

RECOMMENDATIONS

Name of Agency	Department of Environment and Natural Resources
Date	September 20-24, 2021
Objectives	<p>The activity aims to:</p> <ul style="list-style-type: none"> ○ ensure effective and sustained implementation of the QMS in conformance with the requirements of ISO 9001:2015 Standard; ○ coach the process owners of the additional office/processes; ○ determine the adequacy of implementation vis-à-vis the established documented information; and, ○ identify gaps/improvement areas, if any.

General Recommendations:

- The DENR should establish a common repository of QMS documents where field offices can easily access, for reference. This is to prevent the risk of creating redundant documented information.
- It was observed that the Control of Records procedure created at the Regional Offices has provisions different from the Control of Records procedure that of the Central Office. Since both procedures are based from the guidelines specified in the National Archive of the Philippines Act of 2007 (RA 9470) and the DENR's DMC 2010-16 – Implementation of the Approved Records Retention and Disposition Schedule, the DENR may need to establish a standard procedure to be followed across DENR.
- DENR should ensure that the different documented references (such as the DENR Administrative Orders, DENR Memorandum Circulars, Technical Bulletins, Citizens Charter and Documented Procedures) are consistent with each other.
- DENR should consider establishing a set of universal documented procedures that will be followed by the field offices.
- Since the template for documenting the DENR's Quality Manual was based from the 2008 version of ISO 9001 where it specified in its clause 4.2.2 that "The organization shall establish and maintain a quality manual that includes: the documented procedures established for the quality management system, or reference to them", the documented procedures (e.g., Procedure in the Monitoring, Surveillance, Inspection and Control of Illegal ENR Activities) should be referenced in the Quality Manual.
- Revise the QM to reflect the current practice of the Agency, such as:
 - The statement in Section VI.2.3 of the Quality Manual should be revised due to the changes specified by DAO 2021-11 affecting the approval of cutting of the naturally growing trees within forest lands.
 - The statement in Section VI.2.5 of the Quality Manual should be revised. Instead of "applied and issued by the nearest CENRO" change to ""applied and issued by the CENRO which has jurisdiction over the area where the forest products are derived/harvested."
 - The narratives in Sections VI.2.3 and VI.2.5 can be merged.
 - Section VII.6.1 (Records Management) can be merged with Section VII.6.3 (Control of Records) since both narratives have common intentions.
- It was observed that the Remarks column of the IPCRs that were presented, have notes entered by the Ratee to serve as guide for the Rater. To encourage the Rater to provide his/her comments on the ratings given, transfer the Ratee's guide to another column or document to clear the Remarks column for the Rater's use.

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- Since there are various documented information from internal and external origin that were referenced in the DENR's Quality Manual with their issue dates indicated, the risk of frequent updating of the Quality Manual due to recent release of new references should be addressed.
- There is a need to arrange meeting to strategize preparation of documents.
- Ensure that the documented evidence to support the statements specified in the DAOs, DMCs, Technical Bulletins, Citizens Charter, Quality Manual, procedures, etc., can be readily presented through virtual means during internal and external audits.
- Although the performance measures categories (as specified in pages 10 to 11 of the DENR SPMS 2019 Guidelines) is composed of the Quality/Effectiveness, Efficiency and Timeliness, the tables of the General Standards on pages 17 to 20 don't have guidance about Efficiency. The Quantity of Work at table D was provided, instead.
- DENR may need to consider which among the **definitions** below for the word **Efficiency** is more appropriate as basis for performance evaluation:

ISO 9000:2015	relationship between the result achieved and the resources used.
CSC SPMS Guidelines	is the extent to which targets are accomplished using the minimum amount of time or resources.
DENR SPMS 2019	the extent to which time or resources is used for the intended task or purpose. Measures whether targets are accomplished with a minimum amount of quantity of waste expense or unnecessary effort.

Since it would be difficult to, actually, measure the quantity of waste/effort expense and compare them against the statement of the targets in the Success Indicator column, the DENR may need to consider the statements in CSC SPMS Guidelines which specify:

- "Planning Office: Consolidates, reviews, validates, and evaluates the initial performance assessment based on accomplishment reported against success indicators and budget against actual expenses" (page 8);
- "When reviewing Stage 3, ask yourself the following questions: Are office accomplishments assessed against the success indicators and the allotted budget against the actual expenses as indicated in the Performance Commitment and Rating Forms and provided in your Agency Guidelines?" (page 13);
- "Office accomplishments are assessed against the success indicators and the allotted budget against the actual expenses as indicated in the Performance Commitment and Rating Forms and provided in the guidelines" (page 91).
- The DENR SPMS 2019 may need to be revised to reflect the actual rating approach of PMED.
- If the Efficiency (E) rating criteria does not apply to "demand driven" targets, then there's no need to set an absolute value target in the Success Indicator column. Instead, relative value target should be set. For example: Instead of stating "4 legal opinions endorsed to the Director within 15 days", replace it by, "100% of legal opinions endorsed to the Director within 15 days".
- It was noted that Section VIII of the presented documented procedure has an entry "Please see ROAA." The controls to address risks should not be confused with controls for addressing nonconforming outputs.
- Ensure that the information resulting from the monitoring of the external providers' performance are brought to the attention of the head of the procuring entity (HOPE). This can adequately satisfy the requirements of ISO 9001 clause 9.3.2c.7 which specifies "The

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management review shall be planned and carried out taking into consideration: information on the performance and effectiveness of the quality management system, including trends in: the performance of external providers”.

- Evaluation tool to monitor performance of suppliers shouldn't need to be standardized.
- DENR should arrange meetings among key officials and staff to strategize the preparation of the universal set of documented procedures, including ROAAPs and the associated forms, that should be adopted by all the field offices to support its effort for the expansion of its QMS.

Detailed Comments and Recommendations per process

Monday, September 20, 2021

Performance Review and Evaluation, Corrective Action

Positive Comments:

- DENR has various levels of management meetings (e.g. ExeCom, ManCon, Staff meetings);
- DENR employs a Customer Satisfaction survey process that satisfies the requirements of the Inter-Agency Task Force on the Harmonization of National Government Performance Monitoring, Information and Reporting Systems Administrative Order No. 25 S. 2011 and the requirements of the Anti-Red Tape Authority;

Recommendations:

- Use the existing management meetings at various levels as the venue for reviewing the QMS (i.e. Management Review). This approach fulfills the intention of ISO 9001 clause 5.1.1c which specifies that “Top management shall demonstrate leadership and commitment with respect to the QMS by: ensuring the integration of the QMS requirements into the organization’s business processes”;
- The field offices can devise a matrix showing the agenda covered by the periodical management meetings (i.e. ManCon, Staff Meetings) and the relevant inputs specified in ISO 9001 clause 9.3.2 that were employed;
- Cross audit approach can be implemented where the audit team of one field office can be assigned to audit another field office. By doing this, DENR can benefit from the benchmarking and sharing of good practices among the field offices. This can also fulfill the intention of ISO 9001 clause 7.1.6 – Organizational knowledge;
- The various offices of DENR can set an MFO/Success Indicator pertaining to the Client Satisfaction Survey. This will ensure the fulfillment of the requirements under the Citizen/Client Satisfaction Results as specified in the recently released Memorandum Circular No. 2021-1 in June 3, 2021 with the subject on Guidelines on the Grant of the Performance-Based Bonus for Fiscal Year 2021;
- Two-way communication can be established by documenting the actions taken by DENR offices on the suggestions/comments provided by the customers and communicating them back to the customers. DENR offices can document monthly summaries of the replies on suggestions/comments from the customers and place it near the suggestion boxes so customers can access them;
- Trends on client satisfaction survey results should be documented. This will fulfill the requirement of ISO 9001 clause 9.3.2c.1 – Management review inputs;
- Statistical analysis can be performed on the results of the client satisfaction survey. This will fulfill the requirement of ISO 9001 clause 9.1.3 – Analysis and evaluation (see Note).

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Policy Issuance and Standards Development

Positive Comments:

- When an organization has a process for transforming its mandate and stakeholders' needs and expectations into more detailed requirements to be employed in its provision of services the requirements within ISO 9001 clause 8.3 (Design and development of products and services) are applicable. The following evidences demonstrate conformity with the subclauses of clause 8.3:
 - Sources of Policy Issues and Section VI – Process Inputs of the Policy and Planning Service procedure – satisfy the requirements of clause 8.3.3 (Design and development inputs);
 - Review and evaluation of the proposed policy, review and evaluation by the Policy Technical Working Group, vetting and concurrence by the Undersecretaries, – satisfy clause 8.3.4 (Design and development controls);
 - Draft policy, revised draft policy and approved proposed policy – satisfy 8.3.5 (Design and development outputs);
 - PTWG Request for comments – satisfy clause 8.3.6 (Design and development changes).

Recommendation:

- The following should be addressed to enhance the presented Revised Policy Development ROAAP:
 - Actions Planning sub-columns have no entries;
 - The sub-column for Recommended Additional Control are intended for controls that are not yet existing;
 - “Delayed concurrence from the concerned officials...” and “Delayed publication of approved policies” were identified as Issues. These can be transferred to the Risk column. In identifying internal issues, the Strengths and Weaknesses of the organization can be considered while external issues can be identified using the PESTLE analysis.

Tuesday, September 21, 2021

ENR Conservation and Development (Program/Project Development, Implementation, Monitoring and Evaluation, Accomplishment Reporting and Stakeholder Capacity Building)

Positive Comments:

- The Revised Guidelines and Procedures on the Appraisal, Selection and Approval of Project Proposals submitted to the Central Office for Funding as Special Projects satisfy the requirements of ISO 9001 clause 4.4.2a which specifies that “To the extent necessary, the organization shall maintain documented information to support the operation of its processes”.

Recommendations:

- The requirements of ISO 9001 which are usually expected to be applicable to the various processes of an organization's QMS can also be applied to individual projects. FASPS' projects may need to ensure the following are established:
 - Controls on identified project risks – to fulfill the requirements of ISO 9001 clause 6.1 (Actions to address risks and opportunities);
 - Project measurable objectives – to fulfill the requirements of ISO 9001 clause 6.2 (Quality objectives and planning to achieve them);
 - Work and Financial Plan – to fulfill the requirements of ISO 9001 clause 8.1 (Operational planning and control);

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- Measuring the extent of achievement of the project objectives – to fulfill the requirements of ISO 9001 clause 9.1 (Monitoring, measurement, analysis and evaluation);
- Documented evidences (e.g. WFP, Project Status Report, Project Completion Report, etc.) should be made available and ready for presentation through virtual means during internal and external audits.

ENR Conservation and Development (Formulation, Clearing, Coordination, Implementation and Monitoring of ENR-RDE PAPs for the RDECs)

Positive Comments:

- The Guidelines in the Evaluation of Proposals satisfy the requirement of ISO 9001 clause 8.5.1a.1 which specifies that Controlled conditions shall include, as applicable: the availability of documented information that defines: the characteristics of the products to be produced...”
- The requirements within ISO 9001 clause 8.3 (Design and development of products and services) were fulfilled by the controls in the formulation of relevant ENR Research, Development and Extension (RDE) plans, programs, activities and projects (PAPs). Cases in point:
 - Full-Blown Proposals – fulfills ISO 9001 clause 8.3.5 (Design and development outputs);
 - Review of full-blown proposals by ERDB Technical Review Committee (ETRC) – fulfills ISO 9001 clause 8.3.4 (Design and development controls);
 - Recommendations for improvement by ETRC – fulfills ISO 9001 clause 8.3.6 (Design and development changes).

Recommendations:

- Since the ISO 9001 standard does not require organizations to assess the level of risk in terms of its impact and likelihood of occurrence, ERDB may omit the columns of Likelihood, Impact and Control. This approach will just add confusion and extra effort on the part of the analysts if the criteria for determining the rating (i.e. 5 to 1) for each column are not comprehensively defined which could result to subjective assumptions.

ENR Conservation and Development (Assessment, Packaging and Promotion of ENR Technology)

Positive Comments:

- The set of criteria in the ENR Technology Assessment Protocol (i.e. Social acceptability, Technical feasibility, Environmental Soundness, Economic viability and Political sensibility – STEEP) fulfills the requirement of ISO 9001 clause 8.5.1c where it specifies “Controlled conditions shall include, as applicable: the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met”.
- The promotion of packaged ENR technologies to its target clients/end-users fulfills the requirement of ISO 9001 clause 8.2.1a which specifies “Communication with customers shall include: providing information relating to products and services”.

Recommendations:

- The formulation of the Technology Packaging Protocol (TPP) and its issuance as documented information necessary to support the operation of ERDB should be aligned with the Control of Documents procedure. When creating or revising documented information that are intended to

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provide guidelines for the operation, the following evidences should be retained (as required by ISO 9001 clause 7.5):

- Evidence of review and approval prior to use,
- Document version,
- Document identification (e.g. reference number or code).
- When dealing with printing service providers, ERDB should ensure the following documented evidences are retained:
 - Criteria employed on the selection of printing service provider;
 - Records of evaluation against the criteria;
 - Inspection records of the print mockup
- Evaluation tool for monitoring the performance of external providers may not need to be common for all external providers. The criteria to be employed for each type of external provider should be tailored to the expected deliverables as specified in the procurement requirements (e.g. specifications, terms of reference)

ENR Conservation and Development (Provision of Laboratory Services, Monitoring of Demonstration Areas)

Positive Comments:

- The presented documented evidences fulfill the requirements of ISO 9001 clause 7.1.5.2 (Measurement traceability):
 - Laboratory Service Section Delivery - an inventory spreadsheet which provides information on the condition and calibration status of laboratory equipment;
 - Service Report by an external provider about the maintenance activity taken on Vision Shaking Water Bath;
 - Certificate of Preventive Maintenance and Technical Service Report of the Atomic Absorption Spectrophotometer;
 - Multiparameter Meter Calibration Test results;
 - Test Certificate of Standard (i.e. Palintest Colour Standard) used for calibrating the Multiparameter Meter.

Recommendations:

- The sub-column Action Taken and Date Completed under the Action Planning section of the ROAAP should be accomplished after the Recommended Additional Controls are completed.

ENR Regulation and Permitting (Land Disposition)

Positive Comments:

- Checklist of Requirements satisfies the requirement of ISO 9001 clause 8.2.3.1c which specifies "The organization shall conduct a review before committing to supply products and services to a customer, to include requirements specified by the organization".
- The number of patents for residential and agricultural lands that were set as part of the Success Indicators were derived from the historical performance data and the results of the study of the capability of the field offices

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Recommendations:

- It was observed that the performance of individuals as indicated in some IPCR are evaluated against Quality, Effectiveness and Timeliness (QET) while some IPCR use Quality, Quantity and Timeliness (QQT). The IPCRs should use the same criteria.

ENR Regulation and Permitting (Forestland Use Regulation)

Positive Comments:

- The documented procedure of Issuance of Forestland Use Agreement (FLAg) satisfies the requirement of ISO 9001 clause 4.4.2a which specifies “To the extent necessary, the organization shall maintain documented information to support the operation of its processes”.

Recommendations:

- Risks and opportunities and the controls to address them are not yet documented for the FLAg and FLAgT processes. The process owner should accomplish the new ROAAP form.

Wednesday, September 22, 2021

ENR Regulation and Permitting (Wildlife Resource Regulation)

Positive Comments:

- The Procedure on Issuance of Certificate of Wildlife Registration (CWR) satisfies the requirement of ISO 9001 clause 4.4.2a which specifies “To the extent necessary, the organization shall maintain documented information to support the operation of its processes”.
- The Document Tracking System (DTS) as specified in the Process Steps section of the Issuance of CWR procedure satisfies the requirement of ISO 9001 clause 8.5.2 (Identification and traceability).
- Review and evaluation by the Chief of WRPS satisfies the requirement of ISO 9001 clause 8.5.1c which specifies “Controlled conditions shall include, as applicable: the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs... have been met”.

Recommendations:

- Services provided regarding the Wildlife Resource Regulation process should be included in the DENR’s Citizens Charter.

ENR Law Enforcement and Monitoring (Wildlife Law Enforcement)

Positive Comments:

- The following controls presented satisfy the requirements of ISO 9001 clause 8.5.4 (Preservation):
 - Confiscated live wildlife is sent to the Rescue Center;
 - Photo documentation;
 - Labeling of the scientific and local name;
 - Video documentation.

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- Since the template for documenting the DENR's Quality Manual was based from the 2008 version of ISO 9001 where it specified in its clause 4.2.2 that "The organization shall establish and maintain a quality manual that includes: the documented procedures established for the quality management system, or reference to them", the Procedure in the Monitoring, Surveillance, Inspection and Control of Illegal ENR Activities should be referenced in the Quality Manual.
- The statements under Sections 2 Scope and 3 Expected Outputs of the abovementioned procedure should be exchanged.
- Ensure that ISO 9001 specified preservation controls for identification, handling, contamination control, packaging, storage, transportation and protection are in place for confiscated wildlife.
- Ensure that the verbally mentioned Spot Report is available for presentation during internal and external audits.
- The risks in handling, transporting and keeping the confiscated wildlife are documented in the ROAAP.

ENR Law Enforcement and Monitoring (Protected Area Monitoring)

Positive Comments:

- The process of Protected Area Monitoring is well supported by documented information such as:
 - DAO 2007-17 - Rules and Regulations Governing Protected Areas;
 - DAO 2018-05 – Addendum to DAO 2007-17 on the Rules and Regulations Governing Special Uses Within Protected Areas;
 - Handbook on Law Enforcement in Protected Areas in the Philippines, etc.

Recommendations:

- Since the process of Protected Area Monitoring covers not just the controls for ENR Law Enforcement and Monitoring but also includes conservation programs, it would be more appropriate to transfer its narrative to the ENR Conservation and Development group of processes.

ENR Regulation and Permitting (Forest Products Transport / Disposition)

Positive Comments:

- The process of Forest Products Transport / Disposition is well supported by recently released documented information such as:
 - DAO 2021-11 - Guidelines in the Processing and Issuance of Permits for the Cutting, Removal and Relocation of Naturally Growing Trees;
 - DAO 2021-05 - Revised Regulations Governing the Establishment and Operations of Wood Processing Plants (WPPS).

Recommendations:

- The statement in Section VI.2.5 of the Quality Manual should be revised. Instead of "applied and issued by the nearest CENRO" change to ""applied and issued by the CENRO which has jurisdiction over the area where the forest products are derived/harvested".

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- The statement in Section VI.2.3 of the Quality Manual should be revised due to the changes specified by DAO 2021-11 affecting the approval of cutting of the naturally growing trees within forest lands.
- The narratives in Sections VI.2.3 and VI.2.5 can be merged.
- The risks/opportunities and the controls needed to address them should be documented into the ROAAP.

ENR Law Enforcement and Monitoring (Forest Law Enforcement)

Positive Comments:

- The conduct of inspection of holders of licensees/permits as to its compliance to the terms and conditions of their permits which are regularly performed by the field offices fulfills the requirement of ISO 9001 clause 8.5.5 which specifies that “The organization shall meet requirements for post-delivery activities associated with the products and services”.

Recommendations:

- DAO 1997-32 (Rules for the Administrative Adjudication of Illegal Forest Products and the Machinery, Equipment, Tools and Conveyances Used in Connection Therewith) should be included in the References of Section VI.3.1 of DENR’s Quality Manual;
- The associated risks and needed controls of the processes under the monitoring, surveillance, inspection and control of illegal activities related to forestry, biodiversity and lands should be documented in the ROAAP form.

ENR Law Enforcement and Monitoring (Administrative Adjudication and Filing of Cases)

Positive Comments:

- DAO 97-32 (Rules for the Administrative Adjudication of Illegal Forest Products, Machinery, Equipment, Tools and Conveyances Used in Connection Therewith) satisfies the requirement of ISO 9001 clause 4.4.2a which specifies “To the extent necessary, the organization shall: maintain documented information to support the operation of its processes”.

Recommendations:

- Since Sections 68 and 69 of the Presidential Decree 705, s. 1975 were amended by Executive Order 277, s. 1987 and renumbered by Republic Act No. 7161, the narrative within Section VI.3.2 of DENR’s Quality Manual should be revised;
- It was observed that the Remarks column of the IPCRs that were presented have notes entered by the Ratee to serve as guide for the Rater. To encourage the Rater to provide his/her comments on the ratings given, transfer the Ratee’s guide to another column or document to clear the Remarks column for the Rater’s use.

ENR Law Enforcement and Monitoring (Tenure Compliance Monitoring)

Positive Comments:

- The referenced DAOs in Section VI.3.4 of the Quality Manual satisfies the requirement of ISO 9001 clause 4.4.2a which specifies “To the extent necessary, the organization shall: maintain documented information to support the operation of its processes”.

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- Since the tenure/lease holder is to be monitored for compliance for 25 years and is renewable with the same length of period if the conditions are being adhered to, risk of establishing “rapport” with the tenure/lease holder should be considered. The ROAAP form may need to capture this risk and controls to address it should be identified.

Thursday, September 23, 2021

Financial Management (Budgeting)

Positive Comments:

- PENRO’s “FY 2022 Work and Financial Plan based on 2022 Planning Guidelines submitted to Regional Office on the prescribed period” indicated in the Success Indicator column of the OPCR satisfies the requirement of ISO 9001 clause 4.4.1c which specifies “...determine and apply the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes”.

Recommendations:

- Since there are various documented information from internal and external origin that were referenced in the DENR’s Quality Manual with their issue dates indicated, the risk of frequent updating of the Quality Manual due to recent release of new references should be addressed.

Financial Management (Accounting)

Positive Comments:

- PENRO’s “100% of financial statements per Section 41 of PD No. 1445 submitted to DENR CO FMS Accounting on January 31, 2021” indicated in the Success Indicator column of the OPCR satisfies the requirement of ISO 9001 clause 4.4.1c which specifies “...determine and apply the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes”.
- Evidences are readily available to demonstrate fulfilment of the commitment as mentioned above include:
 - Final FS Fund 101 as of December 2020 was transmitted to Central Office Accounting on January 7, 2021;
 - Financial Reports of PENRO Cagayan as of December 2020 were submitted to COA on January 11, 2021.

Recommendations:

- Ensure that documentary requirements mentioned in the Citizen Charter are being complied with.

Human Resource Management (Recruitment, Selection and Placement)

Positive Comments:

- The presented Procedure on Recruitment, Selection and Placement by DENR Region 2 satisfies the requirement of ISO 9001 clause 4.4.2a which specifies “To the extent necessary, the organization shall: maintain documented information to support the operation of its processes”.

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- The presented documented procedure may need to include the DENR Merit Selection and Promotion Plan as part of the Interfaces in Section IX.
- DENR should consider establishing a universal documented procedure for recruitment, selection and placement that will be followed by all the field offices.
- It was noted that Section VIII of the presented documented procedure has an entry “Please see ROAA”. The controls to address risks should not be confused with controls for addressing nonconforming outputs.

Human Resource Management (Learning and Development)

Positive Comments:

- The use of the Kirkpatrick Model (particularly the 3rd and 4th Level) for evaluating the results of the learning and development programs satisfies the requirement of ISO 9001 clause 7.2c which specifies “The organization shall: where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken”.

Recommendations:

- Devise a tool for requesting the necessary developmental interventions to acquire the needed competence and for recording the results of the evaluation of their effectiveness. The tool should clearly define the objective/expected results to justify the request for intervention. The objective/expected results should be revisited once the committed target application date of the recipient takes place.

Knowledge and Information Systems Management (Statistical Data Resource Management)

Positive Comments:

- The Expected Outputs in Section 2 of the Procedure for Provision of Technical Assistance in Conducting Statistical Analysis satisfy the requirement of ISO 9001 clause 4.4.1a which specifies “The organization shall determine the processes... and shall: determine the inputs required and the outputs expected from these processes”.
- Evidences to demonstrate that the actions to address risks were integrated into the processes as per ISO 9001 clause 6.1.2b.1:
 - Action to Address Risks/Opportunities column of ROAA: “Senior Statistician shall assign a Statistical Assistant to coordinate with the client for the information needed”;
 - Section 7.1.5 of the Procedure for Provision of Technical Assistance in Conducting Statistical Analysis: “In case there is missing information, the Senior Statistician shall assign a Statistical Assistant to coordinate with the client for the information needed”.

Recommendations:

- The description of the Nonconforming Outputs in Section 8 of the Procedure for Provision of Technical Assistance in Conducting Statistical Analysis should be stated as the opposite of the Expected Outputs in Section 2. For instance, if the Expected Output is “Timely submission of statistical analysis results to the requesting internal clients” the corresponding Nonconforming Output should be stated “Late submission of statistical analysis results to the requesting internal clients”.

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- The Target statements in the Actual Accomplishment column should be transferred and merged with the statements in the Physical Indicators column of the DPCR.

Knowledge and Information Systems Management (Network Infrastructure Management)

Positive Comments:

- The Expected Outputs of the Provision of IT Technical Support procedure are aligned with the Planned Results of the ROAA. Case in point: “Timely resolution of requests”.
- Evidences to demonstrate that the actions to address risks were integrated into the processes as per ISO 9001 clause 6.1.2b.1:
 - Action to Address Risks/Opportunities column of ROAA: “All actions shall be relayed to Service Desk as single point of contact for all technical support assistance request”;
 - Section 7.2 of the Procedure for Provision of IT Technical Support: “Upon receipt, the Service Desk shall respond with a solution to the end-user”;
 - Section 5.1 of the Procedure for Provision of IT Technical Support: “Service Desk – the first level of support that provides basic troubleshooting, answers to IT questions and solves known problems”.
- The Success Indicator for a demand driven expected output of Network Infrastructure Management Division (i.e. “100% technical assistance acted upon with 80% satisfaction ratings within 3 days”) satisfies the requirement of ISO 9001 clause 6.2.1 which species “The organization shall establish quality objectives at relevant functions, levels and processes...”

Recommendations:

- No further specific recommendation.

Property and Supply Management (Procurement Management)

Positive Comments:

- Evidences to demonstrate conformity with ISO 9001 clause 8.4.3 (Information for external providers):
 - Purchase request (e.g. Rehabilitation of roofing of Tech Bldg. of DENR Region 8);
 - Philippine Bidding Documents, P.R. No. 2021-06-0027, with ABC of PhP 852,660.60;
 - Invitation to Bid signed by DENR RO8 RBAC Chairperson, ARD for Management Services;
 - Bill of Quantities;
 - General Conditions.
- The presented Checklist of Technical and Financial Documents and the Abstract of Bids as Calculated satisfy the requirement of ISO 9001 clause 8.4.1 which specifies “The organization shall determine and apply criteria for the evaluation, selection... of external providers...”;
- Evidences to satisfy the ISO 9001 requirements for monitoring the performance of external provider were presented which include:
 - Completion Inspection Report by the Inspectorate Team of DENR RO8 for the project: Supplemental Works for the Retrofitting/Repair and Renovation of DENR RO8 Land Records Technical Building;
 - Memorandum for the Project Inspectorate Team Report with attached Inspectorate Team Evaluation Report.

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- Ensure that the information resulting from the monitoring of the external providers' performance are brought to the attention of the head of the procuring entity (HOPE). This can adequately satisfy the requirements of ISO 9001 clause 9.3.2c.7 which specifies "The management review shall be planned and carried out taking into consideration: information on the performance and effectiveness of the quality management system, including trends in: the performance of external providers".

Property and Supply Management (Inspection and Acceptance, Supply Management)

Positive Comments:

- Accomplishing the Inspection and Acceptance Report satisfies the requirement of ISO 9001 clause 8.4.2d which specifies "The organization shall: determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements".
- Controls on supplies management:
 - Preparation/updating of electronic and hard copy of stock cards;
 - Accomplishing Requisition/Issuance Slip;
 - Supplies' storage controls ("authorized person only" signboard, storage room under lock and key, labels on shelves, insecticides and fire extinguishers)

Recommendations:

- Ensure that Success Indicators are established relevant to Inspection and Acceptance and Supply Management processes. Risks that can affect the achievement of the planned results of both processes should be documented in the ROAAP.

Property and Supply Management (Property Management)

Positive Comments:

- Procedure Manual on Property Management satisfies the requirement of ISO 9001 clause 4.4.2a which specifies "To the extent necessary, the organization shall: maintain documented information to support the operation of its processes".

Recommendations:

- Ensure that Success Indicators are established relevant to the Property Management process. Risks that can affect the achievement of the planned results of the process should be documented in the ROAAP.

Friday, September 24, 2021

General Services (Management of Work Environment, Infrastructure and Building Management, Cash Management)

Positive Comments:

- Controls to ensure suitability of the infrastructure and environment for the operation of processes (as per ISO 9001 clause 7.1.4):
 - Implementation of the health and safety protocols;

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- Identification of environmental aspects that affect people and operation;
- Waste management;
- Issuance of gate pass;
- Elevator monthly inspection;
- Maintenance through Job Requests.
- Monitoring of the performance of external provider as per ISO 9001 clause 8.4.1 is adequately fulfilled by the following:
 - Maintaining the DENR Central Office On-Going Projects Monitoring Sheet;
 - Preparation of Weekly Activity Report.
- The requirement for reviewing the performance of external provider by the top management (i.e. ISO 9001 clause 9.3.2c.7) can be satisfied by submission of the reports by the General Services Division Director about the status of the on-going projects to the Assistant Secretary for Administration and Human Resources.

Recommendations:

- Ensure that Success Indicators are established relevant to the Infrastructure and Building Management process. Risks that can affect the achievement of the planned results of the process should be documented in the ROAAP;
- The feedback section that should be accomplished by the end-users requesting for maintenance activities should be consistently accomplished. The information in this section can serve as basis for establishing Success Indicators that can be included in the DPCR or IPCR;
- For easy identification of specific Existing Controls that would lead to the necessary enhancement through the Recommended Addition Control, refrain from lumping the entries on the Risk column in just one row;
- Although measures to address the risks when money is manually transported to the depository bank are already in place, these risks (including the existing controls) should be documented in the ROAAP.

Documented Information Management (Control of Documents and Control of Records)

Positive Comments:

- Evidences to satisfy the requirements of ISO 9001 clause 7.5.3 (Control of documented information) include:
 - Assigning of unique document tracking number;
 - Use of the electronic Document Action Tracking System (eDATS);
 - Inventory Report Transmittal;
 - Annual disposal of obsolete records/documents witnessed by NAP, COA, Accounting, RMD and RMIC representatives;
 - Field offices appointed Records Custodians

Recommendations:

- In DENR's Quality Manual, Section VII.6.1 (Records Management) can be merged with Section VII.6.3 (Control of Records) since both narratives have common intentions.
- It was observed that the Control of Records procedure created at the Regional Office has provisions different from the Control of Records procedure of the Central Office. Since both procedures are based from the guidelines specified in the National Archive of the Philippines

RECOMMENDATIONS

Act of 2007 (RA 9470) and the DENR's DMC 2010-16 – Implementation of the Approved Records Retention and Disposition Schedule, DENR may need to establish a standard procedure for that should be followed by all the various offices of DENR.

Legal Support (Rendering of Legal Opinion and Review of Contracts)

Positive Comments:

- Evidences to satisfy the requirements of ISO 9001 clause 8.5.2 (Identification and traceability) and clause 8.6b (Release of products and services - traceability to the person(s) authorizing the release) include:
 - Use of the eDATS;
 - Use of logbook which indicate the Date of Receipt of request for legal opinion and Date of Release of the legal opinion.

Recommendations:

- If the Efficiency (E) rating criteria does not apply to “demand driven” targets, then there’s no need to set an absolute value target in the Success Indicator column. Instead, relative value target should be set. For example: Instead of stating “4 legal opinions endorsed to the Director within 15 days”, replace it by “100% of legal opinions endorsed to the Director within 15 days”.

Legal Support (Conduct of Alternative Dispute Resolution)

Positive Comments:

- Existing references to support the process of Alternative Dispute Resolution satisfy the requirement of ISO 9001 clause 4.4.2a which specifies “To the extent necessary, the organization shall: maintain documented information to support the operation of its processes”:
 - DAO 2005-18 Adoption of Alternative Dispute Resolution (ADR) Principles and Procedures in the of Appropriate Environment and Natural Resources Conflicts;
 - DAO 2016-30 Guidelines in the Conduct of Alternative Dispute Resolution (ADR) in Land Management and Disposition.

Recommendations:

- Risks/opportunities in the ADR process and the controls to address them should be identified and documented into the ROAAP.

Issue Management (Issue Resolution) and Information, Education and Communication (Development and Dissemination of IEC Materials)

Positive Comments:

- The verbally mentioned Communication Plan can satisfy the requirement of ISO 9001 clause 7.4 which specifies “The organization shall determine the internal and external communications relevant to the quality management system...”
- The DENR Facebook account supports the intention of ISO 9001 clause 8.2.1 which specifies “Communication with customers shall include: a) providing information relating to products and services, b) handling enquiries, c) obtaining customer feedback relating to products and services, including customer complaints...”

RECOMMENDATIONS

- Documented references satisfy the requirements of ISO 9001 clause 4.4.2a which specifies “To the extent necessary, the organization shall: maintain documented information to support the operation of its processes”:
 - Procedure on Development and Dissemination of Printed IEC Materials;
 - Procedure on Development and Dissemination of Audio-Visual Materials;
 - Procedure on Development and Dissemination of Media and Web Materials.

Recommendations:

- The ROAAP for the process of Handling of Public Assembly/Protest should include “Persuade the protesters to go through the diplomatic negotiation” as part of the Planned Results.
- The risk of “Delay in the production and dissemination of IEC materials” may not directly affect the Planned Result of “Factual and well-researched printed IEC materials on selected topic”. Instead of identifying it as a risk, this can be considered as a nonconforming output.

Strategic and Operational Planning

Positive Comments:

- The presented Consolidated Strengths, Weaknesses, Opportunities, Threats (SWOT) Analysis Result per Province satisfies the requirement of ISO 9001 clause 6.1.1 which specifies “When planning for the quality management system, the organization shall consider the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed”.

Recommendations:

- No further specific recommendation.

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