

AUDIT PLAN

Organization	United Coconut Life Assurance Corporation
Department	Various departments
Days of Audit	14
Actual Date of Audit	August 17 – September 1, 2020
Lead Auditor	Celis Anthony Manalo
Team Members	IQA Team
Standard	ISO 9001:2015
Audit Language	English and Filipino
Audit Scope	The audit shall cover the requirement and conditions stated in the quality manual and ISO 9001:2015 standards. The period covered is from July 2019 - June 2020

Audit Objectives

To determine the conformity of the management system and to ensure that its effectiveness is continually improved in accordance with the following requirements of ISO 9001:2015 Standards:

- o Understanding business context
- o Risk and opportunities and necessary actions to eliminate them
- o Setting of objectives, action plans and evaluation of achievement
- o Determining, understanding, and meeting applicable statutory regulatory customer requirements
- o Establishment, implementation and maintenance of design and development process

Audit Processes

1. Random sampling shall be used in getting objective evidence that the quality management system using the standards of ISO 9001:2015 is being implemented and maintained.
2. The approach shall be process-based in which transactions may be audited not only in the originating department that processed them but also in the support department that finally released the finished product to the customers.
3. Internal Quality Auditors were and shall be given courses to qualify them to conduct and evaluate the internal quality systems audit.
4. Management Team/Department/Unit Heads must be present during the audit period. Should he/she be not available due to unavoidable circumstances or official activities, an OIC must be designated to represent him/her.
5. The corrections and corrective actions must be implemented in 1 (week) from the date of the reply or closing meeting. Follow-up/s must be documented in the Corrective Action Report (CAR) to ensure that the corrective actions are effective.
6. The Internal Quality Auditors shall conduct post audit activities to validate the implementation of the corrections actions. If applicable, the unit heads shall apply the PDCA process to determine the action that is more appropriate and effective should there be succeeding actions needed.

SCHEDULE	AUDITOR	BUSINESS PROCESS AND ACTIVITIES	SUB - CLAUSES	RESOURCES
July 10, 17, & 24, 2020	ALL	INTERNAL QUALITY AUDIT TRAINING		Zoom Online Chat
August 17 – September 1, 2020	Celis Anthony Manalo - TL Kristoffer Joseph De guzman Roger Martin Ruiz	MANAGE BUSINESS AND FINANCIALS Review System based on the ISO 9001 Standards - Accounting - Finance - Leadership COMPLY WITH STATUROY AND REGULATORY REQUIREMENTS Review System based on the ISO 9001 Standards	4.1, 7.5 9.1.1, 4.2, 6.1, 6.2 4.1, 4.3, 5.2, 6.1, 6.2, 6.3, 7.3, 9.1.1, 9.1.3c, 9.1.3g, 9.2, 9.3.1, 9.3.2b-c, 9.3.3b 8.3.3c, 7.5.3.1	Online Video Conferencing and Email

AUDIT PLAN

		-PPMS, HR, Legal, Sales Support, Internal Audit, Accounting		
	Romylen Anduyon - TL Kanee May Mendoza Dorothy Pamela Domingo Diana Pulmares	DEVELOP AND MARKET PRODUCTS AND SERVICES -Retail Distribution -Marketing Planning -Actuarial - Product Management Committee RECEIVE REQUEST FOR QUOTE - Group Marketing - Healthcare - Bancassurance Review System Based on ISO 9001:2015 Standards	4.3, 5.1.2 7.5.3, 8.5.1, 10.2 8.3.1 to 8.3.6, 7.5, 10.2, 10.3 7.1.6, 7.1.3, 6.2, 6.1 4.1, 4.2,4.4.2, 6.3, 7.2, 8.2.1	Online Video Conferencing and Email
	Paul Reginald Santos - TL Niekhoa Villaverde Jarmay Galay	ATTRACT AND RETAIN TALENTS - TADE : Review Status of findings of SGS Audit last 2019 - Compensation & Benefits MANAGE INFRASTRUCTURE - Facilities Mgt. & Information Technology : Review Status of Findings of SGS Audit last 2019 SELECT AND MANAGE SUPPLIERS - Facilities Mgt. : Check if evaluation findings last audit was updated - Procurement	5.1, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1.1, 9.2 4.1, 7.1, 8.4.1, 8.5.3, 7.5 6.1,6.2,10.3 8.4.2,8.4.3	Online Video Conferencing and Email
	Arvin Cabarrubias - TL Monchet Roxas Lerly Geraldino	APPRAISE RISK - Underwriting - Group Marketing ISSUE CONTRACT - Group Marketing - Healthcare - Underwriting SERVICE CUSTOMERS - Customer Care - Policy Admin. - Client Relations - Claims - Field Operations - Provider (Healthcare) - Medical Services (Helpline)	4.1, 4.2,4.4.2, 6.3, 7.2, 8.2.1 4.1, 6.2, 7.2,- 7.2,7.5.3.1, 8.1, 8.2, 8.4, 8.6, 10.2, 8.5 6.1, 10.3, 8.5 4.1, 8.1, 8.2 8.5.1, 8.5.3, 8.5.5, 8.7.1, 9.1.2, 7.5.3.1, 5.1.2	Online Video Conferencing and Email
September 4	IQA Team w/ Consultant	Meeting on Audit Findings		

AUDIT PLAN

September 7 - 11	IQA Team	Submission of Report to Auditees		
September 14 - 25	Auditees	Submission of Root Cause Analysis & Corrective Action Report		
September 28 - 30	IQA Team	Submission of Audit Report to President / MANCOM for information and required executive actions		

Prepared by:



CELIS ANTHONY MANALO
Lead Internal Quality Auditor / Auditor II



ROGER MARTIN F. RUIZ
Head of Talent Acquisition, Development, and Engagement
Quality Management Representative