OFFICE MEMORANDUM
No. 207 s. 2025

CONDUCT OF 1ST SURVEILLANCE AUDIT FOR DEPED REGIONAL OFFICE I

To: Assistant Regional Director
Chiefs of Functional Divisions
Heads of Units/Sections
All Others Concerned

1. Relative to the Office Memorandum QAD-2025-157 titled Conduct of 1st Surveillance Audit for Regional Offices, *TUV Nord Philippines* shall conduct the 1st Surveillance Audit on August 4, 2025. The opening meeting shall be conducted at the DepEd ROI Executive Conference Hall at 9:00 o'clock in the morning.

2. In view hereof, all Chiefs of Functional Divisions, Heads of Units/Sections and QMS Secretariat are required to attend the said activity. Further all concerned FDs/Units/Sections shall ensure compliance with the identified Opportunities for Improvements (OFIs) and QMS documentary requirements to avoid nonconformity rating.

3. All personnel are advised to wear the prescribed Monday uniform and NQMS jacket.

4. Attached is a copy of the Memorandum DM-OUHROD-2025-1914 titled Audit Plan for 1st Surveillance Audit of Region I for reference.

5. For clarifications, please contact the Quality Assurance Division (QAD)/Quality Management System (QMS) Secretariat through telephone number (072) 682-2324 loc. 117 or email at qad.region1@deped.gov.ph.

6. Immediate dissemination of this Memorandum is desired.

TOLENTINO G. AQUINO
Director IV

Documan ®
DepEd RO1 QAD251337

QAD/mmtj/OM_Reminders1stSurveillanceAudit
July 15, 2025

Republika ng Pilipinas
Department of Education
OFFICE OF THE UNDERSECRETARY
HUMAN RESOURCE AND ORGANIZATIONAL DEVELOPMENT

DEPARTMENT OF EDUCATION
RECEIVED
RECORDS SECTION REGIONAL OFFICE NO. 1
JUL 15 2025
BY: TIME: 9:44

MEMORANDUM
DM-OUHROD-2025-1914

TO	:	**TOLENTINO G. AQUINO** *Regional Director* *DepEd Region I (Ilocos Region)*
FROM	:	**WILFREDO E. CABRAL** *Undersecretary* *Human Resource and Organizational Development*
SUBJECT	:	**AUDIT PLAN FOR 1ST SURVEILLANCE AUDIT OF REGION I**
DATE	:	11 July 2025

With reference to DM-OUHROD-2025-1716 titled *Conduct of 1st Surveillance Audit for Regional Offices*, this memo transmits the audit plan for the 1st Surveillance Audit of DepEd Region I.

For queries and/or clarifications, please contact the Bureau of Human Resource and Organizational Development – Organization Effectiveness Division (BHROD-OED) through email at nqmssupport@deped.gov.ph or call (02) 8633-5375.

For reference.

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DepEd RO1 REC2508376

Copy furnished:
OFFICE OF THE SECRETARY

TÜVNORD

Audit Plan (1st Surveillance)

Organisation Department of Education Region 1 (Ilocos Region)
Audits(ZA) SE930571

Master Data of Organisation	
Name of Organisation	Department of Education Region 1 (Ilocos Region)
Name of corporate group (in case of multi site organization only)	NA
Street	Flores St, Catbangen, San Fernando City La Union,
Postcode / Town / Country	San Fernando City / Philippines
Contact	NQMS Secretariat
E-Mail	nqmssupport@deped.gov.ph
Phone	86339343
System documentation: (Revision / Issue)	Quality Management System Manual – QMS Manual Rev.00 / 09.20.21
Shift operation	no shift operation
Language	English
Peculiarities	None

Multi Site Organisation			
Selection of sites to be audited by sampling procedure	☐ Yes	☐ No	☒ n.a.
An adequate listing of all sites in the scope(s) including all valid and relevant information in each case is part of the audit file		☐ Yes	☒ n.a.

Audit profile		
Contract ID (ZE):	NA	
Standards under contract / Audit type	9001:2015 1st Surveillance Audit ☐ Transition audit	--- : --- ☐ Transition audit
Surveillance mode	Yearly surveillance	
Audit team leader	Janica Verlain Despuig (JD), 90014482	
E-Mail Audit team leader	mdespuig@tuv-nord.com	
Audit team	Richard Bacomo (RB), 90014514	
Technical expert	NA	
Trainee	NA	
Observer	NA	

TÜVNORD

Audit Plan (1st Surveillance)

Organisation Department of Education Region 1 (Ilocos Region)
Audits(ZA) SE930571

Audited Standards			
9001:2015		1st Surveillance Audit	
Certificate ID (TP):		Valid until:	
Scope:	Provision of Quality Basic Education Services		
Industry / Sector (EA, TB, …)	36		
Non-applicability of chapters:			
No. of considered persons:	108	No. of sites (incl. HQ):	1
Lead auditor:	Janica Verlain Despuig	Audit ID (ZA):	SE930571

Definition of unit for duration and time		
Applied unit	Days	One audit day covers 8 audit hours
Audit Details		
Sites	Flores St, Catbangen, San Fernando City La Union, San Fernando City, Philippines	
Audit date	04.08.2025	
Audit duration	2,00 person Days on site	

Application of methods and tools in remote auditing			
Conducted as a remote audit	☒ No	☐ Partly	☐ Total
If "Partly": The remote parts shall be made clearly identifiable in the plan table.			
Technologies used for remote audit	☐ MS Teams	☐ Cisco WebEx	☐ Zoom
	☐ Other on request of client: **In this case, client takes over the responsibility for any required activity in information security.**		

1. Audit Day (04.08.2025)

Nr.	Time[1]	Site / shift / Business unit	Processes (optional entry)	Auditor (Initials)	Contact[2]	Focus / Standard Requirement / Chapter / Clause
1	9:00 – 9:30 AM		- Opening Meeting and Site Tour	Audit Team	All Concerned	
2	9:30 – 11:00 AM	Top Management / Management Interview and Internal Audit	- Context of the organization (Internal/External, Scope) - Leadership (Commitment/Policy/ Roles/Responsibilities and Authorities) - Planning (Risks& opportunities/ Objectives/Changes) - Resources - Communication - General documented information - Monitoring, measurement, analysis and evaluation (Customer satisfaction/ Analysis&Evaluation) - Internal audit - Management review - Improvement - Follow up of previous finding (if applicable) - Checking of use of logo (if applicable) - Changes of the system	JD		4.1 – 4.4, 5.1 – 5.3, 6.1 – 6.3, 7.1.1, 7.1.2, 7.1.6, 7.4, 7.5.1, 9.1- 9.3, 10.1 – 10.3
3	09:30 – 11:00 AM	ESSD -Disaster Risk Reduction and Management -External Partnership -Clinic Management -Infrastructure Management -Program Management -Development and Implementation of DepEd Child Protection Programs -Sites Titling and Oversight of DepEd School Sites	- General documented information - Operational planning & control - Requirements for products and services - Follow up of previous finding (if applicable)	RB		7.5.1, 8.1 8.2.1, 8.2.2, 8.2.3, 8.2.4
4	11:00 – 12:00 NN	DCC / KMT	- General documented information - Creating and Updating - Control - Follow up of previous finding (if applicable)	JD		7.5.1, 7.5.2, 7.5.3
5	11:00 – 12:00 NN	Legal Management	- General documented information - Operational planning & control - Requirements for products and services - Follow up of previous finding (if applicable)	RB		7.5.1, 8.1 8.2.1, 8.2.2, 8.2.3, 8.2.4
6	12:00 – 1:00 PM		- Lunch Break			
7	1:00 – 3:00 PM	CLMD -Curriculum Management -Management / Contextualization of Teaching-Learning Delivery Systems -Management of QA of Learning Resources	- General documented information - Operational planning and control - Production and service provision (control/ identification & traceability/ customer & external property/ preservation/ post-delivery activities/ changes control) - Release of products and - services - Control of nonconforming outputs	JD		7.5.1, 8.1, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.5.5, 8.5.6, 8.6, 8.7, 7.1.4

1. Audit Day (04.08.2025)

Nr.	Time[1]	Site / shift / Business unit	Processes (optional entry)	Auditor (Initials)	Contact[2]	Focus / Standard Requirement / Chapter / Clause
		-Contextualized Learning Resources -Education Assessment and Research	- Environment for the operation of processes - Follow up of previous finding (if applicable)			
8	1:00 – 2:00 PM	ASD -Records Management	- General documented information - Production and service provision (control/ identification & traceability/ customer & external property/ preservation/ post-delivery activities/ changes control) - Environment for the operation of processes - Follow up of previous finding (if applicable)	RB		7.5.1, 8.1, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.5.5, 8.5.6, 8.6, 8.7, 7.1.4
9	2:00 – 3:00 PM	ASD -General Services (Building and Facility, Security) ICT Management	- Infrastructure - Measuring and Monitoring Resources - General documented information - Follow up of previous finding (if applicable)	RB		7.1.3, 7.1.5, 7.5.1
10	3:00 – 4:00 PM	QAD -Monitoring and Evaluation of Learning/PD Programs -Organization Management -Private Education Regulations and Development -Review and approval of Tuition and Other Fees Increase and Proposed New Fees of Private Schools	- General documented information - Operational planning and control - Production and service provision (control/ identification & traceability/ customer & external property/ preservation/ post-delivery activities/ changes control) - Release of products and - services - Control of nonconforming outputs - Environment for the operation of processes - Follow up of previous finding (if applicable)	JD		7.5.1, 8.1, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.5.5, 8.5.6, 8.6, 8.7, 7.1.4
11	3:00 – 4:00 PM	HRDD -Learning/Professional Development and Management for Teachers and School Leaders, and Human Resource Management and Development	- General documented information - Production and service provision (control/ identification & traceability/ customer & external property/ preservation/ post-delivery activities/ changes control) - Environment for the operation of processes - Follow up of previous finding (if applicable)	RB		7.5.1, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.5.5, 8.5.6, 7.1.4
12	4:00 – 5:00 PM	FTAD -Organization Management and Project Management	- General documented information - Operational planning and control - Production and service provision (control/ identification & traceability/ customer & external property/ preservation/ post-delivery activities/ changes control) - Release of products and - services - Control of nonconforming outputs - Environment for the operation of processes - Follow up of previous finding (if applicable)	JD		7.5.1, 8.1, 8.5.1, 8.5.2, 8.5.3, 8.5.4, 8.5.5, 8.5.6, 8.6, 8.7, 7.1.4
13	4:00 – 5:00 PM	ASD -Human Resource Management	- People - Competence - Awareness - Communication	RB		7.1.2, 7.2, 7.3, 7.4

TÜVNORD

Audit Plan (1st Surveillance)

Organisation Department of Education Region 1 (Ilocos Region)
Audits(ZA) SE930571

1. Audit Day (04.08.2025)						
Nr.	**Time** [1)]	**Site / shift / Business unit**	**Processes** (optional entry)	**Auditor** (Initials)	**Contact** [2)]	**Focus / Standard Requirement / Chapter / Clause**
			- Follow up of previous finding (if applicable)			
14	5:00 – 5:30 PM		- Consolidation and Closing Meeting Preparation	Audit Team		
15	5:30 – 6:00 PM		- Closing Meeting	Audit Team		
16	6:00 PM		- End of Audit			
[1)] from to; Modifications are possible				[2)] to be defined by client		

Distribution	
Organisation, audit team, audit documentation,	
Editor	
Date:	07.08.2025
Person in charge:	Ivan Felix Herrera

Objective evidences

Please have the evidences listed below ready for access by the audit team.

As required (but at least in initial/recertification or extension audits) copies of these objective evidences shall be provided to the audit team in an appropriate form to be included in the audit file. If necessary, confidential information in these dedicated copies may be blacked.

- Valid entry in professional or commercial register (or comparable evidence) - if applicable
- Organization chart/evidence of organization
- Company policy for audited management system(s)
- Overview of management system documentation (e.g. table of contents or presentation of the structure of the management system documentation, process map)
- Result of management review (e.g. cover sheet or table of contents with date and signature)
- Current annual planning of internal audits and evidence of audit report(s) (e.g.: cover sheet with date and signature)
- Standard-specific evidence, as applicable (e.g. ISO 14001: extract of environmental permit register; ISO 27001: statement of applicability, ISO 45001: accident statistics; ISO 50001: energy report as cover sheet with date and signature or evidence of continual energy performance improvement)

Explanations:
Audit objectives: ▪ determination of the conformity of the management system of the organization with the requirements of the aforementioned standards in order to achieve or maintain certification through an independent and accredited certification body; ▪ determination of the ability of the management system to ensure the organization meets applicable statutory, regulatory and contractual requirements; ▪ determination of the effectiveness of the management system to ensure the organization can reasonably expect to achieve its specified objectives; ▪ identification of areas for potential improvement of the management system. The audit report is drawn up in German or English language and should describe if and how far the requirements of the aforementioned standards are fulfilled. If some requirements of the aforementioned standards are assessed as "not fulfilled" in the audit, it is possible to demonstrate subsequent fulfilment in the form of a review of documents submitted later and/or in the form of a follow up audit at the company premises, depending on the type of nonconformity. Any objections to the planned form of the audit should be discussed and solved between the organisation and the audit team leader before the audit. Any objections to members of the audit team shall be communicated to the certification body. All members of the audit team have declared to the certification body in writing that they will keep confidential all information which becomes known to them during the course of the audit and that no inappropriate conflict of interest exists (see Annex).

Annexes (for certification body only):
▪ List of participants ▪ Declaration regarding Independence/Confidentiality/Appointments