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Precisely Right.

CN 01 100 2104017 TRP

Audit Report as per

ISO 9001:2015

For

**Philippine National Police – Directorate for Personnel
and Records Management – Police Commissioned
Officers Placement and Promotion Division**

NHQ PNP, Camp BGen Rafael T Crame, Quezon City, 1111,
Philippines

Client	Standard(s)	Certification Number(s)	Audit Type
Philippine National Police – Directorate for Personnel and Records Management – Police Commissioned Officers Placement and Promotion Division	ISO 9001:2015	01 100 2104017TRP	First Bi-annual Surveillance Audit

Audit Leader : Rolando Remitar

Audit Team : None

Client's representative : PMAJ JORGE C MENESES III Acting ADMO/DPRM Quality Management

Audit Date : 2021 Nov. 25 – 2021 Nov. 25

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"/>	<p>The current audit revealed the following nonconformities:</p> <table border="1"> <thead> <tr> <th>Standard(s):</th> <th>No. of major nonconformity</th> <th>No. of minor nonconformity</th> </tr> </thead> <tbody> <tr> <td>ISO 9001</td> <td>Zero (0)</td> <td>Zero (0)</td> </tr> </tbody> </table>	Standard(s):	No. of major nonconformity	No. of minor nonconformity	ISO 9001	Zero (0)	Zero (0)
Standard(s):	No. of major nonconformity	No. of minor nonconformity					
ISO 9001	Zero (0)	Zero (0)					
<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: . dd.mm.yyyy)						
<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/audit team therefore recommends:

<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.

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3	Police Commissioned Officers Placement and Promotion Division (PCOD)	<p>May improve the following:</p> <ul style="list-style-type: none"> - Proper timing of the approval by CPNP and designation as align with the flow chart <p>Target dates of the planned action of each individual for the chosen career path</p>
4	Human Resource	<p>May consider the following:</p> <ul style="list-style-type: none"> -training needs analysis for the specific knowledge, skills and attitudes as input in the training plan -use multiple choice exam instead of matching type and true or false in establishing validity and reliability

5 Dates

Due Date for the next audit


2022-08- 27 (indicate for each standard if applicable)

Agreed date for the next audit

2022-07

Nov. 25, 2021

Date



Rolando Remitar

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> <ul style="list-style-type: none"> • Vaccination of personnel • COVID-19 infection • Intervention of Senior Officers • Political Intervention • Poor internet connectivity • Inadequate number of DPRM trained personnel • Outdated DPRM Organizational Structure • Lacking of personnel • Lacking of equipment • Changing PNP leadership <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"> • PNP Offices/Units • PNP Personnel • Local Government Units (I.e. Mayor, Governor) • Civil Service Commission • NAPOLCOM • DILG • DBM • DPRM Top Management • External Provider – Internal(within PNP Group) and Outside PNP Group
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> <ul style="list-style-type: none"> • Percentage of qualified and competent personnel designated to approved TO positions (3rd Level Positions PCOL to PGEN) target 97% • 100% Timely issuance of supporting documents for retiring personnel (retirement orders, service orders leave and credits) • Case Resolution Efficiency (CRE) within 110 days – 91%, NHQ- 85%, PROs 40%, NSU – 80% • Backlog Case – NHQ- 10%, PROs 27%, NSU 150
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"> • Police Commissioned Officers- Placement and Promotion Division (PCOD)

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	<p>Promotion</p> <ul style="list-style-type: none"> - Assessment of applications for promotion to 3rd Level Police Commissioned Officers. Applicants are with the rank PLTCOL - Request for Complete Background Investigation of the Applicants to concerned Directorate Staff, e.g. Directorate for Investigation for criminal cases, Discipline and Order Division for administrative cases - Request for evaluation of competency of applicants to concerned Directorial Staff depending on competency required for the current position of the applicant, e.g. Directorate for Investigation and Detection Management, if the applicant is performing investigation and detective work - Request for interview and evaluation of applicants by the Senior Officers for Placement and Promotion Board SOPPB - Request for SOPPB enbanc deliberation for confirmation and endorsement of applicants for approval by the Chief, PNP - Upon approval of Chief, PNP, Issuance of Memo Directive to concerned PNP Office/ Unit regarding Designation of applicants as Acting Capacity - Request for Drug Test and Neuro-Psychiatric Test of applicants to PNP Health Service and Crime Laboratory respectively - Review and verification of submitted promotion requirements by the applicants - Submission to NAPOLCOM for evaluation and confirmation. NAPOLCOM submits to Civil Service Commission for review and evaluation of the applicant’s compliance to minimum qualification standards. CSC endorses the promotion to Malacanang for President’s approval - Preparation of Promotion Order, upon receipt of Appointment Order from the Office of the President <p>Placement</p> <ul style="list-style-type: none"> - Publication of Vacant Positions to PNP Website - Assessment of application for the published vacant position - SOPPB Deliberation results and endorsement - Chief PNP approval of recommendation - Drug test and Neuro Psychiatric test evaluation - NAPOLCOM and Civil Service Evaluation - Malacañang endorsement and approval - Approved Shortlist Recommendation forwards to RD for subsequent selection of LGUs - DPRM Issuance of Placement Orders Directive - Update and Maintenance of Pool List of Chief Regional Staff (CRS) <ul style="list-style-type: none"> ● Human Resource Management ● Records Management ● Case Management ● Infrastructure and Work Environment <p>The following processes have been outsourced and are appropriately reviewed and controlled: Internal (within PNP)</p>

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	<ul style="list-style-type: none"> • Directorate for ICT Management - for ICT Training • DHRDD – Training • DI- Background Investigation • PNP Health Services – Drug Test and Neuropsychiatric Test • HQ Support Services – provision of man lift truck / boom truck used for equipment installation External(outside PNP) • Atlanta Center – Communication tower for PNP CES radio repeater (rented)
Risk-based thinking	<p>The requirements for risk-based thinking are being realized in the organization as follows: Risk-based thinking has been applied for the following processes:</p> <ul style="list-style-type: none"> • Case Management • Records Management • PCOD – Promotion and Placement • Human Resource • Finance Management <p>Examples of risks and opportunities of processes identified are:</p> <ul style="list-style-type: none"> • COVID-19 transmission • Limited face to face transaction • Insufficient Personnel • Reassignment of personnel • Unorganized File • Delay in the recovery of file • Political Intervention • Senior Officer Intervention <p>Examples of measures taken to react on identified risks are:</p> <ul style="list-style-type: none"> • Strict implementation of IATF guidelines • Vaccination program • Continuous request for quota allocation • Augmentation from Chief HQ • Continuous coordination with NAP for the proper disposal of documents <p>Examples of risks and opportunities concerning the context of the organization are:</p> <ul style="list-style-type: none"> • Reassignment PNP personnel and leadership • Political Intervention • Senior Officer Intervention • Disoriented Communication • <p>Concerning risk based thinking the following tools are used:</p>

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	<ul style="list-style-type: none"> • Risk Register • Opportunity Register • SWOT 										
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"> • Civil Service Commission minimum qualification standards for 3rd Level Police Commissioned Officer • Career ladder System of Philippine national Police • List of Provisional Position • Zone of Consideration (year of entry to PNP) <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> • National Archive of the Philippines • Procurement Law • Republic Act 6975: An Act Establishing the Philippine National Police Under a Recognized Department of the Interior and Local Government and for Other Purposes amended by RA No. 8551 and further amended by RA 9708 • Republic Act 97081- An Act Extending for Five Years the Reglementary Period For Complying with the Minimum Educational Qualification for Appointment to the PNP and Adjusting the Promotion System Thereof, Amending for the Purpose Pertinent Provisions of RA 6975 and RA 8551 and for Other Purposes • NAPOLCOM Memorandum Circular No. 2019-044 Revised Placement and Promotion System for Police Commissioned Officer to Third-Level Positions, dated May 14, 2019 • NAPOLCOM Memorandum Circular No. 2019-01: Prescribing the Placement and Promotion System for Third Level Officers 										
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>In order to gauge the performance in catering services pertaining to the placement and promotion of Third Level PCOs, Customer Satisfaction and Feedback Form were distributed to Third Level PCOs and Local Chief Executives who have direct transaction with our office Sept 1 to Nov. 15, 2021. The following were the results:</p> <table border="1"> <thead> <tr> <th>Services</th> <th>Satisfied</th> <th>Percentage</th> <th>Needs Improvement</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Initial Assessment and Evaluation</td> <td>14</td> <td>93.3%</td> <td>1</td> <td>6.6%</td> </tr> </tbody> </table>	Services	Satisfied	Percentage	Needs Improvement	Percentage	Initial Assessment and Evaluation	14	93.3%	1	6.6%
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	Competency Evaluation	8	53.3%	5	33.3%
	SOPPB Alpha/Bravo Deliberation	11	73.3%	1	6.6%
	Processing of SOPPB Resolution	4	26.6%	3	20%
	Issuance of appropriate Orders	3	20%	3	20%
	No complaints were noted.				
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 carried out this audit last Nov.11, 2021 by 15 auditors. There were 3 Opportunities For Improvement, and zero Non-Conformity raised by the audit team. All the audit findings were open at the time of the audit.</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. Date of last management review: 15-11-2021</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