

## Initial Audit Summary Report

Company Name : **Department of Labor and Employment – Occupational Safety and Health Center**

Address : **North Avenue corner Agham Road, Diliman Quezon City, 1100 Philippines**

Attention : **Noel C. Binag, CE, MPA – Executive Director**  
**Engr. Concepcion T. Sto. Tomas – OIC-Deputy Executive Director/ QMR**

Audit Team : Jogina Mendiola / Rafael Magsino

Standard / Audit Type : **First Follow-Up Audit – 100% Remote**

Audit Date : 16 December 2021

Audited Scope : **Provision of Occupational Safety and Health Services, including, In-house BOSH Training, Conduct of Work Environment Measurement, PPE Testing and Assessment, Information Dissemination, and Health Services**

In the audit, the actual process flow of sample operations was examined in individual areas of the company. In doing so, the auditors reviewed the conformity of the process flows with the requirements of the standard and the descriptions in the management documentation. This audit was performed on the basis of random samples, including interviews and examination of the appropriate documents.

All information gained during the audit will be treated with strict confidentiality by the audit team 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.

### 1. Positive Observation

No.	Unit/Department Site	Positive findings
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1/3	Recognitions, Awards, Milestones	<p>OSHC Notable Improvements and Accomplishments –</p> <ul style="list-style-type: none"> <li>- the trending increase of the OSHC OPCR rating, that is, from 3.958 (Y2018), to 4.874 (Y2019) to 4.937 (Y2020)</li> <li>- the earned 100% compliance to the postings in the transparency seal</li> <li>- the Certificate of Authority to Operate Chemical Laboratory (awarded to OSHC's Work Environment Measurement Laboratory) by the Professional Regulatory Commission</li> <li>- the Certificate of Accreditation awarded to Ms. Annabelle Zamudio by the Environment Control Division of Laguna Lake Development Authority last July 2021</li> <li>- equipment deliveries: Ductless Fume Hood, Thermo-Hygrometer (8units), Hot Plate Stirrer, Laboratory Refrigerator, Sibata Mini-Pump (MP-W5P, PMP-001)</li> <li>- other improvements: refurbished laboratory fume hoods (4units) and canopy hoods, Gas room repair</li> <li>- awarded as FOI Rising Star Award during the 5<sup>th</sup> Annual FOI Summit and Awards last November 25, 2021</li> <li>- the Unqualified/ Unmodified Opinion rendered to OSHC by the COA Auditors for Y2020</li> <li>- the enhanced Information Dissemination of IEC Materials Development and Distribution</li> </ul>
2	Safety Control Division - PPE Testing and Assessment	Acquisition of a new high temperature oven; more than double the capacity of the existing oven.
3	Data Control and Information Technology	<p>ICT infrastructure improvements:</p> <ul style="list-style-type: none"> <li>- Cloud files repository</li> <li>- Archived documented information</li> <li>- Laptops for employees telecommuting</li> <li>- CCTV rehabilitation</li> </ul>

## 2. Opportunities for improvement

The following recommendations and opportunities for improvement provided by the auditors are intended to contribute to the continuous improvement of the management system. They also serve to eliminate any weaknesses still existing in the organization, ensure management system effectiveness and prevent nonconformities.

No.	Unit/Department Site	Recommendations and opportunities for improvement
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1/3	Internal Quality Audit	<p>Due to scope rewording, taking place after the latest Internal Audit Cycle (August 2021), that is, "Provision of Occupational Safety and Health Services including in-house BOSH Training, conduct of Work Environment Measurement, PPE Testing and Assessment, Information Dissemination, and Health Services," with the inclusion of Health Services Department's Xray Services, ensure to include the audit for these processes in planning for the next Internal Audit. This will be verified in the next audit.</p> <p>Ensure, all QMS maintained and retained documentation are updated in alignment of the reworded scope of the QMS. This will be verified in the next audit.</p>
2	Environment Control Division – Work Environment Monitoring	Risks and Opportunities register was reviewed/reassessed in September 2021. Considering changed circumstances post assessment, revisit it to formally assess those relevant to the preparation of lifting the WEM services suspension in 2022 Q1.
3	All – Risks and opportunities	<p>Residual risks need to be determined. This will determine whether the current controls are commensurate to the assessed risk level.</p> <p>Actions to address improvement opportunities may also be assessed for associated risks, e.g. cloud migration, new equipment, etc.</p>

### 3. Nonconformity.

No.	Clause # / Discussed with	Description / Statement of the Nonconformity.
		None.

### 4. Audit Conclusion

<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"/>	<b>The current audit revealed Zero (0) major nonconformity and Zero (0) minor nonconformity.</b>
<input type="checkbox"/>	The major nonconformities (No. x of x) with individual standard elements, require a re-audit to verify the effectiveness of the corrections and corrective actions (mm/dd/yyyy)
<input checked="" type="checkbox"/>	<b>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.</b>

#### Recommendation:

<input checked="" type="checkbox"/>	<b>Award of the new certificates.</b>
<input type="checkbox"/>	Maintenance of the existing certification.
<input checked="" type="checkbox"/>	<b>Inclusion of the changes (see Section 3) in the scope of application of existing certifications</b>

<input type="checkbox"/>	Maintenance or issue of the certificates only after successful completion of a re-audit.
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**Due Date for the next audit**                      2022 December 16

**Agreed date for the next audit**                2022 November (-3mos/+0)

**Statement of Non-Conflict of Interest**

The audit team declares that they have neither performed any internal audits for the organization nor provided any consulting services for the development and implementation of the organization's management system within the last two (2) years. We also confirm that there are no other conflicts of interests with regards to the performance of this audit.

16 DECEMBER 2021

  
JOGINA MENDIOLA/ RAFAEL MAGSINO

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Date

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Audit Leader / Auditor(s)

**Note: This *Initial Report* serves as the proof of completion of this cycle of audit activities and will be superseded upon issuance of the official *Audit Report*.**

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