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01 100 181107TRP

Audit Report as per

ISO 9001:2015

for

**Public – Private Partnership Center of the
Philippines**

**8th Floor, One Cyberpod Centris, EDSA cor. Quezon
Avenue, Brgy. Pinyahan, Quezon City, 1100 Philippines**

Client	Standard(s)	Certification Number(s)	Audit Type
Private – Public Partnership Center	ISO 9001:2015	01 100 181107TRP	2 nd Follow Up Audit

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Audit Leader : Abigail Salomon

Audit Team : Fronie Aligway

Client's representative : Ferdinand A. Pecson, Executive Director
Vilma P. del Rosario, Planning Officer V
Kathleen D. Melendrez, Planning Officer IV

Audit Date : 08 October 2020

1 Audit result

Management system effectiveness was verified on site by means of random sampling by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and the descriptions in management system documentation. The special features of the organization's business activities, the applicable statutory and regulatory requirements and the requirements set forth in other generally applicable documents were also taken into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in Sections 4 of this report.

<input type="checkbox"/>	The last audit revealed nonconformities which have been demonstrably corrected. The corrections and corrective actions taken in this respect have been verified.						
<input type="checkbox"/>	A stage 1 audit was performed and the organization found ready for certification. Identified weaknesses, if any, have been eliminated and the respective corrective action verified.						
<input checked="" type="checkbox"/>	The current audit revealed the following nonconformities: <table border="0" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 35%;">Standard(s):</td> <td style="width: 30%; text-align: center;">No. of major nonconformity</td> <td style="width: 35%; text-align: center;">No. of minor nonconformity</td> </tr> <tr> <td>ISO 9001</td> <td style="text-align: center;">Zero</td> <td style="text-align: center;">Zero</td> </tr> </table>	Standard(s):	No. of major nonconformity	No. of minor nonconformity	ISO 9001	Zero	Zero
Standard(s):	No. of major nonconformity	No. of minor nonconformity					
ISO 9001	Zero	Zero					
<input type="checkbox"/>	The major nonconformities (No. x) with individual standard elements require a re-audit to verify the effectiveness of the corrections and corrective actions (probable date: ddmmyyyy)						
<input checked="" type="checkbox"/>	The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the standard(s).						

The auditor therefore recommends (provided nonconformity response has been approved):

<input type="checkbox"/>	Award of the new certificates.
<input checked="" type="checkbox"/>	Maintenance of the existing certification.
<input type="checkbox"/>	Inclusion of the changes (see Section 3) in the scope of application of existing certifications
<input type="checkbox"/>	Maintenance or issue of the certificates only after successful completion of a re-audit.

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2 Scope

2.1 Description of the organization

By virtue of the Executive Order No. 8 series of 2010, as amended by the Executive Order NO. 136 series of 2013, the PPP center is mandated to facilitate the implementation of the country's PPP Program and Projects. PPP Center is the main driver of the PPP Program. It serves as the central coordinating and monitoring agency for all PPP projects in the Philippines. It champions the country's PPP Program by enabling implementing agencies in all aspects of project preparation, managing of the Project Development and Monitoring Facility (PDMF), providing projects advisory and facilitation services, monitoring and empowering agencies through various capacity building activities.

The PPP Center provides technical assistance to national government agencies (NGA's), government owned and controlled corporations (GOCC's), government financial institutions (GFI's), state universities and colleges (SUC's), and local government units (LGU's) as well as to the private sector to help develop and implement critical infrastructure and other development projects.

The PDMF Service manages and administers the PDMF, a funding mechanism available to the Implementing Agencies, for developing well-structured and bankable PPP projects and ensuring effective monitoring of project implementation.

The PDMF (or the Fund), formerly known as the Project Development Facility (PDF), is established as revolving fund under Executive Order (EO) no. 144, series of 2002. The issuance of EO No. 8, series of 2010, and its amendment, EO No. 136, series of 2003, expanded the use and established the administration and management of the PDMF. Pursuant to said EO No. 8, the Philippine Government allocated PhP 300 Million as seed money to the PDMF, in addition to the remaining PDF.

The PDMF is currently co-financed by the Government of Australia in the amount of USD 180 Million through a capacity development technical assistance administered by the Asian Development bank, TA No. 7796: Republic of the Philippines – Strengthening Public – Private Partnership in the Philippines dated April 01, 2011.

To properly administer the PDMF, the PDMF Committee composed of representatives from National Economic Development Authority (NEDA), Department of Finance (DOF), Department of Budget and Management (DBM) and PPP Center was created pursuant to EO No. 136. The PDMF Committee approves applications from implementing agencies for PDMF support. Subject to the approval of the PPP Governing Board, the PDMF Committee also formulates, prescribes and recommends policies, procedures and guidelines for the use of the PDMF for the development of PPP projects and recovery of costs charged to the Fund.

The PDMF shall be used to engage consultants for any or combination of the following services:

- Preparation of and assistance in the management of the bidding process for solicited projects;
- Assistance in the management of the Swiss Challenge process for unsolicited proposals;
- Assistance until financial close;
- Probity advisory; and
- Monitoring of project implementation

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2.2 Scope of certification

Scope of certification: (per standard):	Provision of Technical Assistance and Advisory Services during Development, Structuring, Evaluation, and Monitoring of Projects; Policy Formulation; Capacity Building and Knowledge Management; with the Assistance of the Various Support Services of the Center
ISO 9001 standard requirements which are not applicable:	7.1.5.2 Measurement traceability
Reasons for non-applicability:	There's no measuring equipment being used by the Center to monitor or measure a process

The organization operates from 8:00 a.m. to 5:00 p.m.

Full audit was done by using ICT (Information and Communication Technology). The used method was effective to achieve the audit objectives.

The following sites and their scopes are included in the scope of certification:

Site No. (CN ext.)	Sites included in cert. Name/address of site	No. of emp.	Scope and processes	Stand- ard(s)	Au- dited
01	Public – Private Partnership Center of the Philippines 8th Floor, One Cyberpod Centris, EDSA cor. Quezon Avenue, Brgy. Pinyahan, Quezon City, 1100 Philippines	119	Provision of Technical Assistance and Advisory Services during Development, Structuring, Evaluation, and Monitoring of Projects; Policy Formulation; Capacity Building and Knowledge Management; with the Assistance of the Various Support Services of the Center	ISO 9001: 2015	<input checked="" type="checkbox"/>

3 Changes in the management system / Contract review

The following changes have been implemented in the management system and the management system documentation since the last audit. Major changes are:

- Inclusion of 8.3 Design and Development in the Scope of QMS
- Exclusion of 7.1.5.2 Measurement Traceability in the Scope of QMS
- Revision of QMS Manual, Rev2, effective October 2, 2020
- Implementation of the following in view of Covid-19 pandemic:
 - Work from home & skeleton workforce
 - Launching of Online Capacity Building with quiz, July 29, 2020
 - Installation of sneeze guards, hygiene products and safety signages in the facility

The implementation of these changes in the existing management system and the management system documentation was verified within the framework of the audit.

The description of the scope in the certificate appropriately reflects the scope of the management system.

Changes to the original audit plan were made during the audit. They are documented in the audit plan and were agreed with the customer on site.

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4 Audit findings

The audit findings related to the audited standards are listed in the Annexes to this report (see. Annex ISO 9001). All information gained during the audit will be treated with strict confidentiality by the [auditors](#) and the certification body. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

No.	Unit/Department Site	Positive findings
1	Quality Management System	Quality Management System implementation is highly evident among each process owners during the conduct of audit. This is notable.
2	Documentation Management System	The repository of every documented information per services stored at Knowledge Hub is highly commendable.
3	Objectives	Performance of objectives are still on track to reach the 2020 targets despite challenges caused by Covid19 pandemic; some even surpassed the target e.g. PDS.
4	Management	Plan to provide Wi-Fi support to employees working from home is noteworthy.
5	Management/GSD	Provision of the following efforts in view of Covid19 pandemic are noteworthy: <ul style="list-style-type: none"> – Shuttle services for employees under skeletal workforce – Installation of sneeze guards, hygiene products and safety signages in the facility
6	Recognition	Received Certificate of Compliance 2019 for being fully-compliant with the enhanced Freedom of Information requirements as validated by the Presidential Communications Operations Office issued by the Inter-Agency Task Force on the Harmonization of National Government Performance Monitoring, Information, and Reporting Systems

The following recommendations and opportunities for improvement provided by [the auditors](#) are intended to contribute to the continuous improvement of the management system.

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	Internal Audit	Ensure all nonconformities have corresponding root cause, corrections, and corrective actions. Consider to include in the IAF monitoring sheet the result of verification of effectiveness of corrective actions taken for nonconformities
2	Capacity Building	Inclusion of Release of Certificate may be included in the database of capacity building activities.
3	Risk and opportunities	The effectiveness of actions taken to address risks and opportunities may be indicated in the Risk Assessment Matrix.

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5 Dates

Due Date for the next audit

2021 December 17 (-3 months/+ 0 day)

Agreed date for the next audit

2021 November

08 October 2020

Date

A handwritten signature in blue ink, appearing to read 'Abigail Salomon'.

Abigail Salomon / Fronie Aligway

Audit Leader / Auditor(s)