

Summary of Findings



Client	Standard	Certificate No.	Audit Type
Employees' Compensation Commission	ISO 9001:2015	01 100 1432634	Re-certification Audit
Date	Client Address		Audit (team) leader
2023-12-18 – 2023-12-19	4th and 5th Floors, ECC Building, 355 Sen. Gil Puyat Ave., Makati City, 1200 Philippines		Minda Fe Villapando

Positive findings

No.	Standard	Standard Chapter	Location / Department / Process	Positive findings
1.	ISO 9001:2015	7.1.3 – Infrastructure (ISO 9001)	Central Office / Site 1 / ICT /	<p>Acquisition of the following IT Infrastructure is commendable:</p> <ul style="list-style-type: none"> - 30 new unit replacement of Laptop - One (1) cloud server - One (1) UPS - Subscription to google workspace - Upgrade of internet from 30 mbps to 70 mbps <p>Use of ICT Inventory System for easy monitoring of laptops/desktops specification and condition/status starting year 2023.</p>
2.	ISO 9001:2015	5.1.2 – Customer focus (ISO 9001)	Central Office/ Site 1 / Top Management /	International Award:

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				<p>ASEAN Social Security Association (ASSA) Recognition of ECC’s efforts in Customer Service “Pagbangon” (The Rise) -21 November 2023</p> <p>Local Awards: Certificate of Commendation from National Commission on Muslim Filipinos (NCMF), December 2023</p> <p>2023 Oragon Awards - Special Citation for Convergence Stakeholders in TAV Implementation, -December 12, 2023</p> <p>Certificate of Recognition for the strong partnership provided to the WVOSH Network, Inc., -November 19, 2023</p> <p>Certificate of Recognition for establishing a partnership with Council for the Welfare of Children in disseminating the EC Program among its officers and employees, -October 12, 2023</p> <p>Certificate of Recognition for the active partnership extended to the activities of the DOLE and the PESO Managers’ Association of the Philippine (PESOMAP) – Western Visayas Inc., -September 05, 2023</p>

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				<p>GAWAD LIO 2023 (Gantimpala sa Adbokasiyang Wasto at Angkop ng DOLE LIO) awarded to #ECCWorkRelated sa Special on Saturday (SOS) and ECC O-PA! (Online Public Assistance), -May 26, 2023</p> <p>Gold Award in recognition of commendable implementation of the DOLE Communication Program for FY 2022 -May 26, 2023</p>
3.	ISO 9001:2015	7.4 – Communication (ISO 9001)	Site 3/ ECC Regional Extension Unit VI (WESTERN VISAYAS) / (WCPRD) Work Contingency Prevention Rehabilitation Division / Participation and Recognition	<p>REU 6 received the following Certificate of Recognition:</p> <ul style="list-style-type: none"> -participation in PESO, Sept. 5, 2023 - advocacy of assuring worker’s on awareness benefits Nov. 19. 2023 -Active Governmental Partner , Nov. 21, 2023
4.	ISO 9001:2015	5.1.2 – Customer focus (ISO 9001)	Site 2/ ECC Regional Extension Unit IV-A (CALABARZON) / (WCPRD) Work Contingency Prevention Rehabilitation Division /	The REU -IV-A addressed the previous audit recommendation. The Employees’ Compensation Commission Citizen’s Charter 2023 (3rd Edition) is already available in tarpaulin and posted in the receiving area.
5.	ISO 9001:2015	5.1.2 – Customer focus (ISO 9001)	Site 3/ ECC Regional Extension Unit VI (WESTERN VISAYAS) / (WCPRD) Work Contingency Prevention Rehabilitation Division / Customer Feedback	<p>The following are commendable customer feedback</p> <ul style="list-style-type: none"> - Overall rating on customer satisfaction survey was “lubos sumasang ayon” - Zero customer complaints - overall rating of entrepreneur training was excellent by the participants

Opportunities for improvement

No.	Standard	Standard Chapter	Location / Department / Process	Opportunity for improvement
1.	ISO 9001:2015	10.2 – Nonconformity and corrective action (ISO 9001)	Site 2/ ECC Regional Extension Unit IV-A (CALABARZON) / (WCPRD) Work Contingency Prevention Rehabilitation Division /	Accomplished catch up plans for unmet targets are prepared c/o PPSMD, Ensure the concerned REUs obtain copy of the catch up plans.
2.	ISO 9001:2015	7.2 – Competence (ISO 9001)	Central Office / Site 1 / Human resource /	<p>Consider establishing timetable on the updating of Employee Competencies for reference and monitoring of activity update.</p> <p>Ensure documenting next planned program for those identified gap wherein the intervention done was found ineffective based on the result of assessment.</p>
3.	ISO 9001:2015	6.1 – Actions to address risks and opportunities (ISO 9001)	Site 4/ ECC Regional Extension Unit XIII (CARAGA) / (WCPRD) Work Contingency Prevention Rehabilitation Division /	Consider to integrate the implemented mitigating action (e.g. through work instruction, process manual, etc.) that proved to be effective in addressing a specific risk, to assure for its continuous implementation.
4.	ISO 9001:2015	8.4.3 – Information for external providers (ISO 9001)	Central Office / Site 1 / / External Providers	<p>Ensure to communicate performance of external provider and seek actions for improvement (low or nearing to low performance)</p> <p>May consider improving evaluation of Pest control and elevator providers to gauge delivery service performance and among others.</p> <p>Need to assess necessity to determine and consolidate external providers if all are evaluated accordingly. Currently, responsibility of monitoring and evaluation is within per section.</p>

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5.	ISO 9001:2015	6.1 – Actions to address risks and opportunities (ISO 9001)	Site 2/ ECC Regional Extension Unit IV-A (CALABARZON) / (WCPRD) Work Contingency Prevention Rehabilitation Division /	Ensure to provide action plan(s) for Opportunity, monitor the status and evaluate the effectiveness of the action plans to address Opportunity.
6.	ISO 9001:2015	6.1 – Actions to address risks and opportunities (ISO 9001)	Site 3/ ECC Regional Extension Unit VI (WESTERN VISAYAS) / (WCPRD) Work Contingency Prevention Rehabilitation Division /	Identify other relevant risks in Regional Extension units such as unavailability of partner hospital, geographical location of PWRDs, complaints and etc.
7.	ISO 9001:2015	10.2 – Nonconformity and corrective action (ISO 9001)	Central Office / Site 1 / / Corrective Action	In the description of nonconformity, clearly define the requirements, failure to the requirements and evidence of failure. Corrective action should address the root cause analysis.
8.	ISO 9001:2015	9.2 – Internal audit (ISO 9001)	Central Office / Site 1 / / Internal Audit Process	Need to ensure the following: <ul style="list-style-type: none"> - Determine risk associated to activities for the planning and execution of audits (e.g., onsite audit, availability of auditees/auditors) - Retain evidence of notification / communication as well as confirmation of audit schedule. May set timeline prior to conduct audit for the preparation and readiness of the process owners - Improvement of service improvement request (SIR) form <ul style="list-style-type: none"> a. Separate column for correction and the corrective action b. Inclusion of the target and actual implementation of actions

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				There is on-going evaluation checklist improvement. Ensure consistency of implementation. Status will be checked next audit.
9.	ISO 9001:2015	6.2 – Quality objectives and planning to achieve them (ISO 9001)	Central Office / Site 1 / / Finance	<p>Need to review set targets taking consideration the application of SMART e.g., Accuracy – acceptable void cheques, Timeliness – disbursement within 7 days (Cash assistance)</p> <p>Ensure evidence of actions for unmet targets.</p> <p>Ensure correctness of risk analysis based on the actual set-up e.g., L-4, S-2</p> <p>Likewise, consider identifying other related risk that leads to unachieved objective.</p>
10.	ISO 9001:2015	4.2 – Understanding the needs and expectations of interested parties (ISO 9001)	Central Office / Site 1 / / Context of the Organization	Ongoing updating of the Needs & Expectation to include other relevant interested parties (e.g., ARTA). Target completion is by Q1 of 2024, status will be checked next audit.
11.	ISO 9001:2015	6.1 – Actions to address risks and opportunities (ISO 9001)	Site 2/ ECC Regional Extension Unit IV-A (CALABARZON) / (WCPRD) Work Contingency Prevention Rehabilitation Division /	Risk and Opportunity Register needs to be formally documented, example identification of current version and effective date, identification who prepared and approved.
12.	ISO 9001:2015	5.1.2 – Customer focus (ISO 9001)	Site 2/ ECC Regional Extension Unit IV-A (CALABARZON) / (WCPRD) Work Contingency	The Employees’ Compensation Commission Citizen’s Charter 2023 (3rd Edition) is available in tarpaulin and posted in the receiving area. May

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			Prevention Rehabilitation Division /	<p>consider to provide magnifying glass for clients who may have forgotten eyeglasses.</p> <p>Also, consider to provide lock for the Customer Satisfaction Survey drop box to maintain confidentiality of information.</p>
13.	ISO 9001:2015	7.1.3 – Infrastructure (ISO 9001)	Central Office / Site 1 / Facilities Maintenance /	<p>The following activity will commence by year 2024 per CY 2024 Budget Plan:</p> <ul style="list-style-type: none"> - Building Integrity structure testing - Electrical Testing <p>Status will be checked next audit.</p>
14.	ISO 9001:2015	5.1.2 – Customer focus (ISO 9001)	Site 3/ ECC Regional Extension Unit VI (WESTERN VISAYAS) / (WCPRD) Work Contingency Prevention Rehabilitation Division /	<p>The following may be improved:</p> <ul style="list-style-type: none"> - translate the qualitative result into quantitative summary of customer satisfaction survey - posting of “8888” in the office for complaints - impact assessment and its sustainability of different livelihood programs for PWRDs - assessment of the financial status one year awarding of starter kit (20,000 pesos) - complimentary kit for another line of business as an additional investment - monitoring on the processing time of citizen’s charter - demographics of clients/PWRDs as a basis for the specific assistance - availability of social worker to asses the psychosocial profile of clients as stated in Citizen Charter

Nonconformities

No.	Standard	Standard Chapter	Location / Department / Process	NC Type	Re-Audit	Nonconformity a) Description / b) Evidence
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