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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 |
|--|---------------|-------------------------|----------------------|
| Public-Private Partnership Center of the Philippines | ISO 9001:2015 | 01 100 181107TRP | Surveillance Audit 1 |

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Audit Leader : Michelle A. Pestañas
Audit Team : Anelyn Matriano
Client's representative : Ma. Cynthia C. Hernandez – Executive Director V
Audit Date : 2022 November 04

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 audit objectives as mentioned in the audit plan, 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"/> | <p>The current audit revealed the following nonconformities:</p> <table border="1"> <thead> <tr> <th>Standard(s):</th> <th>No. of major nonconformity</th> <th>No. of minor nonconformity</th> </tr> </thead> <tbody> <tr> <td>ISO 9001</td> <td>Zero (0)</td> <td>Zero (0)</td> </tr> </tbody> </table> | Standard(s): | No. of major nonconformity | No. of minor nonconformity | ISO 9001 | Zero (0) | Zero (0) |
| Standard(s): | No. of major nonconformity | No. of minor nonconformity | | | | | |
| ISO 9001 | Zero (0) | Zero (0) | | | | | |
| <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: dd.mm.yyyy) | | | | | | |
| <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/audit team therefore recommends (provided nonconformity response has been approved):

| | |
|-------------------------------------|---|
| <input checked="" type="checkbox"/> | Award of the new certificates. |
| <input 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

Company Name : Public-Private Partnership Center of the Philippines

The PPP Center provides technical assistance to National Government Agencies (NGS'A), Government Owned and Controlled Corporations (GOCCs), Government Financial Institutions (GFIs), State Universities and colleges (SUCs), and Local Government Units (LGUs) as well as to the private sector to help develop and implement critical infrastructure and other development projects.

Number of Sites : Single Site

Number of employees : 117 Personnel

Number of Shift : 8am – 5pm, Monday to Friday

Product & Services : 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.

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.

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 on single shift from 8am – 5pm Monday to Friday.

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

| Site No. | Sites included in cert. | No. of emp. | Standard and Scope | Audited |
|----------|-------------------------|-------------|--------------------|---------|
|----------|-------------------------|-------------|--------------------|---------|

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| | Name/address of site | | | |
|-----------------|---|-------------------------------|--|---------|
| 01 100 81107TRP | Public-Private Partnership Center of the Philippines 8th Floor, One Cyberpod Centris, EDSA cor. Quezon Avenue, Brgy. Pinyahan, Quezon City, 1100 Philippines | 117 (at the time of audit) | 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 | Audited |

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:

- New Executive Director V Ma. Cynthia Hernandez, as per Office Order dated Aug 16, 2022
- Deputy Executive Director V Jeffrey Manalo Office Order dated Mar 4, 2022
- Catalina Caraan, OIC of the Administrative Service effective Feb 7, 2022 as per Special Order No. 017 s2022 dated Feb 7, 2022
- Dionne Marga Larin, OIC –Director III Capacity Building and Knowledge Management Service effective Mar 4, 2022 , as per Special Order No. 04, S2022 dated Mar 4, 2022
- Atty Maria Myren Solis-Garcia as Officer In Charge of the Legal Service effective Aug 1, 2022 as per Special Order no. 141 s 2022 dated Jul 29, 2022.

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.

The audit plan was not changed during the audit.

4 Audit findings

The audit findings related to the audited standards are listed in the annexes to this report (see Annex ISO 9001:2015).

All information gained during the audit will be treated with strict confidentiality by the auditor(s) 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 |
|-----|----------------------|-------------------|
|-----|----------------------|-------------------|

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| 1/3 | Awards and Recognition | <p>The following awards and recognition are notable:</p> <ul style="list-style-type: none"> • Certificate of Appreciation for 2022 Brigada Eskwela Bayanihan sa Paaralan and selfless contribution facilitated to improve the learning environment of the school through voluntary services and /or materials donation through the ADOPT- A-SCHOOL Program of Silangan Elementary School given on Jul 27, 2022. • Certificate of Commendation for valuable contribution, commendable and exceptional dedication to support Brigada Eskwela 2022 held at Kaypian Elementary School given on Jul 28, 2022. • FOI Rising Star Award, Christy Vela for exemplifying great progress and performance in the implementation of the Freedom of Information (FOI) Program given on Nov 24, 2021. |
| 2/3 | Corporate Planning & Development Division | Initiated the Project PERFORM (Performance Reporting from Organizational Results Monitoring) System, a centralize database to help improve the monitoring of performance. |
| 3/3 | Project Development Service | Commendation from Davao City Investment Promotion Center for the Basic PPP Concept presented by the Project Development Service of the Public-Private Partnership – August 11, 2022. |

The following recommendations and opportunities for improvement provided by the auditor(s) are intended to contribute to the continuous improvement of the management system.

| No. | Unit/Department Site | Recommendations and opportunities for improvement |
|-----|----------------------|---|
| 1/7 | Management Review | <p>May need to determine an overall assessment in terms of effectiveness, suitability and adequacy of implementation of quality management system.</p> <p>Need to improve the Management Review Minutes to capture all inputs. (i.e. indicate the date of the referred Mancom Meeting or any relevant meeting for ease of traceability)</p> |
| 2/7 | Internal Audit | <p>May consider including in the procedure relevant information in regards to the implementation of Auditor's Trainee.</p> <p>Need to improve in light of the following:</p> <ul style="list-style-type: none"> • Review the relevant applicable clause to the process to be audited • Stipulate the documented evidences verified at the time of audit in the Audit Checklist • Consistent indicating the timeline/target date for correction and corrective action implementation • Relevant to CAR, inclusion of determining if similar nonconformities exist or could potentially occur, update risk and opportunities as determined during planning and make changes in qms if necessary |

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| 3/7 | Risk Assessment Management | <p>May need to improve on the following:</p> <ul style="list-style-type: none"> • Identification of opportunities • Stipulate other risk treatment for same risk rating after assessment • Date of implementation of risk treatment plan <p>Review the actions per rating scale to determine priority of treatment plan implementation</p> |
| 4/7 | Human Resource | May consider stipulating in the Learning and Development Monitoring, the date conduct of impact assessment. |
| 5/7 | General Services | <p>May need to stipulate the specific date of PM activity as per prioritization in the Vehicle Maintenance Plan. Likewise, may consider indicate the actual date of accomplishment as well.</p> <p>Need consistent accomplishment of Janitorial Inspection Checklist (i.e. Daily, Weekly, Monthly). As sampled, Aug 2, 17 and 25, 2022 - no accomplishment.</p> |
| 6/7 | PFPEMS- Policy Formulation Project Evaluation & Monitoring Service | <p>Consider to gather and retain documented information for project changes with pending request to support the project implementation report.</p> <p>May consider to include the project location in the project history.</p> <p>Consider to enhance the Project Implementation Report particularly the concession period (e.g., from contract signing).</p> |
| 7/7 | Project Development Service | May consider to establish list of projects specifically assisted by PDS (Project Development Service) for ease of reference. |

5 Dates

Due Date for the next audit

2023 December 17

Agreed date for the next audit

2023 November

2022 November 05

Date



Michelle A. Pestañas

Audit Leader / Auditor(s)