

UNITED COCONUT PLANTERS LIFE ASSURANCE CORPORATION

INTERNAL QUALITY AUDIT REPORT

AUGUST 2022

DISTRIBUTION	TAKE ACTION	SECURE ACTION	FOR INFORMATION
President		X	X
MANCOM		X	X
Department heads	X		

AUDIT HIGHLIGHTS

SCOPE OF AUDIT : JULY 2021 - JUNE 2022
QMS STANDARD : ISO 9001:2015
OVERALL OPINION : The new version of the ISO 9001 is being implemented by the units audited. Documented information is available and prevalent in the units involved.

RECOMMENDATION : Maintain the ISO certification as the standard for measuring quality.

A. Summary of Findings, Action Taken and Recommendations

During the conduct of audit, the auditors have noted no “non-conformity” on their assigned business process and unit. Documented information was provided by each unit audited via teams, shared drive, and email as evidence of compliance to the ISO 9001:2015 standards.

B. AUGUST 2022 Internal Quality Audit Team

Internal quality audit is a cross functional activity in which different units send representatives to conduct a quality review if the standards are being implemented as required under Clause 9.2.1 of the quality standards. The standard also states that auditors should not audit their own work. In line with this, the IQA Head ensured that assignment of unit to be audited is independent of the work assignment of the Auditor. Another requirement of the exercise is to ensure that the results of the audit are properly maintained.

C. Continual Improvement

Continual improvement in terms of updating and review of documented information shall be consistently observed by all divisions and departments.

For the Procurement department / Committee, updating of codes, proper tagging and identification of policies, procedure manuals, and work instructions is an ongoing process observed during the audit.

AUDITORS	BUSINESS PROCESS and ACTIVITIES
<p>Diana Pulmares - TL</p> <p>Audrey Lucero</p> <p>Genemae Caparoso</p> <p>Christian Molabola</p> <p>Fe Ren</p>	<p>APPRAISE RISK</p> <p>ISSUE CONTRACT</p> <p>SERVICE CUSTOMERS</p> <ul style="list-style-type: none"> • Customer Care Center • Policy Administration • Client Relations • Claims • Field Operations • Healthcare Provider Relations • Medical Services
<p>Kristoffer Joseph De guzman - TL</p> <p>John Russel Regondola</p> <p>Roger Martin Ruiz</p> <p>Jomelle Domasco</p> <p>Waldon Carbonell</p>	<p>MANAGE BUSINESS AND FINANCIALS</p> <ul style="list-style-type: none"> • Review System based on the ISO 9001 Standards • Accounting • Investments • Leadership <p>COMPLY WITH STATUROY AND REGULATORY REQUIREMENTS</p> <ul style="list-style-type: none"> • CFSD • Human Resource and Administrative Services • Legal • Sales Support • Internal Audit • Accounting
<p>Arvin Cabarrubias - TL</p> <p>Kanee Mendoza</p> <p>Alexander Oracion</p> <p>Gretchen Alegro</p>	<p>ATTRACT AND RETAIN TALENTS</p> <ul style="list-style-type: none"> • Talent Acquisition, Development, & Engagement • Compensation & Benefits • Sales Training, Engagement, and Productions <p>MANAGE INFRASTRUCTURE</p> <ul style="list-style-type: none"> • Facilities Management • Information Technology <p>SELECT AND MANAGE SUPPLIERS</p> <ul style="list-style-type: none"> • Facilities Management • Information Technology • Procurement

<p>Romylen Anduyon - TL</p> <p>Jen Tamesis</p> <p>Erika Cuisia</p> <p>Ulphangyle Moreno</p>	<p>DEVELOP AND MARKET PRODUCTS AND SERVICES</p> <ul style="list-style-type: none"> • Retail Distribution • Marketing and Research • Actuarial • Product Management Committee <p>RECEIVE REQUEST FOR QUOTE</p> <ul style="list-style-type: none"> • Group Marketing • Healthcare • Bancassurance
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All twelve (12) incumbent internal quality auditors have undergone a three (3) day internal audit course from July 13 - 15, 2022. The course was conducted by an external facilitator in which the auditors were taught the process on how to audit based on the 9001:2015 standards, how to create an audit checklist, report, and how to analyze findings and root cause analysis.

We also recognize the HEADS of the following units who sent the above representatives in this cross functional activity:

Accounting, Internal Audit, Talent Acquisition Development and Engagement, Customer Experience, Claims, Corporate Finance and Strategy, Group Marketing, Healthcare, Marketing and Research, Mass Marketing, Risk Management and Compliance, Policy Administration department, and Sales Training, Engagement and Productions Division.

Prepared by:



KRISTOPPER JOSEPH DE GUZMAN
IQA LEAD AUDITOR

Noted by:



ROGER MARTIN F. RUIZ
QMR

Approved by:

ATTY. JOSE MARTIN A. LOON, LLM
President and CEO