

GUIDELINES ON THE COMPLIANCE WITH, AND VALIDATION OF, ISO QUALITY MANAGEMENT SYSTEM (QMS) CERTIFICATION/RECERTIFICATION

This annex shall serve as guidelines for agencies wherein the ISO QMS certification/recertification is the **ultimate requirement**, and for agencies wherein the ISO QMS certification/recertification **could serve as evidence**, for the *Process Results* criterion.

1.0 GUIDELINES IN DETERMINING COMPLIANCE WITH THE ISO QMS CERTIFICATION/RECERTIFICATION

- 1.1 **Only a valid ISO 9001:2015 QMS certification/recertification or the latest version of the ISO 9001 certification** is considered as compliance with the subject requirement.

Should a new version of the ISO 9001 be available during the year, agencies are encouraged to endeavor in migrating to said latest version as soon as possible.

The **certifications/recertifications must be valid as of December 31, 2022**, i.e., effectivity date indicated in the certificate. Accordingly, certifications/recertifications with an effectivity date starting January 1, 2023 onwards **shall not be considered** as compliance with said requirement.

Agencies are reminded that they must pursue **continued certification**, i.e., ensure that there is no gap or minimal gap in terms of the expiration of its previous certification and the effectivity date of its existing certification, except with justifiable reasons, e.g., change of certification body (CB) which may cause gap in the certification.

- 1.2 The **scope** of the QMS indicated in the agency's ISO QMS certification shall be as follows:

- a. For departments/agencies and state colleges and universities (SUCs), it shall include **two (2) critical services consisting of one (1) external core service and one (1) internal service**.

The definition of the external and internal services, as well as the parameters in identifying critical services, are enumerated under items 4.2.1 and 4.2.2 of AO 25 Memorandum Circular (MC) No. 2022-1, respectively.

b. For government-owned or-controlled corporations (GOCCs) under Governance Commission for GOCCs (GCG) and local water districts (LWDs) under Category A and B, the scope of their certification shall be based on the guidelines to be issued by the GCG and Local Water Utilities Administration (LWUA), respectively.

1.3 The ISO QMS certifications must be issued by any of the CBs accredited by the International Accreditation Forum (IAF) member.

However, the CBs which are duly **accredited by the Department of Trade and Industry - Philippine Accreditation Bureau (DTI-PAB)**¹ to certify the agencies' ISO QMS shall be preferred for the latter's provision of certain degree of control over CBs engaged by government agencies on their ISO QMS certification. This will better address the challenges in the validation process on acquiring information from CBs, among others. The DTI-PAB, aside from being an IAF member, is the recognized national accreditation body in the Philippines pursuant to Executive Order No. 802, s. 2009².

Beginning FY 2023, government agencies which are still in its certification journey or those which have expiring/expired contract, shall endeavor to obtain their certification/recertification from CBs accredited by the DTI-PAB.

1.4 The CBs contracted shall have been accredited to audit and certify QMS for the specified scopes which are deemed relevant to the nature and functions of the agency e.g., accreditation under ISO 9001 QMS for IAF 36 (Public Administration), IAF 37 (Education), and/or IAF 38 (Health and Social Work).

1.5 **Letters of attestation or similar documents issued by CBs** indicating that certification/recertification audits have been completed but still subject to approval of their Certificate Decision Maker³ **will not be considered** as compliance to the ISO QMS certification requirement.

1.6 As an alternative, ISO QMS-equivalent certifications are **considered** as compliance with the subject requirement. The following

¹ The list of the CBs accredited by DTI-PAB could be accessed at the DTI webpage (http://pabaccreditation.dti.gov.ph/public/public_mscb.php).

² *Strengthening and Recognizing the Philippine Accreditation Office Attached to the Department of Trade and Industry as the National Accreditation Body* dated May 18, 2009

³ As provided under **Clause 9.5 Certification Decision** of ISO/IEC 17021-1:2015 (*Conformity assessment – Requirements for bodies providing audit and certification of management systems*), the CB shall ensure that the persons or committees that make the decisions for granting or refusing certification, expanding or reducing the scope of certification, suspending or restoring certification, withdrawing certification or renewing certification are **different** from those who carried out the audits. Moreover, the Certificate Decision Maker may seek additional information or clarification from the audit team or other sources during its technical review with respect to, among others, the certification requirements, scope of certification, and the client's corrections and corrective actions for nonconformities, if any.

certifications/awards are considered equivalent to ISO 9001 certification inasmuch as they similarly ensure consistency of quality of products and services through quality processes enabling the provision of better service delivery and thereby enhancement of public sector performance:

- Philippine Quality Award (PQA)/Recognition (*for specific office concerned*)
- ISO/IEC 17025 or 17020 Accreditation
- Accrediting Agency of Chartered Colleges and Universities in the Philippines, Inc. (AACCU)P's Institutional Accreditation (*for SUCs*)
- Accreditation Canada International's Qmentum International Gold Award (*for hospitals*)
- Supreme Audit Institutions (SAI) Performance Measurement Framework (PMF) of the International Organization of SAIs (*for the Commission on Audit*)
- Universal Postal Union's Quality Management Certification (*for Philippine Postal Corporation*)

- 1.7 On the other hand, certifications **not included in the list will not be accepted** as equivalent to ISO 9001 certification and could not serve as compliance/evidence to the *Process Results* criterion.
- 1.8 Nonetheless, for departments/agencies and SUCs, they may opt to use other forms of evidence for the *Process Results* criterion as enumerated under item 4.2.3 of AO 25 MC No. 2022-1.

2.0 RESPONSIBILITIES OF PARTICIPATING AGENCIES

- 2.1 These responsibilities shall apply to agencies which will use the ISO QMS as a requirement/evidence for the *Process Results* criterion.
- 2.2 As stated in the notes of Modified Form A (columns 8 and 9) referred as Annex 2 of AO 25 MC No. 2022-1, the agencies concerned must indicate the **details of the certification with justifications**, e.g., the ISO QMS certification covers (i) internal service only, (ii) external service only, (iii) external but non-priority core service and internal service, and/or (iv) priority external core service and internal service.

Additional sheet/s may be provided for supporting information that would serve as justification.

- 2.3 To reiterate the required submissions, for the departments/agencies and SUCs, the deadline of **submission** of the Modified Form A, together with

the copy of said ISO certification/recertification and other pertinent documents as necessary, to the AO 25 Secretariat for the **Process Results** criterion shall **not be later than February 28, 2023**, consistent with item 8.2 of AO 25 MC No. 2022-1.

For GOCCs covered by the GCG and LWDs, the deadline of the submission of forms and/or posting of the ISO QMS certification/recertification in their respective websites, as applicable, shall be based on the guidelines to be issued by the GCG and LWUA, respectively.

2.4 In order to facilitate the conduct of the final validation of the submitted ISO certification/recertification with the CBs, agencies shall:

- Include a provision in the **contract with the winning CB** that they shall accommodate requests of Government Quality Management Committee (GQMC)-DBM Secretariat, i.e., Systems and Productivity Improvement Bureau (SPIB) and/or other oversight⁴/validating agencies for information or documents relative to their ISO QMS certification/recertification; or
- Submit an **authorization and consent to the CBs**, attached as **Annex 3.1** to provide information/documentation to the GQMC-DBM Secretariat and/or oversight/validating agencies relative to their ISO QMS certification/recertification.

Copy of the contract or authorization and consent form, shall be submitted to their respective CBs, copy furnished the DBM-SPIB at dbm-spib@dbm.gov.ph on or before **31 January 2023 or within fifteen (15) working days from the issuance of the Notice to Proceed by the agency to the CB, whichever comes earlier.**

Said authorization and consent form should be updated every time there will be a change in the head of the agency or authorized representative.

3.0 VALIDATING AGENCIES

3.1 The following **oversight agencies shall conduct the corresponding validation of the compliance** with the ISO QMS certification as evidence/requirement of their respective agency coverages:

- Commission on Higher Education for SUCs;
- GCG for GOCCs under its coverage; and
- LWUA for LWDs.

⁴ AO 25 Secretariat

For departments/agencies, the validation of their compliance shall be conducted by the AO 25 Composite Teams⁵.

- 3.2 These agencies and AO 25 Composite Teams responsible for the validation of the ISO QMS certification compliance may hereinafter referred to as the "validating agencies".

4.0 VALIDATION PERIOD

- 4.1 The validating agencies shall conduct the validation on agency compliance with the ISO QMS certification requirement from **March 1, 2023** until **April 21, 2023**.

On the other hand, the AO 25 Composite Teams, as the validating entity for the departments/agencies, shall determine the ratings of agencies during the Composite Team Reviews within the same period.

5.0 RESPONSIBILITIES OF THE VALIDATING AGENCIES

- 5.1 Upon receipt of the agency submissions, the **validating agency⁶ shall proceed with the validation of the submissions of agencies** within their respective coverages. The results of such validation shall be reported using the template herein attached as **Annex 3.2**. The Annex 3.2 shall include detailed information on the agency submission, and the compliance status and equivalent rating, as applicable, of the agency as to the ISO QMS certification as evidence/requirement:

- For departments/agencies and SUCs, the validating agency shall indicate the corresponding rating, in accordance with item 4.2 of AO 25 MC No. 2022-1.
- For LWDs and GOCCs covered by the GCG, the determination of compliance status of the agencies shall be based on the guidelines to be issued by the LWUA and GCG, respectively.

⁵ Created by the AO 25 Technical Working Group to evaluate the agency submissions on the PBB streamlining and process improvements, and citizen/client satisfaction results requirement of the PBB. Each composite team include member/s from the following agencies: DBM, Office of the President, Presidential Management Staff, Department of Finance, National Economic Development Authority, Civil Service Commission, Commission on Audit, Presidential Communications Operations Office, Development Academy of the Philippines, Anti-Red Tape Authority and DTL.

⁶ For departments/agencies, constitutional offices, other executive offices, and GOCCs under DBM, the AO 25 Secretariat shall accomplish the same.

The reason for non-compliance shall also be indicated in column [8] using the following codes:

Code	Description
N	No submitted ISO 9001 certification or equivalent certification/accreditation , nor any ISO QMS-related documents
Q	Submitted QMS Documents only (Quality Manual, Internal Quality Audit Certification and/or Management Review minutes)
E	ISO 9001 certification or equivalent certification/accreditation is invalid or has expired
A	Submitted Attestation/Confirmation Letter/Audit Report from CB only
U	Submitted documents are unnecessary which are not only not required under the guidelines but also not considered as QMS documents (e.g., office orders, memorandum of agreement with Development Academy of the Philippines, Human Resources manual/handbook, program-based AACCUP accreditation, certification from the agency head/QMS consultant on the agency's QMS efforts)
B	Validity of the ISO 9001 certification or equivalent certification/accreditation commences beyond the December 31, 2022 deadline
C	Scope covered by the ISO QMS certification or equivalent certification/accreditation is not based on the requirement (<i>only applicable to agencies which the ISO QMS certification/recertification is the ultimate requirement</i>)

- 5.2 Said annexes shall be duly signed by the authorized personnel of the validating agency.
- 5.3 The CHED, GCG and LWUA shall submit to the AO 25 IATF at ao25secretariat@dap.edu.ph, copy furnish the GQMC-DBM Secretariat at dbm-spib@dbm.gov.ph, on or before ten (10) working days after the validation period i.e., **on or before May 8, 2023**, the accomplished **Annex 3.2** with the ISO QMS certification as evidence/requirement and Modified Form A, as applicable, for processing/information, whichever is applicable.

6.0 RESPONSIBILITIES OF THE GQMC-DBM SECRETARIAT

- 6.1 Upon receipt of the initial reports from oversight agencies, the GQMC-DBM Secretariat shall consolidate the same for confirmation by the CBs/Accrediting Agencies.

- 6.2 Accordingly, the GQMC-DBM Secretariat shall provide the final reports on the validation, or in case of no changes, confirmation of the initial reports of the validating agencies, to the AO 25 IATF on or before twenty (20) working days after the submission of the initial findings, i.e., **on or before June 5, 2023.**
- 6.3 In case of changes in the ratings or compliance status of the agencies, specifically the GOCCs under GCG and LWDs, after the submission of the final report to the AO 25 IATF, the GQMC-DBM Secretariat shall submit a revised report on the summary of findings on the agencies' compliance to the AO 25 IATF, as it deems necessary e.g., if the rating or status of fifty percent (50%) of the agencies has been changed. Such changes could be as follows:
- a. the request for reconsideration/exemption of an agency has been granted; and
 - b. the status of the ISO QMS certification of the agency was confirmed only after the validation period/submission of final report to the AO 25 IATF.

The Annex 3.2 shall be updated to reflect the changes in the rating or compliance of the agencies concerned, and shall be submitted together with the revised report on the summary of findings.

However, if there is only **less than** fifty percent (50%) change in the rating or compliance status of aforesaid agencies, the GQMC-DBM Secretariat shall inform the AO 25 Secretariat on said changes but the revision of the reports need not be made.

7.0 RESPONSIBILITIES OF THE CBs

- 7.1 The CBs shall provide necessary information and/or clarifications to the GQMC-DBM Secretariat in relation to the submitted ISO QMS certification/recertification by the participating agencies.
- 7.2 To facilitate the conduct of verification by the GQMC-DBM Secretariat (SPIB) from the CBs, the latter are encouraged to provide their respective contact persons and contact information by sending an e-mail to dbm-spib@dbm.gov.ph on or before **December 31, 2022.**

8.0 REQUESTS FOR RECONSIDERATION AND EXEMPTION

- 8.1 For departments/agencies and SUCs, as the ISO QMS certification/recertification only serves as one of the possible pieces of proof or evidence for *Process Results* criterion, instead of requesting reconsideration, they may resort to presenting other pieces of evidence for the *Process Results* criterion other than ISO QMS certification/recertification.
- 8.2 An agency subject for compliance with the ISO QMS certification **requirement** that is deemed non-compliant may request for the following, **within thirty (30) calendar days** from the posting of the result of validation for the ISO QMS certification as a requirement or evidence in the Results-Based Performance Management System website (<https://rbpms.dap.edu.ph/>)
- A reconsideration based on justifiable reasons and factors that are considered beyond the control of the agency e.g., errors in the validity period of the certification as prepared by the CB/accrediting agency; or
 - An exemption in view of circumstances which make it impossible for agencies to comply with the ISO QMS requirements such as an ongoing agency restructuring, functional and organizational modifications and other related circumstances which may result in the agency's failure to effectively implement key activities of its documented QMS, thereby hindering its attainment of an ISO QMS certification or could constitute as a ground for suspension/cancellation/withdrawal of its existing ISO QMS certification.
- 8.3 The foregoing requests for reconsideration and exemption shall be addressed to the DBM Organization and Systems Improvement Functional Group Head, thru the DBM-GQMC Secretariat (SPIB) and submit via email at dbm-spib@dbm.gov.ph for proper evaluation. After finalization of the evaluation, the GQMC shall inform the agency concerned of the action to said request/s copy furnish the validating agency concerned and AO 25 Secretariat.

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