



Republic of the Philippines
Department of Education
REGION VIII - EASTERN VISAYAS

July 13, 2020

OFFICE MEMORANDUM

No. **266**, s. 2020

To: Director III
Regional Office Division Chiefs
Section/Unit Heads
All Others Concerned

SURVEILLANCE MOCK AUDIT

1. In preparation for the 2nd ISO 9001:2015 Surveillance Audit, this Office shall conduct a **Surveillance Mock Audit** on **July 14-17, 2020** at the Convergence Zone.
2. The objectives of the activities are as follows:
 - a. Conduct reviews and validation of documented information and prepare recommendations for final preparations for ISO 9001:2015 Surveillance Audit; and
 - b. Maintain confidence that the certified management system continues to fulfill requirements between recertification audits.
3. Attached are the copy of the Audit Itinerary and the Schedule of Activities where the participants are indicated.
4. The identified participants are expected to bring laptop during the duration of the activities. They are advised to observe precautionary measures such as wearing of facemasks and to maintain physical distancing during their attendance to these audits.
5. Meals and snacks will be provided for and shall be charged against Regional Fund subject to the usual accounting and auditing rules and regulations.
6. Immediate dissemination of and compliance with this Memorandum are desired.


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Director IV 

FTAD-GMM



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ISO 9001:2015 Certified

DepEd RO8 ATA-F16 (CY2018-v03-r00) Page 1 of 1



AUDIT ITINERARY

Certification standard(s): ISO9 001:2015	Audit Type: Second Party Audit
	Date(s) of Audit: 14 – 17 July 2020
Name of Organisation: Department of Education – Region VIII Regional Office	
Location(s): Government Center, Palo, Leyte	
Certification Scope: Management of Regional Operations for Basic Education	
Audit objective: Surveillance: maintain confidence that the certified management system continues to fulfil requirements between recertification audits.	
Audit Criteria: <ul style="list-style-type: none"> • Certification standard(s) and other references • The organisation’s management system processes and documentation 	
Lead Auditor: Earl P. Tongol (EPT) Support Auditor(s): Chenier Nicu V. Villanueva (CVV) Ronaldo V. Polancos (RVP)	
Observer: Kathrina L. Sta. Maria (KLS)	

TIME	AREA OF AUDIT	AUDIT PARTICIPANTS	AUDIT DISCUSSION/CRITERIA	ISO CLAUSE /S	ASSESSOR
8:00 – 8:30 am	ICT Preparations Opening Preliminaries				
8:30 – 9:00am	Convergence Zone	Top Management Quality Management Teams (QMT)	Opening Meeting	N/A	EPT CVV RVP
9:00- 10:00am	Convergence Zone	Top Management as defined in the Management System Organization	<ul style="list-style-type: none"> • Organization’s determination of the context of the operations • Identification of External and Internal Interested Parties as well as the Needs and Expectations arising. 	4.0, 5.0, 6.0	EPT CVV RVP

AUDIT ITINERARY

TIME	AREA OF AUDIT	AUDIT PARTICIPANTS	AUDIT DISCUSSION/CRITERIA	ISO CLAUSE /S	ASSESSOR
			<ul style="list-style-type: none"> Organization's identification of Risk and Opportunities to be addressed by the Management System Top Management's approach to Leadership including review and discussion of the Quality Policy 		
10:00-10:15 am	Morning Break				
10:15 – 12:00nn	Convergence Zone	Quality Management Representative Team Top Management	<ul style="list-style-type: none"> Review and assessment of implementation and effective performance of Management review activities as both required by the Standard and the organization's own defined process Review and assessment of recommendations of Management Review and other activities for actions necessary for Continual Improvement of the Management System 	9.3, 10.1, 10.2, 10.3	EPT CVV RVP
12:00-1:30pm	Lunch Break				
1:30-5:00pm	Coaching Session with Regional Director, Assistant Regional Director, Chiefs and Quality Management Representative Team <ul style="list-style-type: none"> Feedback on the Morning Audit Recommendation and Agreements on Next Steps <i>*PM Break at around 3:30pm</i>				

AUDIT ITINERARY

TIME	AREA OF AUDIT	AUDIT PARTICIPANTS	AUDIT DISCUSSION/CRITERIA	ISO CLAUSE /S	ASSESSOR
8:00 – 8:30 am	ICT Preparations Opening Preliminaries				
8:30 – 10:15am	Convergence Zone	Office of the Regional Director (ORD) – Proper	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3, 8.1, 8.2,8.5, 8.6, 8.7, 9.0	CVV
	Quality Assurance Division Office	Field Technical Assistance Division (FTAD)			EPT
10:15-10:30 am	Morning Break				
10:30 – 11:15am	Convergence Zone	Office of the Assistant Regional Director (OARD)	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3, 8.1, 8.2,8.5, 8.6, 8.7, 9.0	EPT
	Quality Assurance Division Office	ORD – Information Communications Technology Unit			CVV
11:15-12:00nn	Convergence Zone	ORD – Legal Unit	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3, 8.1, 8.2,8.5, 8.6, 8.7, 9.0	EPT
	Quality Assurance Division Office	ORD – Information Communications Technology Unit			CVV

AUDIT ITINERARY

TIME	AREA OF AUDIT	AUDIT PARTICIPANTS	AUDIT DISCUSSION/CRITERIA	ISO CLAUSE /S	ASSESSOR
12:00-1:00pm	Lunch Break				
1:00 – 1:45pm	Quality Assurance Division Office	Quality Assurance Division (QAD)	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3, 8.1, 8.2,8.5, 8.6, 8.7, 9.0	CVV
	Convergence Zone	Education Support Services Division (ESSD) – Programs and Partnerships			EPT
1:45-3:15pm	Quality Assurance Division Office	Quality Assurance Division (QAD) - continuation			CVV
	Convergence Zone	Education Support Services Division (ESSD) – Health			EPT
3:15-3:30pm	Afternoon Break				
3:30-4:15pm	Quality Assurance Division Office	Curriculum and Learning Management Division (CLMD)	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3, 8.1, 8.2,8.5, 8.6, 8.7, 9.0	CVV
	Convergence Zone	ESSD-Education Facilities Section			EPT
4:15-5:00pm	Quality Assurance Division Office	Curriculum and Learning Management Division (CLMD)-continuation			CVV
	Convergence Zone	ESSD – Disaster Risk Reduction and Management			EPT
5:00pm	End of Day 2 Assessment				

AUDIT ITINERARY

TIME	AREA OF AUDIT	AUDIT PARTICIPANTS	AUDIT DISCUSSION/CRITERIA	ISO CLAUSE /S	ASSESSOR
8:00 – 8:30 am	ICT Preparations Opening Preliminaries				
8:30 – 9:30am	Quality Assurance Division Office	Policy, Planning and Research Division (PPRD)	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3, 8.1, 8.2,8.5, 8.6, 8.7, 9.0	CVV
	Convergence Zone	Finance Division (FD) - Accounting			EPT
9:30-10:15am	Quality Assurance Division Office	PPRD - continuation			CVV
	Convergence Zone	Finance Division (FD) - Budget			EPT
10:15-10:30 am	Morning Break				
10:30-11:15am	Quality Assurance Division Office	Human Resource Development Division (HRDD)			CVV
	Convergence Zone	Administrative Division (AD) - Personnel			EPT
11:15-12:00nn	Quality Assurance Division Office	HRDD- continuation			CVV
	Convergence Zone	AD - Payroll			EPT
12:00-1:00pm	Lunch Break				
1:00-1:45pm	Quality Assurance Division Office	CLMD – Learning Resource Management (LRM)	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3,	CVV
	Convergence Zone	AD - Cash			EPT
1:45-3:15pm	Quality Assurance Division Office	CLMD-LRM continuation			CVV

AUDIT ITINERARY

TIME	AREA OF AUDIT	AUDIT PARTICIPANTS	AUDIT DISCUSSION/CRITERIA	ISO CLAUSE /S	ASSESSOR
	Convergence Zone	AD – Asset Management	<p>planning, control of service provision, identification and traceability, preservation of product.</p> <ul style="list-style-type: none"> • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	8.1, 8.2, 8.5, 8.6, 8.7, 9.0	EPT
3:15-3:30pm	Afternoon Break				
3:30-4:15pm	Quality Assurance Division Office	ORD- Public Affairs Unit	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 	6, 8.5.4, 7.1.3, 7.1.4, 7.1.5, 7.5, 10.2, 10.3, 7.2, 7.3, 8.1, 8.2, 8.5, 8.6, 8.7, 9.0	CVV
	Convergence Zone	AD-Records			EPT
4:15-5:00pm	Quality Assurance Division Office	Bids and Awards Committee (BAC)	<ul style="list-style-type: none"> • Risk and opportunities identification and established quality objectives. • Service realization including service planning, control of service provision, identification and traceability, preservation of product. • Control of working environment. • Control of nonconforming output. • Competence of personnel. 		CVV
	Convergence Zone	AD-General Services			EPT
5:00pm	End of Day 3 Assessment				

AUDIT ITINERARY

TIME	AREA OF AUDIT	AUDIT PARTICIPANTS	AUDIT DISCUSSION/CRITERIA	ISO CLAUSE /S	ASSESSOR
8:00 – 8:30 am	ICT Preparations Opening Preliminaries				
8:30 – 10:15am	Convergence Zone	Documented Information Team (DIT)	<ul style="list-style-type: none"> Process and Control on Documented Information Training competence of QMT and implementation of relevant function processes 	7.2 7.5	CVV
8:30-10:15am	Quality Assurance Division	Process Quality Review Team (PQRT)	<ul style="list-style-type: none"> Process Quality Review Procedure and Conduct Process and Control on Documented Information Training competence of QMT and implementation of relevant function processes 	9.2, 10.1, 10.2, 10.3	EPT
10:15-10:30 am	Morning Break				
10:30-12:00nn	Quality Assurance Division	Workplace Improvement Team (WIT)	Housekeeping and 5S Audit Process	7.1.4	CVV
	Convergence Zone	Capacity Building Team (CBT)			EPT
12:00-1:00pm	Lunch Break				
1:00-3:00pm	Lead Auditor and Team of Consultants' Team Meeting Consolidation of Findings				
3:00-3:15pm	Afternoon Break				
3:15-5:00pm	Presentation of Findings and Next Steps Location: Convergence Zone				
5:00pm	End of Day 4 Assessment				