TESDA CIRCULAR

SUBJECT: **Amendment to Operating Procedures on Compliance Audits for Program Registration and Assessment and Certification**		No. 078 Series 2021 Page **1** of **6** pages
Date Issued: **September 17, 2021**	Effectivity: **As Indicated**	Supersedes: Sections 6.4.3 and 6.4.5 of TESDA-OP-IAS-01; Sections 6.3.2.1 and 6.3.5 of TESDA-OP-IAS-02; and TESDA Circular Nos. 071 s2020 and 122 s2020

In the interest of the service and pursuant to the Authority's effort to enhance and improve the system on compliance audit on program registration and assessment and certification, the following amendments to the Operating Procedures on Compliance Audits shall be adopted:

Section 6.4.3 of TESDA-OP-IAS-01

6.4.3. The Compliance Auditors of the region shall be composed of the following: ROD Chief, ROPO UTPRAS Focal Persons, ROPO Compliance Audit Focal Persons, TTI non-teaching regular personnel and ROPO regular personnel and ROPO job order personnel. Job order personnel shall only be assigned as member auditors. The Lead Auditors shall assume full responsibility and accountability for the audit done by the member auditors who are job order personnel.

Section 6.4.5 of TESDA-OP-IAS-01

6.4.5 Qualifications of an Audit Team Member:

6.4.5.1. Must be endorsed by the Regional Director and authorized by the Head of the Agency to conduct the audit;

6.4.5.2. College graduate of any Bachelors Degree;

6.4.5.3. Has good communication skills: oral and written;

6.4.5.4. Computer literate (i.e. MS Word, MS Excel, etc.);

6.4.5.5. Willing to do field work;

6.4.5.6. Demonstrates professionalism and good work ethics;

6.4.5.7. Has completed Auditors Course Training;

6.4.5.8. Has completed training on current ISO standard on QMS;

6.4.5.9. Has completed at least one-day Calibration on the conduct of compliance audit for registered programs; and

6.4.5.10. Has observed the conduct of at least three (3) compliance audits.

Section 6.19 of TESDA-OP-IAS-01

6.19 Evaluation of Auditors and Updating of Inventory

6.19.1. After the end of every audit assignment, involved auditors shall be evaluated by the following:

Auditor	Evaluator	Form No.
1. LEAD	1. Regional Compliance Audit Focal Person	TESDA-OP-IAS-01-F10-A (see *Attachment A*)
	2. All member auditors in a team	TESDA-OP-IAS-01-F10-B (see *Attachment B*)
2. MEMBER	1. Regional Compliance Audit Focal Person	TESDA-OP-IAS-01-F11-A (see *Attachment C*)
	2. Lead Auditor	TESDA-OP-IAS-01-F11-B (see *Attachment D*)
	3. Fellow member auditors in a team	TESDA-OP-IAS-01-F11-C (see *Attachment E*)

Passing rate is pegged at 3.5

Lead and Member Auditors shall be evaluated on the actual audit assignments conducted. The semestral evaluation shall cover at least 50% but not less than three (3) of their actual audits conducted.

6.19.2. In cases where the Regional Compliance Audit Focal Person is not available to evaluate his/her lead auditors, the Regional Compliance Audit Focal Person may designate a competent and experienced lead auditor to perform the evaluation for him/her.

6.19.3. Updating of the Inventory of Auditors form (see *Attachment F*) shall be done every semester to reflect the results of performance evaluation of auditors and record any changes in the qualification checklist column of the form.

6.19.4. A copy of the evaluation result shall be forwarded by the Regional Compliance Audit Focal Person to the concerned auditor to give him/her feedback on his/her performance.

6.19.5. Compliance Auditors who failed to meet the average passing evaluation rate of 3.5 shall undergo at least one (1) of the following interventions, as applicable, before given audit assignments in the next year's audit cycle:

i. Refresher on Auditors Course: general guidelines and principles of auditing, and roles and responsibilities of compliance auditors;

ii. Re-calibration sessions on the Operating Procedure on Compliance Audit for Program Registration;

iii. Coaching and mentoring sessions to be facilitated by the Regional Compliance Audit Focal Person; and

iv. Any other interventions to empower and improve audit performance of the concerned compliance auditors.

These interventions shall be facilitated by the Regional Operations Division headed by the Regional Compliance Audit Focal Person.

6.19.6. Consolidated results of each conducted performance evaluation of compliance auditors shall be provided to the IAS through submission of the duly accomplished and signed TESDA-OP-IAS-01-F09 on or before January 31 and July 31 of every year.

6.19.7. The ROPOs may use any available online platforms to facilitate the administration of compliance auditor's Performance Evaluation Instruments and their submission of TESDA-OP-IAS-01-F09 and results of performance evaluation conducted, provided the ROPOs shall maintain the confidentiality of all data collected pursuant to Republic Act No. 10173, also known as the Data Privacy Act of 2012 (DPA).

Section 6.3.2.1 of TESDA-OP-IAS-02

6.3.2.1. The Compliance Auditors of the region shall be composed of the following: ROD Chief, ROPO CAC Focal Persons, ROPO Compliance Audit Focal Persons, TTI non-teaching regular personnel and ROPO regular personnel and job order personnel. Job order personnel shall only be assigned as member auditors. The Lead Auditors shall assume full responsibility and accountability for the audit done by the member auditors who are job order personnel.

Identify and organize members of the Audit Team (minimum of 2 members in each team). Each team shall have a Lead Auditor. The ROD Chief/RO UTPRAS Focal Person/designated officer shall be the overall Audit Team Leader as additional role/responsibility.

Section 6.3.5 of TESDA-OP-IAS-02

6.3.5 Qualifications of an Audit Team Member:

6.3.5.1. Must be endorsed by the Regional Director and authorized by the Head of the Agency to conduct the audit;

6.3.5.2. College graduate of any Bachelors Degree;

6.3.5.3. Has good communication skills: oral and written;

6.3.5.4. Computer literate (i.e. MS Word, MS Excel, etc.);

6.3.5.5. Willing to do field work;

6.3.5.6. Demonstrates professionalism and good work ethics;

6.3.5.7. Has completed Auditors Course Training;

6.3.5.8. Has completed training on current ISO standard on QMS;

6.3.5.9. Has completed at least one-day Calibration on the conduct of compliance audit for accredited assessment centers; and

6.3.5.10. Has observed the conduct of at least three (3) compliance audits.

Section 6.10 of TESDA-OP-IAS-02

6.10.1. After the end of every audit assignment, involved auditors shall be evaluated by the following:

Auditor	Evaluator	Form No.
1. LEAD	1. Regional Compliance Audit Focal Person	TESDA-OP-IAS-02-F09-A (see *Attachment G*)
	2. All member auditors in a team	TESDA-OP-IAS-02-F09-B (see *Attachment H*)
2. MEMBER	1. Regional Compliance Audit Focal Person	TESDA-OP-IAS-02-F10-A (see *Attachment I*)

	2. Lead Auditor	TESDA-OP-IAS-02-F10-B (see *Attachment J*)
	3. Fellow member auditors in a team	TESDA-OP-IAS-02-F10-C (see *Attachment K*)

Passing rate is pegged at 3.5

Lead and Member Auditors shall be evaluated on the actual audit assignments conducted. The semestral evaluation shall cover at least 50% but not less than three (3) of their actual audits conducted.

6.10.2. In cases where the Regional Compliance Audit Focal Person is not available to evaluate his/her lead auditors, the Regional Compliance Audit Focal Person may designate a competent and experienced lead auditor to perform the evaluation for him/her.

6.10.3. Updating of the Inventory of Auditors form (see *Attachment L*) shall be done every semester to reflect the results of performance evaluation of auditors and record any changes in the qualification checklist column of the form.

6.10.4. A copy of the evaluation result shall be forwarded by the Regional Compliance Audit Focal Person to the concerned auditor to give him/her feedback on his/her performance.

6.10.5. Compliance Auditors who failed to meet the average passing evaluation rate of 3.5 shall undergo at least one (1) of the following interventions, as applicable, before given audit assignments in the next year's audit cycle:

i. Refresher on Auditors Course: general guidelines and principles of auditing, and roles and responsibilities of compliance auditors;

ii. Re-calibration sessions on the Operating Procedure on Compliance Audit for Program Registration;

iii. Coaching and mentoring sessions;

iv. Any other interventions to empower and improve audit performance of the concerned compliance auditors.

These interventions shall be facilitated by the Regional Operations Division headed by the Regional Compliance Audit Focal Person.

TESDA CIRCULAR

SUBJECT: Amendment to Operating Procedures on Compliance Audits for Program Registration and Assessment and Certification		No. 078 Series 2021 Page 6 of 6 pages
Date Issued: **September 17, 2021**	Effectivity: **As Indicated**	Supersedes: Sections 6.4.3 and 6.4.5 of TESDA-OP-IAS-01; Sections 6.3.2.1 and 6.3.5 of TESDA-OP-IAS-02; and TESDA Circular Nos. 071 s2020 and 122 s2020

6.10.6. Consolidated results of each conducted performance evaluation of compliance auditors shall be provided to the IAS through submission of the duly accomplished and signed TESDA-OP-IAS-02-F08 on or before January 31 and July 31 of every year.

6.10.7. The ROPOs may use any available online platforms to facilitate the administration of compliance auditor's Performance Evaluation Instruments and their submission of TESDA-OP-IAS-02-F08 and results of performance evaluation conducted, provided the ROPOs shall maintain the confidentiality of all data collected pursuant to Republic Act No. 10173, also known as the Data Privacy Act of 2012 (DPA).

These amendments shall take effect immediately.

SEC. ISIDRO S LAPEÑA, PhD, CSEE
Director General/Secretary

Attachment A

TESDA-OP-IAS-01-F10-A
Rev. No. 01 09/17/2021

PERFORMANCE EVALUATION INSTRUMENT FOR LEAD AUDITORS

Name of auditor: _____
Assignment: Lead Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Practices the necessary traits as Lead Auditor	1 2 3 4 5	
• Conducts opening and closing meetings, other Audit Team meetings	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Regional Compliance Audit Focal Person)

Date: _____

Attachment B

TESDA-OP-IAS-01-F10-B
Rev. No. 00 10/21/2020

PERFORMANCE EVALUATION INSTRUMENT FOR LEAD AUDITORS

Name of auditor: _____
Assignment: Lead Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Practices the necessary traits as Lead Auditor	1 2 3 4 5	
• Conducts opening and closing meetings, other Audit Team meetings	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Member Auditor)

Date: _____

Attachment C

TESDA-OP-IAS-01-F11-A
Rev. No. 01 09/17/2021

PERFORMANCE EVALUATION INSTRUMENT FOR MEMBER AUDITORS

Name of auditor: _____
Assignment: Member Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Regional Compliance Audit Focal Person)

Date: _____

Attachment D

TESDA-OP-IAS-01-F11-B
Rev. No. 00 10/21/2020

PERFORMANCE EVALUATION INSTRUMENT FOR MEMBER AUDITORS

Name of auditor: _____
Assignment: Member Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Lead Auditor)

Date: _____

Attachment E

TESDA-OP-IAS-01-F11-C
Rev. No. 00 10/21/2020

PERFORMANCE EVALUATION INSTRUMENT FOR MEMBER AUDITORS

Name of auditor: _____
Assignment: Member Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Member Auditor/Team Member)

Date: _____

Attachment E

PERFORMANCE EVALUATION INSTRUMENT
FOR LEAD AUDITORS and MEMBER AUDITORS

INSTRUCTIONS

A. This Performance Evaluation Instrument shall be accomplished by the following personnel every after end of every audit assignment:

Auditor	Evaluator	Form No.
1. LEAD	1. Regional Compliance Audit Focal Person (of the Auditor- and Auditee-Region)	TESDA-OP-IAS-01-F10-A
	2. All member auditors in a team	TESDA-OP-IAS-01-F10-B
2. MEMBER	1. Regional Compliance Audit Focal Person	TESDA-OP-IAS-01-F11-A
	2. Lead Auditor	TESDA-OP-IAS-01-F11-B
	3. Fellow member auditors in a team	TESDA-OP-IAS-01-F11-C

The number of evaluation instruments to be accomplished will depend on the actual audit conducted by the auditor being evaluated. It shall be 50% but not less than three (3) of their actual audits conducted.

B. This form shall be accomplished as follows:

1. **Name of Auditor** – name of the concerned auditor being evaluated
2. **Audit period** – (mm/dd-dd/yyyy) the inclusive dates of the actual conduct of audit during which the performance of the auditor is being evaluated
3. **Audited process(es)** – area/process among the program registration requirements where the auditor being evaluated was assigned to audit
4. Below columns shall reflect the following information:

Evaluation Criteria	Performance criteria where the compliance auditor is being evaluated
Rating	The score assigned by the evaluator based on the performance of the compliance auditor is being evaluated. Rating scale is from 1 to 5, 1 being the lowest and 5 being the highest.
Comments	This section should be used to: support performance rating/score, indicate problem areas and provide guidance to auditors on how to improve performance. Comments MUST be provided for average ratings below 3.5 and are highly recommended for all other ratings.

5. **Average Rating** – computed by dividing the sum of ratings assigned per criteria (the "Rating" column) over the total number of criteria (8 for Lead Auditors and 6 for Member Auditors)
6. **Other Comments** – additional observations noted for which does not fall to any evaluation criteria that has been provided
7. **Evaluated by** – name and signature of the Regional Compliance Audit Focal Person /Lead Auditor/Member Auditor who accomplishes the form and the date it was signed

Attachment F

TESDA-OP-IAS-01-F09
Rev. No. 01 09/17/2021

INVENTORY OF COMPLIANCE AUDITORS

(Place a check on concerned columns)

As of _____

Name	Lead Auditor	Auditor	Observer	Qualification Checklist								**Rating** (in last CA)
				TESDA personnel	College Graduate	With knowledge on Program Registration requirements and guidelines	Has completed Auditors Course Training	Has completed training on current ISO standard on QMS	Has completed at least one-day Calibration on the conduct of compliance audit for registered programs	Has observed at least three (3) compliance audits	Most Recent Completed Audit	

Prepared by:

_____
Regional Compliance Audit Focal Person

Approved by:

_____
Regional Director

Attachment G

TESDA-OP-IAS-02-F09-A
Rev. No. 01 09/17/2021

PERFORMANCE EVALUATION INSTRUMENT FOR LEAD AUDITORS

Name of auditor: _____
Assignment: Lead Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Practices the necessary traits as Lead Auditor	1 2 3 4 5	
• Conducts opening and closing meetings, other Audit Team meetings	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Regional Compliance Audit Focal Person)

Date: _____

Attachment H

TESDA-OP-IAS-02-F09-B
Rev. No. 00 10/21/2020

PERFORMANCE EVALUATION INSTRUMENT
FOR LEAD AUDITORS

Name of auditor: _____
Assignment: Lead Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Practices the necessary traits as Lead Auditor	1 2 3 4 5	
• Conducts opening and closing meetings, other Audit Team meetings	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Member Auditor)

Date: _____

Attachment I

TESDA-OP-IAS-02-F10-A
Rev. No. 01 09/17/2021

PERFORMANCE EVALUATION INSTRUMENT
FOR MEMBER AUDITORS

Name of auditor: _____
Assignment: Member Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Regional Compliance Audit Focal Person)

Date: _____

Attachment J

TESDA-OP-IAS-02-F10-B
Rev. No. 00 10/21/2020

PERFORMANCE EVALUATION INSTRUMENT
FOR MEMBER AUDITORS

Name of auditor: _____
Assignment: Member Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Lead Auditor)

Date: _____

Attachment K

TESDA-OP-IAS-02-F10-C
Rev. No. 00 10/21/2020

PERFORMANCE EVALUATION INSTRUMENT
FOR MEMBER AUDITORS

Name of auditor: _____
Assignment: Member Auditor
Audit period: _____
Audited process(es): _____

Evaluation Criteria	Rating (Encircle Rating) *(1 = Lowest Rating 5 = Highest Rating)*	Comments
1. Planning Stage		
• Compliance Audit Forms and Checklists are prepared and complete	1 2 3 4 5	
2. Conduct of Audit		
• The auditor had knowledge of the process, procedures, system	1 2 3 4 5	
• Practices the necessary traits as an auditor	1 2 3 4 5	
• Audit conducted as scheduled	1 2 3 4 5	
• Statement of findings are accurate and verifiable	1 2 3 4 5	
• Timely preparation and submission of Audit Report to PO/DO concerned	1 2 3 4 5	
Average Rating		

Other Comments: _____
_____
_____

Evaluated by: _____
Signature over Printed Name
(Member Auditor/Team Member)

Date: _____

Attachment K

PERFORMANCE EVALUATION INSTRUMENT
FOR LEAD AUDITORS and MEMBER AUDITORS

INSTRUCTIONS

A. This Performance Evaluation Instrument shall be accomplished by the following personnel every after end of every audit assignment:

Auditor	Evaluator	Form No.
1. LEAD	1. Regional Compliance Audit Focal Person (of the Auditor- and Auditee-Region)	TESDA-OP-IAS-02-F09-A
	2. All member auditors in a team	TESDA-OP-IAS-02-F09-B
2. MEMBER	1. Regional Compliance Audit Focal Person	TESDA-OP-IAS-02-F10-A
	2. Lead Auditor	TESDA-OP-IAS-02-F10-B
	3. Fellow member auditors in a team	TESDA-OP-IAS-02-F10-C

The number of evaluation instruments to be accomplished will depend on the actual audit conducted by the auditor being evaluated. It shall be 50% but not less than three (3) of their actual audits conducted.

B. This form shall be accomplished as follows:

1. **Name of Auditor** – name of the concerned auditor being evaluated
2. **Audit period** – (mm/dd-dd/yyyy) the inclusive dates of the actual conduct of audit during which the performance of the auditor is being evaluated
3. **Audited process(es)** – area/process among the Assessment and Certification requirements where the auditor being evaluated was assigned to audit
4. Below columns shall reflect the following information:

Evaluation Criteria	Performance criteria where the compliance auditor is being evaluated
Rating	The score assigned by the evaluator based on the performance of the compliance auditor is being evaluated. Rating scale is from 1 to 5, 1 being the lowest and 5 being the highest.
Comments	This section should be used to: support performance rating/score, indicate problem areas and provide guidance to auditors on how to improve performance. Comments MUST be provided for average ratings below 3.5 and are highly recommended for all other ratings.

5. **Average Rating** – computed by dividing the sum of ratings assigned per criteria (the "Rating" column) over the total number of criteria (8 for Lead Auditors and 6 for Member Auditors)
6. **Other Comments** – additional observations noted for which does not fall to any evaluation criteria that has been provided
7. **Evaluated by** – name and signature of the Regional Compliance Audit Focal Person /Lead Auditor/Member Auditor who accomplishes the form and the date it was signed

Attachment L

TESDA-OP-IAS-02-F08
Rev. No. 01 09/17/2021

INVENTORY OF COMPLIANCE AUDITORS

(Place a check on concerned columns)

As of _____

Name	Lead Auditor	Auditor	Observer	Qualification Checklist								**Rating** (in last CA)
				TESDA personnel	College Graduate	With knowledge on Assessment and Certification requirements and guidelines	Has completed Auditors Course Training	Has completed training on current ISO standard on QMS	Has completed at least one-day Calibration on the conduct of compliance audit for accredited assessment centers	Has observed at least three (3) compliance audits	Most Recent Completed Audit	

Prepared by:

_____
Regional Compliance Audit Focal Person

Approved by:

_____
Regional Director