



Department of Environment and Natural Resources  
DENR CENRO Sablayan, Occidental Mindoro

by:admin-  
lyka 4388

### CENRO DOCUMENT ACTION TRACKING SLIP

CENRO Doc. Number	2022-609		
Originating Office	Regional Office	Date Received ADMIN	11-Mar-2022
Sender	RED LORMELYN E. CLAUDIO, CESO IV		
Address	Ermita, Manila		
Subject	INCOMPLETE SUBMISSION OF COURSE REQUIREMENTS DURING THE CONDUCT OF ISO 9001-2015 QUALITY MGT SYSTEM FOR INTERNAL AUDITORS HELD ON FEB 8-9, 2022		
Addressee	CENRO SABLAYAN		
Document Type	Memo		
Attachment(s)			

Route to/Date/Time Received	Released to/Date/Time Released	Action Required/Taken Remarks/Status
CENRO 3-11-22 1:15 pm	AO Danilo	Pls require FT II Saracolas to submit his written explanation to the RSO as instructed.
AO 3-11-22 1:42 pm	FT II Saracolas 3-11-22 1:44 pm	Forwarded to FT II Saracolas for compliance.
03-11-22 1:46 pm		



Republic of the Philippines  
Department of Environment and Natural Resources  
**MIMAROPA Region**

MAR 9 2022

**MEMORANDUM**

**TO** The CENRO Sablayan, Occidental Mindoro

**FROM** The OIC Regional Executive Director

**SUBJECT** **INCOMPLETE SUBMISSION OF COURSE REQUIREMENTS DURING THE CONDUCT OF ISO 9001:2015 QUALITY MANAGEMENT SYSTEM FOR INTERNAL AUDITORS HELD ON FEBRUARY 8-9, 2022**

This has reference with the Regional Special Order (RSO) No. 023 dated February 7, 2022, regarding the conduct of the ISO 9001:2015 Quality Management System Internal Auditor Training held on February 8-9, 2022. One of the requirements to be complied by the participants to this event is the submission of a post-test. Upon review of the consolidated submission of post-test, the training staff has confirmed and identified that Mr. Jeremy Russel A. Saracanlao, Forest Technician II failed to submit post-test.

This Office is determined to provide the employees with learning interventions that will develop/improve participant's competencies, thereby enhancing productivity. Hence, incomplete submission of course requirements indicates defiance of order.

Relative to this and pursuant to Memorandum Circular No. 2019-02 adopting the Core Values of the DENR, you are hereby directed to instruct your staff to submit to this office within 72 hours from receipt of the Memorandum, his explanation relative to this matter.

For strict compliance.

  
**LORMELYN E. CLAUDIO, CESO IV**



Doc ID: 70511

ARJ:MS/AD:HRDS

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Republic of the Philippines  
**Department of Environment and Natural Resources**  
MIMAROPA Region  
COMMUNITY ENVIRONMENT AND NATURAL RESOURCES OFFICE  
National Road, Brgy. Sto. Niño, Sablayan, Occidental Mindoro  
E-mail: [cenrosablayan@denr.gov.ph](mailto:cenrosablayan@denr.gov.ph)

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March 18, 2022

**MEMORANDUM**

**FOR** : The OIC-Regional Executive Director  
1515 L&S Bldg. Roxas Blvd., Ermita Manila

**THRU** : The CENR Officer

**FROM** : The Forest Technician II

**SUBJECT** : **INCOMPLETE SUBMISSION OF COURSE REQUIREMENTS  
DURING THE CONDUCT OF ISO 9001:2015 QUALITY  
MANAGEMENT SYSTEM FOR INTERNAL AUDITORS HELD  
ON FEBRUARY 8-9, 2022**

This has reference with the memorandum of the OIC, Regional Executive Director Lormelyn E. Claudio, CESO IV date March 9, 2022 regarding the abovementioned subject.

In this regard, please be informed that the undersigned was not able to finish the webinar and answer and submit the Post Examination for Internal Quality Audit Training due to the arraignment at the Regional Trial Court (RTC) Branch 45 at San Jose, Occidental Mindoro on February 9, 2022 for the Criminal Case No. 11139, a violation of PD 705 wherein the undersigned was the representative of the CENRO Sablayan Office on the hearing.

Attached herewith are the pertinent documents for your reference.

For your information and record.

  
**JEREMY RUSSEL A. SARACANLAO**





Republic of the Philippines  
Department of Environment and Natural Resources  
MIMAROPA Region  
**COMMUNITY ENVIRONMENT AND NATURAL RESOURCES OFFICE**  
Sablayan, Occidental Mindoro

**TRAVEL ORDER**

No. 17-544

Date: February 7, 2022

Name: JEREMY RUSSEL SARACANLAO  
Position: Forest technician II  
Departure Date: February 8, 2022  
Destination: Brgy. Batong Buhay, San Agustin, Pag-asa Sablayan Occ. Mindoro & RTC San Jose  
Purpose of Travel: To manned at Yapang Monnoring Station and to attend hearing for Criminal Case No. 11139  
Salary: P  
Div./Sec./Unit: EMS  
Arrival Date: February 10, 2022  
Official station: CENRO-Sablayan

Per Diems/Expenses Allowed: P  
Assistants or Laborers Allowed: None  
Appropriations to which travel should be charged: CENRO ALLOTMENT  
Remarks or special instructions: Submit report with geotagged photos upon completion of travel to be attached in the next travel order.

**Certifications:**

This is to certify that the travel is necessary and is connected with the functions of the official/employee of this Div./Sec./Unit.

Recommending Approval:

ANASTACIO A. SANTOS  
CENR Officer

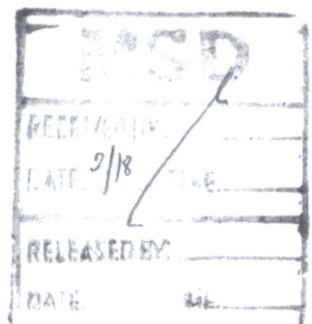
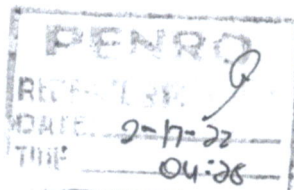
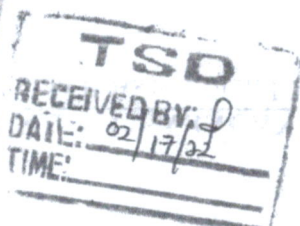
Approved by:

BERNARDO E. TAÑADA  
OIC, PENR Officer

**AUTHORIZATION**

I hereby authorize the Accountant to deduct the corresponding amount of the unliquidated cash advance from my succeeding salary for my failure to liquidate this travel within the prescribed thirty-day period upon return to my permanent official station pursuant to Item 5.1.3 COA Circular 97-002 dated February 10, 1997 and EO No. 248 dated May 29, 1995.

JEREMY RUSSEL SARACANLAO  
Official/ Employee



## Examination for Internal Quality Audit Training

Please write your name in the space provided:

Name: JEMMY RUSSEL A. SARACANLAD

Company: DENR - CENTRO SABLAYAN

Date: \_\_\_\_\_

Section	Maximum	ACTUAL	REMARKS
1	10		
2	15		
3	15		
4	10		
TOTAL	50		

The examination proper has Four Sections. The time allotted is two hours. There is a maximum of 50 marks available; the pass mark is minimum of 35.

You answers must be on the sheets, which are supplied. Additional loose sheets will NOT be accepted.

The phrase "the standard" always refers to ISO 9001:2015. The word "clause" refers to a paragraph or section of the standard which is identified by a number such as 4.1

### Section 1 worth 10 marks

Questions which require you to place a circle around the letter (a, b, c, d, or e) to indicate which you judge to be the best answer or where required, to state the number of a clause from the standard.

### Section 2 worth 15 marks

Questions require a brief written answer in the space provided.

### Section 3 worth 15 marks

Questions require a detailed written answer in the space provided.

### Section 4 worth 10 marks

Contains situation for which a Non-Conformity Statement may be required.

### **Section 1 worth 10 marks**

Ten questions which require you to place a circle around the letter ( a, b, c, d, or e) to indicate which you judge to be the best answer. Each question is worth 1 mark.

- 1.1 A first party audit is:
- ☒ a. an internal audit
  - b. an audit by the customer or client
  - c. an audit by an independent organization
  - d. an audit by a Certification Body
- 1.2 Which clause of the Standard deals specifically with Internal Audits?
- a. 9.3.2
  - b. 10.2.1
  - c. 9.2
  - ☒ d. 7.4
  - e. 9.1.1

- 1.3 Quality System party audits are used to evaluate:
- a. the number of employees working on a job
  - b. the measurements that are being done on a product
  - ☒ c. the degree to which a formal quality system conforms with established requirements
  - d. the inspections are performed by qualified personnel
- 1.4 In preparing for an audit, it is important to:
- a. plan
  - b. define the scope of the audit
  - c. select a lead auditor and a competent team
  - ☒ d. all of the above
- 1.5 Which of the following activities must be carried out by someone who has no direct responsibility for the work being carried out.
- a. management review
  - b. contract review
  - ☒ c. inspection of product
  - d. audit
  - e. design review



- 1.6 Which clause of the standard deals specifically with Quality Objectives?
- a. 5.1.1
  - ☒ b. 6.2
  - c. 8.3.4
  - d. 6.3
  - e. 6.1.2
- 1.7 Any record, or statement of fact which can be verified and relates to the quality of an item or activity is called:
- ☒ a. Audit evidence
  - b. A finding
  - c. Action Plan
  - d. Non conformity report
- 1.8 To act as Internal Auditor of Quality System, a person must:
- a. be a registered and certified auditor of the Third Party Certification Body
  - b. have proper knowledge of the auditee's product or service and industry experience
  - c. have been a Quality Manager
  - ☒ d. All of the above.
- 1.9 If the audit does not find any non conformities:
- a. Basically, the Quality System conforms to ISO 9001, however, the auditor should also explain that the audit only investigated a sample of activities and that there may be non-conformities which the sample did not uncover.
  - b. The auditor should extend the audit investigation until non conformities are found
  - c. The auditor does not need to create an audit report
  - ☒ d. The organization has a perfect quality system
- 1.10 Which clause of the standard deals with Documented Information?
- a. 7.5
  - ☒ b. 6.2.1
  - c. 7.1.5.1
  - d. 4.3
  - e. 7.3



### Section 2 worth 15 marks

Three questions which require a brief written answer in the space provided. Each question is worth 5 marks.

- 2.1 There are three types of audit based on a first, second and third-party involvement. Name five differences between them in your own words.

1st party - set of process ~~within~~ within the organization, whenever the processes meet the standard, it is within the organization

2nd party - Conducts audits of a supplier, contract based  
3rd party - Independent certifying body

- 2.2 Give two principles of auditing and explain how you apply these in auditing.

① Confidentiality - the auditor should keep confidential in all informations acquired during the audit and it must not be shared or informations acquired should be kept & must not share to anyone without the permission of the client. Also, information can be shared w/ the client's permission only.

② Evidence-based approach - the auditor should adhere to compliance procedure for collecting audit evidences before conducting audit. collected evidence must regards to accuracy, completeness & validity of data & based & through compliance procedures

- 2.3 List down the 5 clauses described in the standard that requires to have an established and maintained documented information - "...shall maintain documented information..." (up to 3 decimal places, if applicable, e.g. 8.5.1)

Context of the org.  
nization  
Policy  
Planning

4.4.1 shall establish, implement, maintain & continually improve a quality MS  
4.4.2 maintain documented information to support the operation of its processes  
5.2.2 communicating the quality policy  
6.2.1 Quality objectives & planning to achieve them  
7.1.5 monitoring & measuring resources  
7.2 Competence  
8.1 Operational planning & control

### Section 3 worth 15 marks

Three questions each worth 5 marks. The questions require a detailed written answer to be filled in the space provided.

- 3.01 Clause 4.2 is Understanding the needs and expectations of Interested Parties. Clause 6.1 is Actions to address risks and opportunities. Describe five objective evidences which you, as an auditor, would expect to find in order to verify if an organization has established a Quality System to meet the requirements of 4.2 and 6.1 of the standard.

① Citizen's charter must be present & available

② ROAAP must be available

③ OPCR / IPCR

④ Organizational chart

⑤ Timely & complete process of documents from receiving to releasing :  
complete application stipulated in the citizen's charter requirements

⑥ Environment : work place / client friendly

- 3.2 Give at least five traits / personal behavior ideally exhibited by an auditor and explain in how to apply them in

your own words.

- ① open-mindedness - understanding/willing to consider ideas/opinions in different ways.  
wide-open attitude but knows the limitation
- ② ethical - proper/exact, possesses right & good attitude & character example: professional,  
has integrity, honest.
- ③ observant - notices things carefully, observer surroundings & everything
- ④ versatile - well-informed, productive. knows what he/she is doing during audit

⑤ Tenacious - persistent/patient & doesn't give up easily till gets the correct info needed.

3.3 You are preparing to conduct a first party audit in the HR department. Write a checklist of **five** key points from **five** ISO 9001:2015 **clauses** (NOT sub-clause!) which you would want to cover during the audit.

- ① context of the organization
- ② leadership
- ③ planning
- ④ support
- ⑤ performance evaluation

#### Section 4 worth 10 marks

An incident, which occurred during a first party audit, is described. Examine it carefully.

##### Incident

During an audit at a Warehouse, the auditor noted that spares X, Y & Z were not stored properly, with no labels and identification.

Upon checking the inventory, discrepancy was noted of the actual count versus the count indicated in the stock card, spare X has 30 counts in the stock card while there were only 25 pieces in the actual physical stock.

It was also found out that there was no evidence that inspection was conducted for the subject spares during its delivery last March 22, 2021.

If you think that there is a non-conformity, write down the specific clause(s) that the NC(s) has/have violated and the appropriate NC statement(s) describing the objective evidence properly.

7.1 Resources - Unaccuracy of data  
- Unlabeled storage  
- not properly stored stocks

- End of Examination -