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1.0 Objectives

- 1.1 To provide guidelines in planning, preparing, and performing internal QMS audit.
- 1.2 To provide guidelines in reporting audit results and following up status of actions taken to address nonconformities found during the audit.

2.0 Scope

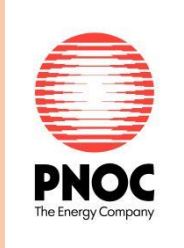
This procedure covers all processes, functions, and operational areas covered by PNOC QMS.

3.0 Definition of Terms

- 3.1 Audit – a systematic and documented process of obtaining objective evidence of conformity to a standard or criteria
- 3.2 Auditee – a person or function being audited
- 3.3 Audit findings – result of evaluating audit evidence against the criteria; it can be conformity, nonconformity, or observation
- 3.4 Auditor – a person with competence to conduct quality, environment, health, and safety management system audit
- 3.5 Nonconformity (NC) – a non-fulfillment of a specified requirement of the standards, policy, procedures, and other planned arrangements

4.0 References

- 4.1 ISO 19011:2018 – Guidelines for Auditing Management Systems
- 4.2 ISO 9001:2015 Quality Management System

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5.0 Policies and Guidelines

5.1 General

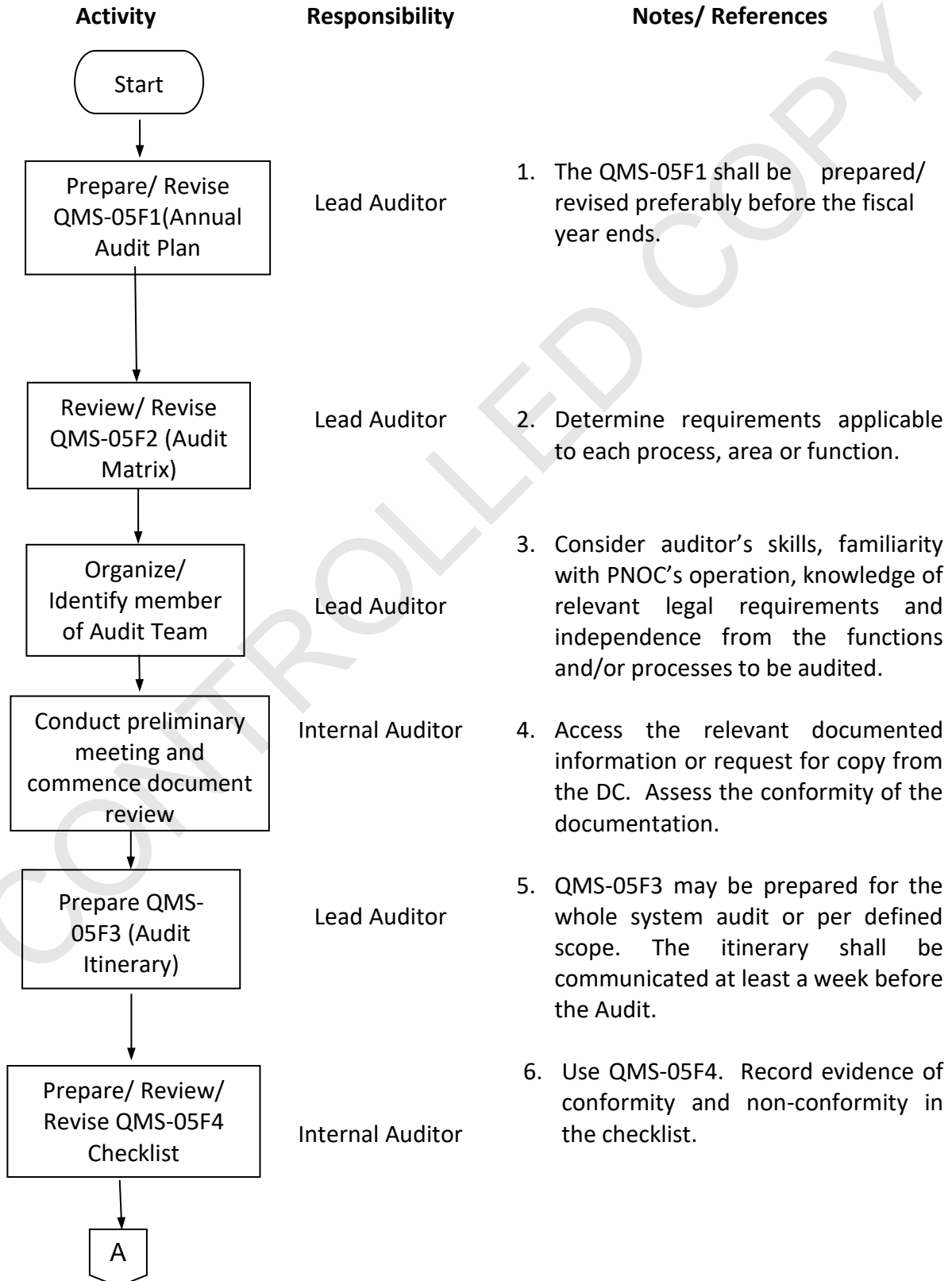
- 5.1.1 The entire QMS shall be audited at least once a year, taking into consideration the status and importance of the processes/ areas/ functions to be audited and results of previous audits.
- 5.1.2 The head of the audited area/unit shall be responsible in ensuring that nonconformities and observations detected during the audit are addressed promptly.
- 5.1.3 If nonconformities were found during the audit, the lead auditor shall follow up and verify the actions taken within 2 weeks after the date committed by the action party/ auditee.
- 5.1.4 If there were no nonconformities, monitoring of observations will be done by the Internal Audit Office as to the compliance to the action plans before the next scheduled audit.


5.2 Internal auditors' competence program

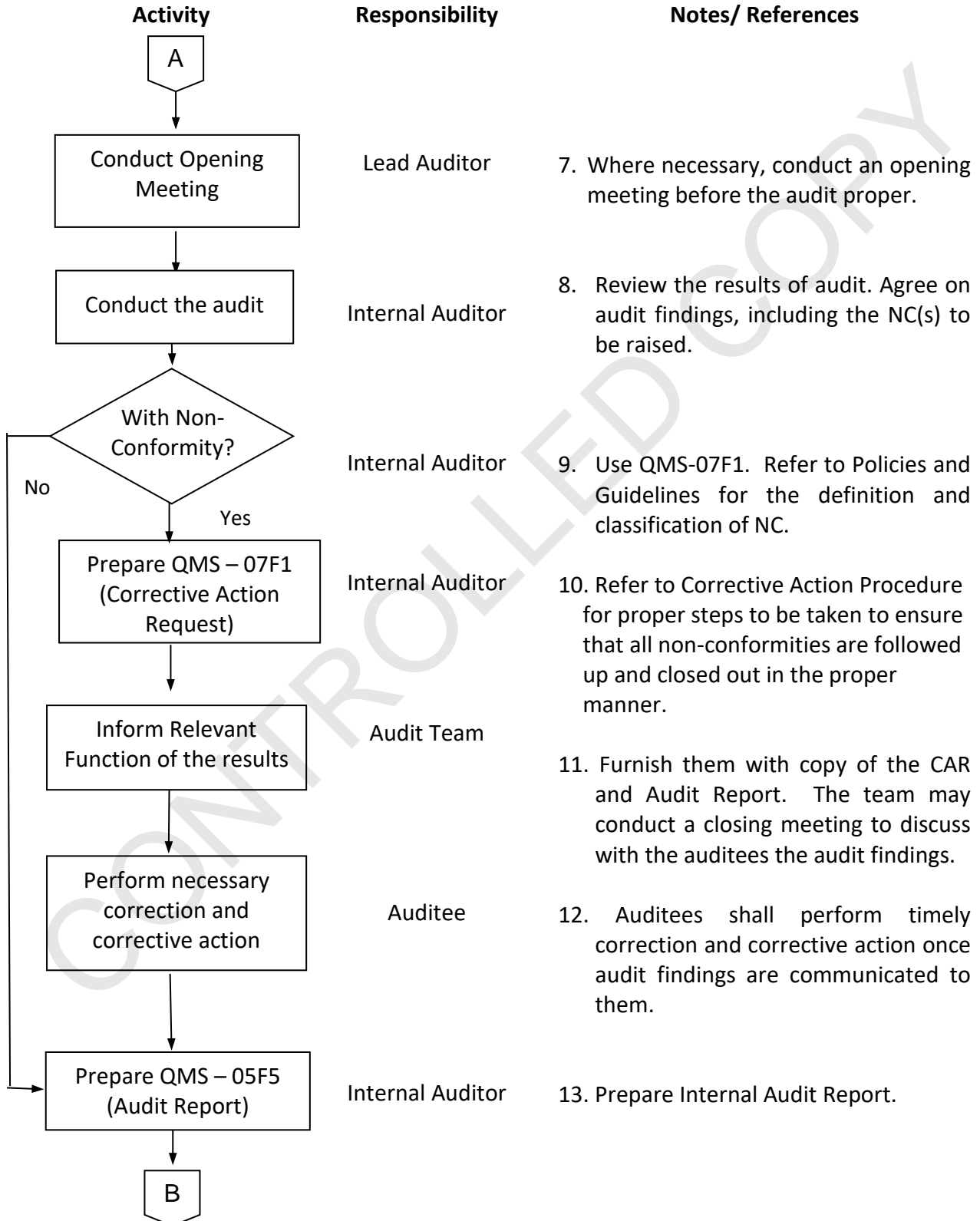
- 5.2.1 Internal Auditors shall follow a training program to ensure their competence.
- 5.2.2 Internal Auditors will not be allowed to audit his/her own process
- 5.2.3 Auditors' training shall be planned and monitored.
- 5.2.4 Internal Auditors shall complete the minimum requirements as follows:
 - 5.2.4.1 Understanding of requirements of ISO 9001:2015
 - 5.2.4.2 Basic internal auditing skills
 - 5.2.4.3 Understanding of PNOC's processes
- 5.2.5 Auditors shall be allowed to audit only the areas and processes where they have sufficient competence. Those who have training gaps shall be:
 - 5.2.5.1 Allowed to audit under the supervision of an audit team leader
 - 5.2.5.2 Required to complete training deficiencies
 - 5.2.5.3 Included in subsequent auditor training programs


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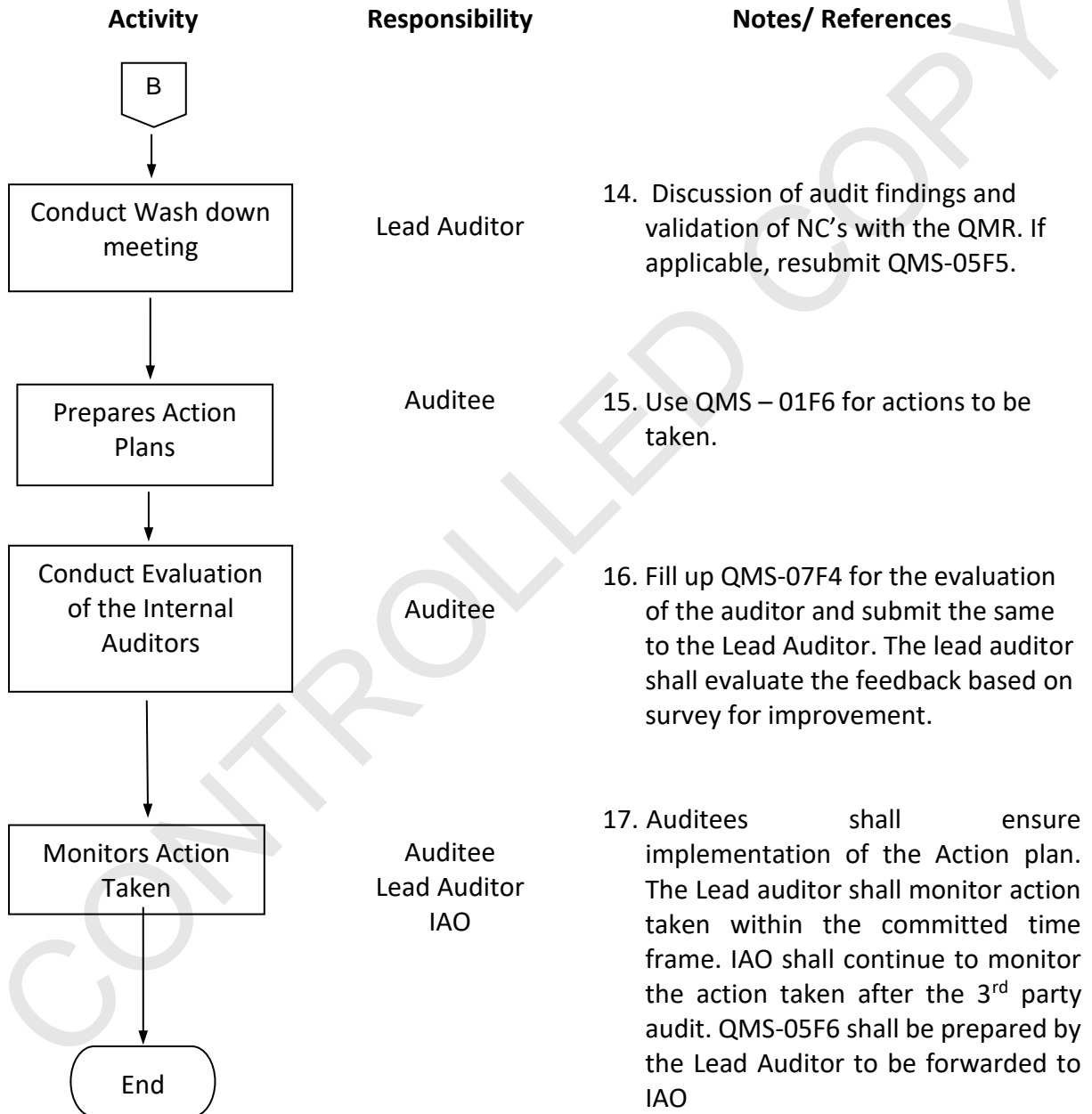
6.0 Details




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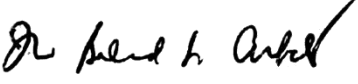

7.0 Records/ Files Generated

QMS-05A1 Classification of Audit Findings
 QMS-05F1 Annual Audit Plan
 QMS-05F2 Audit Matrix
 QMS-05F3 Audit Itinerary
 QMS-05F4 IA Checklist
 QMS-05F5 Audit Report
 QMS-05F6 Monitoring of Observations
 QMS-05F7 Internal Auditors Training Matrix

8.0 Attachments

Sample Forms

Rev. No.	Affected pages/ section	Revision History
0	-	New version of PNOC QMS; to include PNOC Energy Supply Base and PNOC Industrial Park.
1	Page 4 to 6	To include in the process the document review and evaluation of internal auditors
2	All pages	Section 1 – to correct the word “unconformities” to “nonconformities” Section 5 – minor revisions on 5.1.2, 5.1.3 and 5.1.4 for clarity of the statement - Include 5.2.2 this statement “Internal Auditors will not be allowed to audit his/her own process” Section 6 – indicated the form number of the forms being mentioned - Added activity for the conduct of preliminary meeting, washdown meeting, preparation of action plan and monitoring of the action taken Change in effectivity dates

Prepared by	Reviewed by	Approved by
 J. R. Racho	 M. B. L. Cubelo	 Atty. G. M. Barleta
Lead Auditor	Deputy QMR	SVP Energy Business



PHILIPPINE NATIONAL OIL COMPANY
 Energy Center, Bonifacio Global City, Taguig City

ANNUAL AUDIT PLAN FOR Year 2020
 As of September 1, 2020

QMS-05F1 Rev.0

AUDITEE - PROCESS/ FUNCTION/ DPEARTMENT/ DIVISION	SCHEDULE												REMARKS	
	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC		
16. Admin - Property Management division														
17. Corporate Relations Division														
18. Office of the Corporate Secretary														
19. Internal Audit Office														

L1	Internal	L3 – 3 Party
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Prepared by: _____ Date: _____
 (Signature over printed name)
Lead Internal QMS Auditor

Approved by: _____ Date: _____
 (Signature over printed name)
SVP for Energy Business



PHILIPPINE NATIONAL OIL COMPANY
Energy Center, Bonifacio Global City, Taguig City

INTERNAL QMS AUDIT MATRIX
QMS-05F2 Rev.0

ISO 9001	Requirements	Planning				Core				SUPPORT										REMARKS		
		TOP	QMS	DCC	IOA	SMO	AMD	PMD	BRDD	OGC	TRD	MIS	PAD	PSD	GSD	ProcMD	PropMD	CRD	OCS		IAO	
2015	Departments																					
8.1	Operational Planning and Control					X	X	X	X	X	X	X	X	X	X	X	X	X		X		
8.2.1	Customer Communication						X	X	X													
8.2.2/ 8.2.3	Determination/ Review of Requirements Related to the Products and Services						X	X	X	X												
8.3	Design and Development	NA																				
8.4	Control of externally provided process, products, and services					X								X	X	X						
8.5.1	Control of Production and Services Provision					X	X	X	X	X	X	X	X	X	X	X	X	X		X		
8.5.2	Identification and Traceability					O	O	O	O	O	O	O	O	O	O	X	X	O		O		
8.5.3	Property of Customers and Providers														O							
8.5.4	Preservation of Product															X	X					
8.5.5	Post Delivery Activities	NA															X					
8.5.6	Control of Changes					O	O	O	O	O	O	O	O	O	O	O	O	O		O		
8.6	Release of products and services					X	X	X	X	X	X	X	X	X	X	X	X	X		X		
8.7	Control of Non-conforming Output					X	X	X	X	X	X	X	X	X	X	X	X	X		X		
9.1	Monitoring, Measurement, Analysis, and Evaluation		X		X	X	X	X	X	X	X	X	X	X	X	X	X	X		X		
9.1.2	Customer Satisfaction		X		X																	
9.2	Internal Audit				X																	
9.3	Management Review	X	X																			
10.2	Corrective Action		X		X	O	O	O	O	O	O	O	O	O	O	O	O	O		O		
10.3	Continual Improvement		X		X	O	O	O	O	O	O	O	O	O	O	O	O	O		O		

Legend:

- X Main Auditable Items; process owner
- O Minor auditable items; familiarity or contribution only



INTERNAL AUDIT ITINERARY
QMS-05F3 Rev.0

Site	
Lead Auditor:	
Auditors:	
Audit Scope	
Audit Objectives:	
Reference Standards/ Criteria:	

Time	Department/ Processes/ Function	Audit Element/ Activity	Auditor

Prepared by _____
(Signature over printed name)
Lead Internal QMS/IMS Auditor

Approved by: _____
(Signature over printed name)
SVP for Energy Business



INTERNAL QMS AUDIT CHECKLIST

QMS-05F4 Rev.0

Process/ Function/ Area		Date:	Auditor(s)
CLAUSE/ ITEM	REQUIREMENTS	Y/NC/ P/ Obs NA	REMARKS

CONTROLLED COPY

Auditors Signature: _____

Y – Yes, conforming; N – No or NC, nonconforming; P – partial/ Observation; N/A – not applicable at the time of the audit



AUDIT REPORT
QMS-05F5 Rev. 0

Auditor(s):		Date of Audit:
		Number of CARs: _____ (attach copy of CARs, if any):
Functions/ Department Audited		
Areas not covered during the audit		
General Observations		
Major Problem Areas		
Findings per Area		
Requirement/Clause	Observations	
Audit Conclusion		

Signature: _____
Team Leader



PHILIPPINE NATIONAL OIL COMPANY
Energy Center, Bonifacio Global City, Taguig City

MONITORING OF AUDIT OBSERVATIONS

QMS-05F6 Rev.0

ITEM NO	ISSUED FUNCTION/ DEPARTMENT	OBSERVATION	ACTION TAKEN	FOLLOW-UP REMARKS

Prepared by:

(Signature over Printed Name)
Auditor

Conforme

(Signature over Printed Name)
Auditee

Noted by:

(Signature over Printed Name)
Lead Internal Auditor



INTERNAL AUDITORS TRAINING MATRIX

QMS-05F7 Rev.0

Name of Auditor	Designation in the Audit Team	Training Requirements									Remarks
		ISO 9001 Appreciation	ISO 14001 Appreciation	ISO 45001 Appreciation	Documentation Course	Environmental Legal Requirements	OHS Legal requirements	Auditing Course			
1.	Chair										
2.	Vice Chair										
3.	Auditor										
4.	Auditor										
5.	Auditor										
6.	Auditor										
7.	Auditor										
8.	Auditor										
9.	Auditor										
10.	Auditor										
11.	Auditor										
12.	Auditor										
13.	Auditor										
14.	Auditor										
15.											
16.											

Prepared by _____

(Signature over printed name)
Internal QMS/IMS Audit Chair

Approved by: _____

(Signature over printed name)
Department Manager



PHILIPPINE NATIONAL OIL COMPANY
Fort Bonifacio, Taguig City

IQA SUMMARY OF FINDINGS
QMS-05F8

Process	Findings			Standard Requirement	Department	Audit Team	CAR / RCA / Action Plan	Auditees' Reply / Commitment
	Minor NC	Major NC	OFIs / Findings					

CONTROLLED COPY



PHILIPPINE NATIONAL OIL COMPANY
Energy Center, Bonifacio Global City, Taguig City

MONITORING OF AUDIT OBSERVATIONS

QMS-05F6 Rev.0

ITEM NO	ISSUED FUNCTION/ DEPARTMENT	OBSERVATION	ACTION TAKEN	FOLLOW-UP REMARKS

Prepared by:

Conforme

Noted by:

(Signature over Printed Name)

(Signature over Printed Name)

(Signature over Printed Name)

Auditor

Auditee

Lead Internal Auditor