.2 Scope of certification

Scope of certification:	Public administration that provides social services such as development and review of policy on Employees' Compensation Program, Disposition of Employees' Compensation appealed cases, rehabilitation of Persons with Work Related Disability (PWRDs) and Information Dissemination
ISO 9001 standard requirements which are not applicable:	Clause 8.3 Design and Development Clause 7.1.5 Monitoring and Measuring Resources
Reasons for non-applicability:	Clause 8.3 Design and Development is not applicable. The agency provides its services based on pre-determined needs of its clients Clause 7.1.5 Monitoring and Measuring Resources is not applicable. The agency does not utilize equipment or devices that need calibration

Internal auditing throughout the multi-site organization was verified with a positive result. The management representative has appropriate authority over the sites included in the multi-site organization.

The organization operates on a single shift that is 8:00am to 5:00pm from Monday to Friday.

100% of the audit was done by using ICT (Information and Communication Technology). The used method was effective to achieve the audit objectives.

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The following sites and their scopes are included in the scope of certification:

Site No. (CN ext.)	Sites included in cert. Name/address of site	No. of emp.	Scope and processes	Standard	Au-dited
01	Employees' Compensation Commission 4 th and 5 th Floors, ECC Building, 355 Sen. Gil Puyat Ave., Makati City, 1200 Philippines	80	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	ISO 9001:2015	<input checked="" type="checkbox"/>
02	Employees Compensation Commission ECC Regional Extension Unit IV-A (CALABARZON) – Unit 109 Ground Floor Milan Prestige Building, National Highway, Barangat Halang, Calamba City, Laguna 4027 Philippines	3	Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs)	ISO 9001:2015	<input checked="" type="checkbox"/>
03	Employees Compensation Commission ECC Regional Extension Unit VI (WESTERN VISAYAS) – M.E. Building, Dungon B, Jaro, Iloilo City 5000 Philippines	3	Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs) and Information Dissemination	ISO 9001:2015	<input checked="" type="checkbox"/>
04	Employees Compensation Commission 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	2 Σ: 88	Public Administration that provides social services such as Rehabilitation of Persons with Work Related Disability (PWRDs) and Information Dissemination	ISO 9001:2015	<input checked="" type="checkbox"/>

3 Changes in the management system / Contract review

The following changes have been implemented in the management system and the management system documentation since the last audit. Major changes are:

- Additional 3 sites:
- **Employees Compensation Commission**

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ECC Regional Extension Unit IV-A (CALABARZON) – Unit 109 Ground Floor Milan Prestige Building, National Highway, Barangat Halang, Calamba City, Laguna 4027 Philippines

- **Employees Compensation Commission**

ECC Regional Extension Unit VI (WESTERN VISAYAS) – M.E. Building, Dungon B, Jaro, Iloilo City 5000 Philippines

- **Employees Compensation Commission**

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

The implementation of these changes in the existing management system and the management system documentation was verified within the framework of the audit.

The description of the scope in the certificate appropriately reflects the scope of the management system.

A corresponding printing request is attached.

The audit plan was not changed during the audit.

4 Audit findings

The audit findings related to the audited standard are listed in the Annexes to this report (see. Annex ISO 9001:2015).

All information gained during the audit will be treated with strict confidentiality by the auditors 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.

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	Recipient of the following awards: <ul style="list-style-type: none"> - Chosen as one of the awardees in the forthcoming 2021 FOI Awarding Ceremony on November 25, 2021 in Radisson Blu Cebu is commendable. - Recognition award given by Asean Social Security Association for its achievement in Customer Service Recognition Award for the year 2020-2021. - 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 - Certificate of Appreciation from Bombo Radyo Philippines dated June 2, 2021 - 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

The following recommendations and opportunities for improvement provided by the auditors are intended to contribute to the continuous improvement of the management system.

No.	Unit/Department Site	Recommendations and opportunities for improvement
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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	Ensure server room is properly maintain: <ul style="list-style-type: none"> - Monitoring the temperature and humidity should be considered - Prevent storing of unnecessary materials near the server. The implementation of comprehensive guidelines for ICT on the Regional Extension Units (REUs) will be verified next audit.
4	Site 2: ECC Regional Extension Unit IV-A (CALA-BARZON)	Ensure cause of the low number of served request should be determined to establish action to continually improve the process. Consider establishing monitoring of number of requests versus number of served request and analyze the result.
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	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. 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.

5 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)

Audit Leader / Auditor(s)

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Annex ISO 9001:2015

Item	Audit result
Context of the organization	<p>The organization has determined internal and external issues related to the following subject areas (Note: subject areas can be legal requirements, co-operations, competition, community etc.)</p> <p>External Issues</p> <ul style="list-style-type: none"> • Varying quarantine alert level • Compensation and Position classification system issuance (EO 150) • Increase in demand for immediate provision of CA benefits <p>Internal Issues</p> <ul style="list-style-type: none"> • Alternative Work Arrangement • Create Service Continuity Team • Streamlined process of cash assistance based on GSIS/ SSS list • Online BAC • Vaccination and Shuttle service • Increase number of personnel <p>The organization has identified interested parties and the requirements of these parties. Examples for such parties are:</p> <ul style="list-style-type: none"> • Customers/Clients/ Members of SSS, GSIS <ul style="list-style-type: none"> - Fast processing of EC benefits and services - Clientele (EC Appellants) requirement on timely disposition of cases - Adequate benefits • External Providers <ul style="list-style-type: none"> - Prompt payment based on terms and conditions - Limited/non-availability of suppliers of prosthesis for PWRDs - Training Institutions-prompt payment • Regulatory Agencies <ul style="list-style-type: none"> - DOLE/GCG- compliance to performance agreement - GCG-requirement to good governance - COA- timely and accurate submission of reports
Policy / objectives	<p>Top Management has declared its quality policy binding and implemented. The quality policy is appropriate and provides a framework for the respective quality objectives. It commits all employees to pursue continuous quality system improvement. The quality objectives are measurable and are controlled, communicated and updated regularly.</p> <p>Key quality objectives include:</p> <p>Top Level Quality Objectives</p> <ul style="list-style-type: none"> • Customer Satisfaction: Achieve NLT 90% customer satisfaction rating conducted by a 3rd party service provider. • Regulatory Compliance: Maintain 100% compliance to legal and regulatory requirements • Financial Prudence: 90% utilization of COB • Continual Improvement: Attain OPCR rating of NLT 4.00 by end of the year • People Competency: Improvement of the Competency Level of the organization.

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Process control including outsourced processes	<p>The processes available in the organization have been identified and documented. Process workflows and interactions have been described and appropriately controlled. The processes are evaluated at regular intervals by means of key performance indicators.</p> <p>Key processes within the scope of product realization include:</p> <ul style="list-style-type: none"> • Development and Review of Policy on ECP • Disposition of EC Appealed Cases • Rehabilitation of PWRDs • Advocacy and Information Dissemination <p>The following processes have been outsourced and are appropriately reviewed and controlled:</p> <ul style="list-style-type: none"> • Security Services; Janitorial Services, Internet Provider, Partner Hospitals and Clinic, Training Centers
Risk-based thinking	<p>The requirements for risk-based thinking are being realized in the organization as follows:</p> <p>Risk-based thinking has been applied for the following processes:</p> <ul style="list-style-type: none"> • Appeals Division (AD) • Work Contingency Prevention and Rehabilitation Division (WCPRD) • Information and Public Assistance Division (IPAD) • Policy, Programs and Systems Management Division (PPMSD) • Finance Division (FD) • Administrative Division (Admin) – Human Resource Management, Records Management, Supply Management and Building Administration <p>Examples of risks and opportunities of processes identified are:</p> <p>Risks</p> <ul style="list-style-type: none"> • Conducting multiple webinars per day. • Technical difficulties due to obsolete gadgets. • Low turnout of feedback submission. • Focal person not answering client's queries/concerns. • Unavailability of service vehicle for REU 4A employees in going to and coming from work. • No existing safety program/ emergency preparedness program in the region. • Entertaining clients via F2F interaction • Face-to-face transaction for CA releases • No existing safety program/ emergency preparedness program in the region. • Limited manpower to do FB live to accommodate the high demand for EC information. <p>Opportunities</p> <ul style="list-style-type: none"> • Low cost of training amidst pandemic

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	<ul style="list-style-type: none"> • Venue is not conducive for learning due to large volume of walk-in participants (Venue is crowded and the air-conditioner can no longer cool the venue) • Possible unscheduled power interruption and internet interruption during a scheduled seminar <p>Examples of measures taken to react on identified risks are:</p> <ul style="list-style-type: none"> • Simplified draft decision (direct, brief and concise); Board Sec. to promptly follow-up decisions in referendum; Computer Operator I and II will both do the docketing of cases with complete documentary requirements • Timely monitoring by Computer Operator I or II • Simplified draft decisions (direct, brief and concise); Records section to timely forward cases for evaluation and docketing • Regular virtual TRC meetings; and, employees who are well and healthy will help in ensuring that TRC will push through <p>Examples of risks and opportunities concerning the context of the organization are:</p> <p>Risks</p> <ul style="list-style-type: none"> • Covid 19 Pandemic • Lack of manpower • Delay in approval and signing of EC appealed decisions by the Commissioners, due to alternative work arrangement <p>Opportunities</p> <ul style="list-style-type: none"> • Resilience of the process to the changing environment • Hiring of additional manpower (Technical and COS) • Opportunity to explore other means to provide adequate shuttle services to employees • Strategic aims and priorities set and mandated by GCG & DOLE are properly translated into actions with clear milestones and measures <p>Concerning risk based thinking the following tools are used:</p> <ul style="list-style-type: none"> • Identification of Internal and External Issues • Planned actions for Risk and Opportunities
Customer-related and other requirements	<p>The organization analyses and evaluates customer requirements and/or enquiries and any documented, assumed, statutory and regulatory requirements within the scope of a production and feasibility study performed in a team.</p> <p>The person who prepared the offer reviews the contract to ensure its compliance with the offer and documents this compliance in an order confirmation. The same procedure applies to amendments.</p> <p>The following process requirements significantly affect product or service quality:</p> <ul style="list-style-type: none"> • Formulation of EC Policy (EC-PM 04-01) • Quick Response Program (ECC-PM 04-04) • EC Appealed Case Disposition (ECC PM-04-02)

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	<ul style="list-style-type: none"> • Rehabilitation of Persons with Work Related Disabilities (PWRD's) ECC PM-04-03 • Advocacy and Information Dissemination (ECC-PM 04-05) • Customer Satisfaction Measurement (ECC-PM 05-04) • Purchasing of Supplies and Services (ECC PM-03-04) • Selection and Evaluation of Suppliers (ECC PM-03-05) • Evaluation Criteria for External Providers (ECC RM-08-01, ECC RM-08-02, ECC RM-08-03) <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> • GCG MC 2017-01 Interim Performance Based Bonus • GCG MC 2017-02 Interim Performance Evaluation System for the GOCC Sector • GCG MC 2018-03 Interim Rules and Guidelines for the Grant of Mid-Year Bonus, Year-End Bonus, and Cash Gift under EO36, s.2017 for FY and Years thereafter • Implementing Rules and Regulation of P.D. No 626 • P.D. No. 1445 – Commission of Audit (Government Auditing Code of the Philippines) • R.A. 9184 – Procurement Act of the Philippines • P.D. No. 442 – Labor Code of the Philippines • E.O. No 167 – Increasing the Amount of Certain Employment Compensation Benefits for Employees in the Private and Public Sector Increasing the Amount of Certain Employment Compensation Benefits for Employees in the Private and Public Sector Increasing the amount of certain Employment Compensation Benefits for Employees in the Private and Public sector. • E.O. No. 134 – Granting of Career's Allowance to employee's compensation (EC) Permanent Partial Disability (PPD) and Permanent Total Disability (PTD) Pensioners in the Public Sector. • Governance Commission for Government-Owned and Controlled Corporation (GCG) requirements • Government Appropriation Act
Customer satisfaction and complaints	<p>The organization maintains documented and effective procedures governing the handling of information, data analyses, improvement actions and responses to customer feedback.</p> <p><u>Customer Satisfaction</u> Customer satisfaction: Internal (CO and REUs). Achieve 2-4 satisfaction rating from 90% of respondents</p> <p><u>Customer Complaints</u> 29 complaints from 8888, the highest is related to Cash Assistance. All complaints were acted upon within 72 hours from receipt of complaint by ECC.</p>
Internal audit and management review	<p>The organization measures the implementation, maintenance and effectiveness of the management system by means of annually scheduled system audits. The organization reliably carries out these audits. The audit was conducted by 19 auditors last</p>

Audit Report

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	<p>September 29 to October 12, 2021. There was zero nonconformity and sixty-eight observations reported.</p> <p>Top management reviews the organization's management system at regular intervals and in line with the requirements to ensure its continuous suitability, adequacy and effectiveness. The management review was carried out in accordance with the requirements and was effective</p> <p>Date of last management review: 15-07-2021 (1st MR) and 5-11-2021 (2nd MR)</p>
Use of certificate and logo	The organization uses the logo and the certificate (e.g. on business cards, company brochures, websites etc.) in compliance with the requirements.

Chapter of standard	4.1	4.2	4.3	4.4	5.1	5.2	5.3	6.1	6.2	6.3		
Rating *	1	1	1	1	1	1	1	1	1	1		
No. of nonconformity	--	--	--	--	--	--	--	--	--	--		
Chapter of standard	7.1	7.2	7.3	7.4	7.5	8.1	8.2	8.3	8.4	8.5	8.6	8.7
Rating *	1	1	1	1	1	1	1	4	1	1	1	1
No. of nonconformity	--	--	--	--	--	--	--	--	--	--	--	--
Chapter of standard	9.1	9.2	9.3	10.1	10.2	10.3						
Rating *	1	1	1	1	1	1						
No. of nonconformity	--	--	--	--	--	--						

- * **Rating:**
- 1 = conforming
 - 2 = not audited in this audit
 - 3 = nonconformity (see nonconformity report)
 - 4 = not applicable