

AUDIT PLAN

Organization	United Coconut Life Assurance Corporation
Department	Various departments
Days of Audit	10
Actual Date of Audit	July 18 – July 29, 2022
Lead Auditor	Kristoffer Joseph De guzman
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 2021 - June 2022

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 quality 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 13 – 15, 2022	ALL	INTERNAL QUALITY AUDIT TRAINING	N/A	Zoom Online + Face to Face
July 18 - 29, 2022	Kristoffer Joseph De guzman - TL John Russel Regondola Roger Martin Ruiz Jomelle Domasco Walden Carbonell	MANAGE BUSINESS AND FINANCIALS Review System based on the ISO 9001 Standards - Accounting - Investments - 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


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		-CFSD, HR, Legal, Sales Support, Internal Audit, Accounting		
July 18 - 29, 2022	Romylen Anduyon - TL Jen Tamesis Erika Cuisia Ulphangyle Moreno	DEVELOP AND MARKET PRODUCTS AND SERVICES -Retail Distribution -Marketing and Research -Actuarial - Product Management Committee RECEIVE REQUEST FOR QUOTE - Group Marketing - Healthcare - Bancassurance	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
July 18 - 29, 2022	Arvin Cabarrubias – TL Kannee Mendoza Alexander Oracion Gretchen Alegro	ATTRACT AND RETAIN TALENTS - Talent Acquisition, Development, & Engagement - Compensation & Benefits MANAGE INFRASTRUCTURE - Facilities Mgt. & Information SELECT AND MANAGE SUPPLIERS - Facilities Mgt. - 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	Online Video Conferencing and Email
July 18 - 29, 2022	Diana Pulmares – TL Audrey Lucero Genemae Caparoso Christian Molabola Fe Ren	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 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
August 2022	IQA Team w/ Consultant	Meeting on Audit Findings		
August 2022	IQA Team	Submission of Report to Auditees		
August 2022	Auditees	Submission of Root Cause Analysis & Corrective Action		

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		Report		
August 2022	IQA Team	Submission of Audit Report to President / MANCOM for information and required executive actions		

Prepared by:


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