

# AUDIT PLAN

Organization	United Coconut Life Assurance Corporation
Department	Various departments
Days of Audit	14
Actual Date of Audit	August 05 -16, 2024
Lead Auditor	Romylen B. Anduyon
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 2023 - June 2024

## 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 at least one (1) year 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	DIVISION	BUSINESS PROCESS & SUB - CLAUSES	RESOURCES
July 05, 10, & 12, 2024	ALL	INTERNAL QUALITY AUDIT TRAINING	N/A	Face-to-Face
August 05 – 16, 2024	TEAM 1 Mitch Fernandez-TL Patt Laurence Delizo Genervin Baltazar Jeane Pauline Alcayde Diana Pulmares	A. OPERATIONS DIVISION	Service Customers - 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 Appraise Risk - 4.1, 4.2, 4.4.2, 6.3, 7.2, 8.2.1	Online Video Conferencing, Face-to-Face, and Email
		1. Field Operations 2. Underwriting 3. Claims 4. Policy Administration 5. Systems & Project Management 6. Customer Experience		
		B. INVESTMENTS	Manage Business & Financials - 4.1, 7.5, 9.1.1, 4.2, 6.1, 6.2	
		1. Portfolio Management 2. Loans 3. Mass Marketing 4. Property Management 5. Fund Administration 6. La Loma Columbarry		
		C. COMMERCIAL BUSINESS & SALES	Develop and Market Products & Services - 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 Receive Request for Quote - 4.1, 4.2,4.4.2, 6.3, 7.2, 8.2.1 Service Customers - 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	
		1. Acquisition, Expansion, & Product Development 2. Bancassurance 3. Agency Channel 4. MallAssurance 5. Sales Support a. Sales Events, Compliance, & Control Unit b. Sales Reports & Communications		

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August 05 – 16, 2024	TEAM 2 Romylen Anduyon - TL Jen Tamesis Christine Morales Rayshiel Mae Toledo Irish Palma Jovelyn Altar	A. RISK MANAGEMENT & COMPLIANCE	Manage Business & Financials - 4.1, 7.5, 9.1.1, 4.2, 6.1, 6.2	Online Video Conferencing, Face-to-Face, and Email
		B. HUMAN RESOURCE MANAGEMENT	Attract Retain Talents - 5.1, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1.1, 9.2 Comply with Statutory Requirements - 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 Manage Infrastruture - 5.1, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1.1, 9.2 Select & Manage Suppliers - 4.1, 7.1, 8.4.1, 8.5.3, 7.5	
		1. Talent Acquisition, Development, & Engagement 2. Compensation & Benefits 3. Facilities Management		
		C. INFORMATION TECHNOLOGY	Select & Manage Suppliers - 4.1, 7.1, 8.4.1, 8.5.3, 7.5 Manage Infrastruture - 5.1, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1.1, 9.2	
		D. BRANDING AND CORPORATE COMMUNICATIONS	Develop and Market Products & Services - 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 Attract Retain Talents - 5.1, 7.1, 7.2, 7.3, 7.4, 7.5, 9.1.1, 9.2	
		1. Marketing & Research 2. Sales Training 3. Engagement & Productions 4. Digital Sales, Innovation & Growth		
E. LEGAL	Comply with Statutory Requirements - 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			
August 05 – 16, 2024	TEAM 3 Arvin Cabarrubias – TL Jhunilyn Gacho Larra Amadeo Chazel Cabatbat Rovelin Acebes	A. OFFICE OF THE PRESIDENT	Manage Business & Financials - 4.1, 7.5, 9.1.1, 4.2, 6.1, 6.2 Comply with Statutory Requirements - 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, Face-to-Face, and Email
		B. CORPORATE FINANCE & STRATEGY	Manage Business & Financials - 4.1, 7.5, 9.1.1, 4.2, 6.1, 6.2 Comply with Statutory Requirements - 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	
		1. Corporate Strategy 2. Cash Management 3. Sales Investments Monitoring & Compliance 4. Central Procurement Office		
		C. ACCOUNTING	Manage Business & Financials - 4.1, 7.5, 9.1.1, 4.2, 6.1, 6.2 Comply with Statutory Requirements - 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	
		D. ACTUARIAL	Comply with Statutory Requirements - 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 Design, Develop and Market Products & Services - 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	
		E. GROUP SALES & MARKETING	Receive Request for Quote - 4.1, 4.2,4.4.2, 6.3, 7.2, 8.2.1 Service Customers - 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 Issue Contract - 4.1, 6.2, 7.2, - 7.2,7.5.3.1, 8.1, 8.2, 8.4, 8.6, 10.2, 8.5	
1. Business Development 2. Group Term Life 3. Group Credit Life 4. Migrant Insurance				

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August 05 – 16, 2024	TEAM 4 Beatriz Rivera - TL Bea Kamille Vista Rex Migrato Shiela Vergara Jeanie Peren Kimberly Joy Santos	A. HEALTHCARE		Online Video Conferencing, Face-to-Face, and Email
		1. Administrative Services 2. Technical & Compliance 3. Sales & Marketing 4. Accounting 5. Billing & Collections 6. Medical Services 7. Provider Relations	Receive Request for Quote - 4.1, 4.2,4.4.2, 6.3, 7.2, 8.2.1 Service Customers - 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 Issue Contract - 4.1, 6.2, 7.2, - 7.2,7.5.3.1, 8.1, 8.2, 8.4, 8.6, 10.2, 8.5	
		B. BROKERS RELATIONS OFFICE	Receive Request for Quote - 4.1, 4.2,4.4.2, 6.3, 7.2, 8.2.1 Service Customers - 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 Issue Contract - 4.1, 6.2, 7.2, - 7.2,7.5.3.1, 8.1, 8.2, 8.4, 8.6, 10.2, 8.5	
August 19-20, 2024	IQA Team w/ Consultant	Meeting on Audit Findings		
August 22-23, 2024	IQA Team	Submission of Report to Auditees		
August 27-30, 2024	Auditees	Submission of Root Cause Analysis & Corrective Action Report		
September 2-6, 2024	IQA Team	Submission of Audit Report to the President / Management Committee (MANCOM) for information and required executive actions.		