

PBGEN ALEXANDER C TAGUM, DIRECTOR, HPG
PNP – Highway Patrol Group
PNP Highway Patrol Group Camp BGen Rafael T. Crame,
Quezon City

December 13, 2021

Subject: **2nd Follow-up Audit**

Dear PBGEN ALEXANDER C TAGUM, DIRECTOR, HPG,

Greetings!

Enclosed is our report on the ISO 9001:2015 2nd Follow-up Audit conducted last September 22, 2021 for your company.

Thank you.

Best regards,



Mica De Mesa
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Precisely Right.

CERTIFICATE NO. 01 100 1900209TRP

Audit Report as per

ISO 9001:2015

for

PNP – Highway Patrol Group

PNP Highway Patrol Group Camp BGen Rafael T. Crame, Quezon City



TUV RHEINLAND PHILIPPINES, INC.
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AND

Client	Standard	Certification Number(s)	Audit Type
PNP – Highway Patrol Group	ISO 9001:2015	01 100 1900209TRP	2 nd Surveillance Audit

Contents

1	Audit result	3
2	Scope	3
2.1	Description of the organization	3
2.2	Scope of certification	4
3	Changes in the management system / Contract review	4
4	Audit findings	4
5	Dates	6



AND

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Audit Leader : Mr. Lionell G. Aala

Audit Team : Ms. Abigail Salomon

Client's representative : PBGEN ALEXANDER C TAGUM, DIRECTOR, HPG

Audit Date : Sept. 22, 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 0 major nonconformities and 0 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:.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 stand-

The auditor therefore recommends (provided nonconformity response has been approved):

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

Highway Patrol Group was originally called the Traffic Control Group (TrafCon). Then it was placed under the control of the Philippine Constabulary and tasked to enforce traffic safety laws, general supervision of local police forces with regards to the enforcement of traffic laws, assistance to the LTO, the enforcement of driver's license and motor vehicle registration and regulations with regards to public carriers.

HPG Quality Policy:

"The Highway Patrol Group, guided by its mission, vision and core values is committed to be highly respectable, professional and good-hearted guardian of the highways in ensuring safety and security of all motorist and road



Audit Report

Client	Standard	Certification Number(s)	Audit Type
PNP – Highway Patrol Group	ISO 9001:2015	01 100 1900209TRP	2 nd Surveillance Audit

users through effective and efficient crime solution, strict adherence to the constitution, service-oriented and community centered policing that seeks continuous dynamic improvement.”

2.2 Scope of certification

Scope of certification:	Processing and issuance of motor vehicle clearance certificate
ISO 9001 standard requirements which are not applicable:	<ul style="list-style-type: none"> • Clause 7.1.5.2, Measurability Traceability, and • Clause 8.3, Design and Development of Products and services
Reasons for non-applicability:	<p>1) 7.1.5.2 Measurability Traceability The selected process scope does not necessitate the use of measuring equipment that needs to be calibrated, verified or both to ensure valid results.</p> <p>2) 8.3. Design and development of products and services The design and development of products or services is not applicable in HPG considering that we are not policy making unit / office, it is done by the higher headquarters. We only enforce the relevant laws, rules and regulations and other satisfactory requirements</p>

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 offices operates from 8:00am to 5:00pm, 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.

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	PNP – Highway Patrol Group PNP Highway Patrol Group Camp BGen Rafael T. Crame, Quezon City	25 (at the time of audit)	Processing and issuance of motor vehicle clearance certificate	ISO 9001:2015	<input checked="" type="checkbox"/>

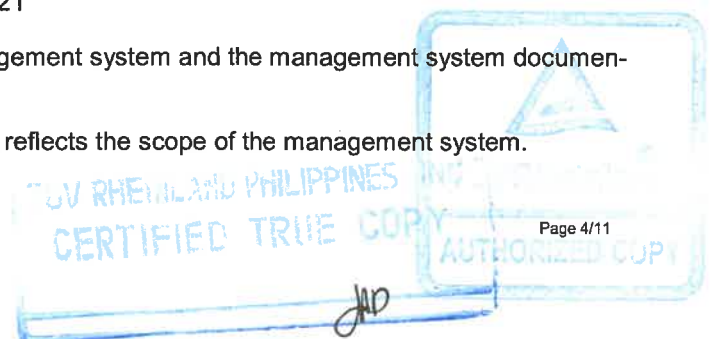
3 Changes in the management system / Contract review

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

- PMAJ Roy Augustus Calulot as New Deputy Chief effective August 29, 2021
- Update in HPG Quality Policy dated August 23, 2021

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.



Audit Report

Client	Standard	Certification Number(s)	Audit Type
PNP – Highway Patrol Group	ISO 9001:2015	01 100 1900209TRP	2 nd Surveillance Audit

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 auditor 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	PNP HPG	Continuous provision of refreshment to customer's while waiting for release of clearance for a better customer engagement is note-worthy.
2	COVID 19 measures	Continuous improvement on application of measures preventing infection of COVID 19 such as UV Ozonizer Sterilization Box for decontamination of documents is note-worthy.

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

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	IT Support	Preventive maintenance of printing device use for printing clearance is being outsourced. Ensure copy of service report is available upon completion of service. This will be checked next visit.
2	MVCD	Ensure the threats (e.g. budget appropriation, public perception) are specifically define and align in the risk management. Aside from customer perspective, may ensure to set measurable objectives on timeliness of deliverables based on prescribed period. This will be checked next audit. Consider to review the need to include requirements for Transfer of Ownership of Vehicle if not included on choices from option C to G as prescribed at the back page of application form.
3	Internal Audit	Ensure to include the Purchasing & Internal Audit in the Audit Plan. Ensure timely verification of effectiveness for any corrective actions taken to address nonconformities (3 months after completion), e.g. 2020 NCs.



Audit Report



Client	Standard	Certification Number(s)	Audit Type
PNP – Highway Patrol Group	ISO 9001:2015	01 100 1900209TRP	2 nd Surveillance Audit

4	Purchasing	<p>Need to improve the consistency of the following:</p> <ul style="list-style-type: none"> - Reflecting of purchase order number in PO form - Reflecting the result of inspection and verification of received items in Inspection and Acceptance Report form <p>Consider to determine objectives that are relevant in Purchasing services and monitor accordingly.</p>
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5 Dates

Due Date for the next audit

2022 December 16 (+0 day / - 3 months)

Agreed date for the next audit

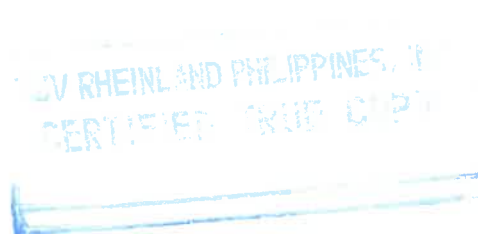
2022 November

22 Sept. 2021

Date

Mr. Lionell Aala / Ms. Abigail Salomon

Audit Leader / Auditor(s)



Audit Report

Client	Standard	Certification Number(s)	Audit Type
PNP – Highway Patrol Group	ISO 9001:2015	01 100 1900209TRP	2 nd Surveillance Audit

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> <ul style="list-style-type: none"> • Covid-19 pandemic • Limitation on the number of transaction • New leadership • Availability and changes of manpower • Competence of manpower • Processing time • Completion and functionality of document requirements from applicant • Budget constraint • Customer satisfaction • Communication equipment • Manpower transition • Training programs <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"> • Car owners, dealers and manufacturers – Motor vehicle clearance certificate • Private agencies – Vehicle status • Insurance companies – Vehicle status • Private agencies – Vehicle status • Other government agencies /LEA's – Vehicle status • PNP Units / Personnel – Vehicle status • DOH/IATF – Covid-19 health protocol
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.</p> <p>Key quality objective is Improve Community Perception and Satisfaction by ensuring safety and security of all motorists and road user. – Atleast 98.50% of customers are satisfied.</p> <p>These are measurable and are controlled, communicated and up-dated regularly.</p>
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"> • MVCD Processes (Receiving section, initial processing, Issuance of order payment (thru Landbank EPPP System), Physical inspection, Macro-etching exam (c/o other units), Records verification, encoding of data and printing of clearance certificate, Final processing for signature of processing and clearance officer, Issuance to applicant / customer • Information Technology

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	<ul style="list-style-type: none"> • Human Resource • Control on externally provided products and services <p>The following processes have been outsourced and are appropriately reviewed and controlled:</p> <ul style="list-style-type: none"> • Book Binding of some records for archive • Macro-Etching Process by PNP Crime Laboratory • Clearance Certificate Paper <p>These processes are appropriately reviewed and controlled.</p>
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"> • MVCD Operations <p>Examples of risks and opportunities of processes identified are:</p> <ul style="list-style-type: none"> • No MVCC form printed due to unavailability of fund • Security risk – cyber attack • Late deliveries/damage supplies; quality failures • Limited manpower • Covid-19 pandemic transmission • Usage of unlicensed operating system • Outdated standard operating procedures • Pending release of MVCC due to power interruption • Establishment and strengthening of partnership with other Law Enforcement • Strong support of the current administration • Accessibility of MTAP • Adequate number of Lecturer • Updating of database • Continuous training and competency enhancement of personnel <p>Examples of measures taken to react on identified risks are:</p> <ul style="list-style-type: none"> • Request for additional personnel • Conduct of Training Needs and Analysis • Implementation of IATF/DOH protocol in the workplace • Schedule for licensed OS procurement • Document review and evaluation • Provision of power generators • Amendments of SOP's LOI's and CMC • Appropriation of budget from the procurement • Regular conduct of inventory; develop a web based program; updating of equipment • Regular maintenance and back up • Monitoring of quarantined personnel

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PNP – Highway Patrol Group	ISO 9001:2015	01 100 1900209TRP	2 nd Surveillance Audit

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	<p>Examples of risks and opportunities concerning the context of the organization are:</p> <ul style="list-style-type: none"> • Usage of outdated database • Outdated and unlicensed OS of computer equipment • Inaccessible system • Legal sanction • Client safety • Leadership transition • Covid-19 pandemic • Intermittent internet signal • On-line processing • Limitation on the number of transaction • Plan to have web based database to align with Customs, LTO and Insurance Provider • Create Electronic Payment <p>Concerning risk based thinking the following tools are used:</p> <ul style="list-style-type: none"> • Risk Register • Opportunity Register
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>Offers are prepared and approved by MVCD Head and Top Management – Director.</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"> • Completion of required documents submitted by customer • Process timeline • Availability of skilled manpower • Availability of IT Infrastructure • Accuracy of information / data • Accuracy of verification process • Competency of personnel • Timeliness of clearance issuance <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> • Administrative Order No. 25 Annex 4 (IATF Memorandum Circular No. 2020-1) – to use the Citizen/Client Satisfaction Survey in conducting customer satisfaction surveys • RA 4136 • RA 10586 • RA 10883 • RA 6539 • PD 532 • PD 96

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	<ul style="list-style-type: none"> • PD1612 • PNP HQ Memorandum
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>This Citizen / Client Satisfaction Survey has 8 Service Quality dimensions such as:</p> <ul style="list-style-type: none"> - Responsiveness - Reliability - Access and Facilities - Communication - Costs - Integrity - Assurance, and - Outcome <p>At current PNP-HPG, Customer Satisfaction gathered an average of 99.55% which is rated from very satisfactory to outstanding level coming from the 6,258 respondents who were surveyed using the current practice. There were also 28 dissatisfied clients due to motor vehicle clearance cost.</p> <p>Customer Complaint: There were no complaints received or reported after the last audit conducted.</p>
Internal audit and management review	<p>Internal Audit</p> <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 dated August 31, 2021 by 2 qualified auditors resulted to 6 Commendable Findings, 4 Opportunities for Improvement and 3 Nonconformities.</p> <p>Top Management</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: 03 Sept. 2021</p>
Use of certificate and logo	<p>The logo and the certificate are used in compliance with the requirements. This has been checked by sampling. The sampling included business cards, company brochures or websites or others.</p>

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	0	0	0	0	0	0	0	0	0	0		
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 7.1.5.2	1	1	1	1	1	1	4	1	1	1	1

Audit Report

Client	Standard	Certification Number(s)	Audit Type
PNP – Highway Patrol Group	ISO 9001:2015	01 100 1900209TRP	2 nd Surveillance Audit

	4											
No. of nonconformity	0	0	0	0	0	0	0	0	0	0	0	0
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	0	0	0	0	0	0						

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

