TESDA CIRCULAR

SUBJECT: Additional Work Instructions and Amendment to Operating Procedures on Compliance Audit – Program Registration		No. 022 Series 2021 Page 1 of 10 pages
Date Issued: **March 4, 2021**	Effectivity: **As Indicated**	Supersedes: Procedure Details section of the Operating Procedures on Compliance Audit – Program Registration (TESDA-OP-IAS-01 Rev. No. 01 05/28/2020)

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 the following guidelines are hereby issued to address the observations/findings during the re-certification audit on ISO 9001:2015 as well as the issues, recommendations and agreements during the Calibration conducted among NISP, IAS, IIAS and Regional/Provincial UTPRAS and Compliance Audit Focal Persons:

I. Section 6.8 is being updated to read as follows:

6.8.1 For Face-to-face Auditing Method

6.8.1.a The Auditors write the report within one (1) hour after the audit activities for presentation in the closing meeting.

6.8.1.b The Lead Auditor conducts closing meeting and discusses the following with the auditees:

a. Audit findings

b. Non-conformity/ies, if any

c. Submission by the TVI of the TVI/Company Compliance Audit Action Catalogue (TESDA-OP-IAS-01-F05-A) for any non-conformity/ies

d. Completion date of Correction/Corrective Action/s

- Correction Action/s to be carried out within five (5) working days.
- Corrective Action/s to be carried out within 30 working days.

6.8.1.c If TVI/Company concurs with the results of the audit, the TVI/company official or Authorized Representative signs the Compliance Audit Report (TESDA-OP-IAS-01-F05). Thereafter, the TVI/company official or Authorized Representative submits back the signed TESDA-OP-IAS-01-F05 to the Audit Team Leader after the closing meeting. The Lead Auditor and other auditors shall likewise sign the Compliance Audit Report.

6.8.1.d The Lead Auditor provides copy of the TVI/Company Compliance Audit Report (TESDA-OP-IAS-01-F05) to the TVI/company.

6.8.1.e The Lead Auditor submits the signed TVI/Company as indicated in the Compliance Audit Report (TESDA-OP-IAS-01-F05) to the Provincial Office 1 working day after the conduct of audit.

The Lead and Member Auditors submits the duly accomplished audit checklists (TESDA-OP-IAS-01-F04-A/ TESDA-OP-IAS-01-F04-B/ TESDA-OP-IAS-01-F04-C/ TESDA-OP-IAS-01-F04-D) to the District/Provincial Office 1 working day after the conduct of audit.

6.8.1.f The TVI/Company conducts **root cause analysis, provides correction action and/or corrective action, accomplishes the Compliance Audit Action Catalogue** (TESDA-OP-IAS-01-F05-A) and submits these documents to the Provincial Director not later than three (3) working days after receipt of the Compliance Audit Report.

6.8.2 For Virtual Auditing Method and Blended Online and Table Auditing Method

6.8.2.a The prepared TVI/Company Compliance Audit Report (TESDA-OP-IAS-01-F05) will be presented in the closing meeting with the TVI-auditee via videoconferencing.

6.8.2.b The Lead Auditor conducts closing meeting and discusses the following with the auditees:

a. Audit findings

b. Non-conformity/ies, if any

c. Submission by the TVI of the TVI/Company Compliance Audit Action Catalogue (TESDA-OP-IAS-01-F05-A) for any non-conformity/ies

d. Completion date of Correction/Corrective Action/s

- Correction Action/s to be carried out within five (5) working days.
- Corrective Action/s to be carried out within thirty (30) working days.

6.8.2.c If TVI/Company concurs with the results of the audit as discussed during the closing meeting, the Lead Auditor then provides via email copy of the TESDA-OP-IAS-01-F05 electronically signed by the auditors to the TVI/Company.

The copy of the auditor-signed audit report should be prepared in a Portable Document Format (PDF) for data integrity.

6.8.2.d The TVI Head or Authorized Representative shall affix his/her e-signature on the Compliance Audit Report. After which the TVI/Company official or Authorized Representative submits back the signed TESDA-OP-IAS-01-F05 to the Audit Team Leader within the one (1) day after the closing meeting.

6.8.2.e The Lead Auditor submits within one (1) working day after receipt of the TVI-signed TESDA-OP-IAS-01-F05 to the District/Provincial Office.

Failure of the auditee-TVI to submit the signed TESDA-OP-IAS-01-F05 to the Audit Team Leader on the prescribed timeline (6.8.2.d), the auditor-signed TESDA-OP-IAS-01-F05 shall be deemed final and be submitted to the District/Provincial Office of the auditee-region for reporting.

6.8.2.f The Lead and Member Auditors submits the duly accomplished audit checklists (TESDA-OP-IAS-01-F04-A/ TESDA-OP-IAS-01-F04-B/ TESDA-OP-IAS-01-F04-C/ TESDA-OP-IAS-01-F04-D) to the District/Provincial Office within one (1) working day after receipt of the TVI-signed TESDA-OP-IAS-01-F05.

6.8.2.g The TVI/Company conducts root cause analysis, provides correction action and/or corrective action, accomplishes the Compliance Audit Action Catalogue (TESDA-OP-IAS-01-F05-A) and submits to the Provincial Director not later than three (3) working days after receipt of the Compliance Audit Report.

II. Section 6.9 is being updated to read as follows:

6.9.1 The PO reviews and accepts the stated correction action and/or corrective action within two (2) working days after receipt of the TVI-accomplished Compliance Audit Action Catalogue (TESDA-OP-IAS-01-F05-A).

If disapproved, the PO returns the TESDA-OP-IAS-01-F05-A to TVI/company for revision.

6.9.2 The PO monitors and checks compliance to correction/s and/or corrective action/s by the TVI/Company as indicated in the TESDA-OP-IAS-01-F05-A.

6.9.3 TVI/Company complies the Correction Action and Corrective Action and submits documents/pieces of evidence to PO/DO 5 working days for the Correction Action and within 30 working days for the Corrective Action after PO/DO's acceptance of the TVI-accomplished TESDA-OP-IAS-01-F05-A.

6.9.4 The PO reviews the TVI's compliance to correction/s and/or corrective action/s vis-a-vis the accomplished Compliance Audit Action Catalogue (TESDA-OP-IAS-01-F05-A) together with the submitted supporting documents/pieces of evidence.

6.9.4.a If approved, PO submits the TVI/Company's Compliance Audit Action Catalogue (TESDA-OP-IAS-01-F05-A) together with supporting documents/pieces of evidence to RO. Otherwise, the PO returns the report to TVI/company for compliance **within the unelapsed days of the original 30 working days compliance period.**

6.9.4.b The PO may conduct another inspection of the TVI/Company to further validate its compliance to non-conformities.

III. Section 6.12 is being updated to read as follows:

6.12.1 PO prepares and submits the following reports to RO:

6.12.1.a Consolidated Provincial/District Report on Audited and Closed Programs and Status of Compliance to Correction and Corrective Action/s (TESDA-OP-IAS-01-F06-PO) every 2nd day of the month.

6.12.1.b Compliance Audit Non-Conformities Tracking Sheet – Program Registration (TESDA-OP-IAS-01-F06-PO-A) every 2nd day of the month.

6.12.1.c Provincial/District Consolidated Summary of Audited Programs per Program Registration Requirements for Institution-based programs (TESDA-OP-IAS-01-F07A-PO) or Enterprise-based programs (TESDA-OP-IAS-01-F07B-PO) every 2nd day of the month.

IV. Section 6.13 is being revised to read as follows:

6.13.1 The Regional Office (RO) reviews the audit reports from Provincial/District Offices (PO/DO) and submits the following Consolidated Regional Compliance Audit Reports to Internal Audit Service (IAS) and RQMC every 3rd day of the month:

6.13.1.a Consolidated Regional Summary of Compliance Audit Results – Program Registration (TESDA-OP-IAS-01-F06-RO)

6.13.1.b Consolidated Compliance Audit Non-Conformities Tracking Sheet – Program Registration (TESDA-OP-IAS-01-F06-RO-A)

6.13.1.c Consolidated Regional Summary of Audited Programs Per Program Registration Requirements (Institution- or Enterprise-based Programs) (TESDA-OP-IAS-01-F07A) (TESDA-OP-IAS-01-F07 B)

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V. EFFECTIVITY

These amendments/revisions shall take effect immediately.

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

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TESDA-OP-IAS-01-F05-A
Rev. 02 - 02/16/2021

COMPLIANCE AUDIT ACTION CATALOGUE

Technical Vocational Institutions (TVIs) / TESDA Technology Institutions (TTIs)

Name of Institution:_____
Address:_____

Provincial / District Office: _____
Date Audit Conducted: _____

To be accomplished by Auditee TVI/Company							To be accomplished by Provincial Office/ District Office			
Qualification (a)	Area/ Process (b)	Findings/ Description (c)	Identified Root Cause (d)	Proposed Correction Action (e)	Proposed Corrective Action (f)	Target Implement-ation Date (g)	Comments on the Proposed Correction Action (h)	Comments on the Proposed Corrective Action (i)	Non-Conformity Closed for Correction Action: **"Indicate Yes or No"** (j)	Non-Conformity Closed for Corrective Action: **"Indicate Yes or No"** (k)

Other Observation/s:
_____(These are audit observations that cannot be considered as non-conformities)_____

Instructions:
1. Column **(h)** – This column shall refer to the proposed correction as submitted by TVI. If said correction is approved, indicate in **"Yes"** and the piece/s of evidence. Otherwise, indicate its **"comments or recommendation and the date of re-submission"**.
2. Column **(i)** - This column shall refer to the proposed corrective action as submitted by TVI. If said corrective action is accepted, indicate in **"Yes"** and the piece/s of evidence. Otherwise, indicate its **"comments or recommendation and the date of re-submission"**.
3. Column **(j)** - This column shall refer to the timeline set for the correction action to be accomplished by the PO/DO concerned. It shall be accomplished within **5** working days after the conduct of audit.
4. Column **(k)** - This column shall refer to the timeline set for the corrective action to be accomplished by the PO/DO concerned. It shall be accomplished within **30** working days after the conduct of audit.

Prepared by:

_____
TVI Head/Administrator or Company Head
Date: _____

Approved by:

_____
Provincial Director
Date: _____

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TESDA-OP-IAS-01-F05-B
Rev. 02 - 02/16/2021

COMPLIANCE AUDIT ACTION CATALOGUE

Provincial Office / District Office

Provincial / District Office: _____
Date Audit Conducted: _____

To be accomplished by Provincial Office/ District Office							To be accomplished by Regional Office			
Qualification (a)	Area/ Process (b)	Findings/ Description (c)	Identified Root Cause (d)	Proposed Correction Action (e)	Proposed Corrective Action (f)	Target Implement-ation Date (g)	Comments on the Proposed Correction Action (h)	Comments on the Proposed Corrective Action (i)	Non-Conformity Closed for Correction Action: **"Indicate Yes or No"** (j)	Non-Conformity Closed for Corrective Action: **"Indicate Yes or No"** (k)

Other Observation/s:
_____(These are audit observations that cannot be considered as non-conformities)

Instructions:
1. Column **(h)** – This column shall refer to the proposed correction as submitted by PO/DO. If said correction is approved, indicate in **"Yes"** and the piece/s of evidence. Otherwise, indicate its **"comments or recommendation and the date of re-submission"**.
2. Column **(i)** - This column shall refer to the proposed corrective action as submitted by PO/DO. If said corrective action is accepted, indicate in **"Yes"** and the piece/s of evidence. Otherwise, indicate its **"comments or recommendation and the date of re-submission"**.
3. Column **(j)** - This column shall refer to the timeline set for the correction action to be accomplished by the RO concerned. It shall be accomplished within 5 working days after the conduct of audit.
4. Column **(k)** - This column shall refer to the timeline set for the corrective action to be accomplished by the RO concerned. It shall be accomplished within 30 working days after the conduct of audit.

Prepared by:

_____
Compliance Audit Focal
Date: _____

Approved by:

_____
Regional Director
Date: _____

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TESDA-OP-IAS-01-F06-PO-A
Rev. No. 00 – 02/16/2021

COMPLIANCE AUDIT NON-CONFORMITIES TRACKING SHEET – PROGRAM REGISTRATION

District/Provincial Office : _____

Name of TVI/ Company	Qualification Title	Area/ Process	Findings/ Description	Receipt of the Compliance Audit Report by the TVI/ Company	Receipt of DO/PO of the Compliance Audit Report from Lead Auditor [1 WD after the conduct of audit]	Auditee TVI/ Company prepares and submits to DO/PO the Action Catalogue [3 WDs after receipt of the Compliance Audit Report]		DO/PO reviews the accomplished CA Action Catalogue [2 WDs after receipt of the TVI-accomplished Compliance Audit Action Catalogue]		TVI/Company Compliance with Correction Action: Submits documents/ pieces of evidence for Audit Findings [within 5 WDs after DO/PO's acceptance of the TVI-submitted correction action]		TVI/Company Compliance with Correction Action: Submits documents/ pieces of evidence for Audit Findings [within 30 WDs after DO/PO's acceptance of the TVI-submitted corrective action]		DO/PO reviews the accomplished CA Action Catalogue together with the supporting documents. If disapproved, DO/PO returns the report to the TVI/Company for compliance [3 WDs after receipt of documents/ pieces of evidence]	
					1 WD	3 WDs		2 WDs		30 WDs					
				Date Received	Date Received	Date Started	Date Finished	Date Started	Date Finished	Date Started	Date Finished	Date Started	Date Finished	Date Started	Date Finished

Note: A total number of 36 working days of compliance and monitoring period of the non-conformity/ies reckoned on the day of receipt by DO/PO of the Compliance Audit Report from Lead Auditor.

Prepared by:

_____
DO/PO UTPRAS Focal/Compliance Audit Focal
Date: _____

Approved by:

_____
District/Provincial Director
Date: _____

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TESDA-OP-IAS-01-F06-RO-A
Rev. No. 00 – 02/16/2021

CONSOLIDATED COMPLIANCE AUDIT NON-CONFORMITIES TRACKING SHEET – PROGRAM REGISTRATION

Regional Office : _____

Name of TVI/ Company	Qualification Title	Area/ Process	Findings/ Description	Receipt of the Compliance Audit Report by the TVI/ Company	Receipt of DO/PO of the Compliance Audit Report from Lead Auditor [1 WD after the conduct of audit]	Auditee TVI/ Company prepares and submits to DO/PO the Action Catalogue [3 WDs after receipt of the Compliance Audit Report]		DO/PO reviews the accomplished CA Action Catalogue [2 WDs after receipt of the TVI-accomplished Compliance Audit Action Catalogue]		TVI/Company Compliance with Correction Action				RO reviews the accomplished CA Action Catalogue together with the supporting documents. If disapproved, RO returns the report to the DO/PO for compliance [3 WDs after receipt of documents/ pieces of evidence]	
										Submits documents/ pieces of evidence for Audit Findings [within 5 WDs after DO/PO's acceptance of the TVI-submitted correction action]		Submits documents/ pieces of evidence for Audit Findings [within 30 WDs after DO/PO's acceptance of the TVI-submitted corrective action]			
					1 WD	3 WDs		2 WDs		30 WDs					
				Date Received	Date Received	Date Started	Date Finished	Date Started	Date Finished	Date Started	Date Finished	Date Started	Date Finished	Date Started	Date Finished

Note: A total number of 36 working days of compliance and monitoring period of the non-conformity/ies reckoned on the day of receipt by DO/PO of the Compliance Audit Report from Lead Auditor.

Prepared by:

_____
RO UTPRAS Focal/Compliance Audit Focal
Date: _____

Approved by:

_____
Regional Director
Date: _____