



GOVERNMENT QUALITY MANAGEMENT COMMITTEE (GQMC)

MEMORANDUM CIRCULAR NO. 2021-1

02 December 2021

To : All Heads of Departments, Bureaus, Offices and Other Agencies of the National Government, including the Constitutional Commissions, Other Executive Offices (OEOs), Congress, The Judiciary, Office of the Ombudsman, State Universities and Colleges (SUCs), Government-Owned or -Controlled Corporations (GOCCs), and Local Water Districts (LWDs)

Subject : GUIDELINES ON THE VALIDATION OF ISO QUALITY MANAGEMENT SYSTEM (QMS) CERTIFICATION/ RECERTIFICATION SUBMITTED AS EVIDENCE OF COMPLIANCE FOR A CRITERION OR REQUIREMENT FOR THE GRANT OF THE FISCAL YEAR (FY) 2021 PERFORMANCE-BASED BONUS (PBB)

1.0 BACKGROUND

- 1.1 Administrative Order No. 25 (AO 25) Inter-Agency Task Force¹ (IATF) Memorandum Circular (MC) No. 2021-1² prescribes the criteria and conditions for the grant of the PBB for FY 2021, wherein the ISO QMS certification could serve as evidence for compliance with one of the criteria.
- 1.2 Specifically, per **item 4.2 of AO 25 MC No. 2021-1**, the target under the ***process results*** criterion is the **greater ease of transaction of frontline services** covering all government-to-citizens (G2C), government-to-businesses (G2B), and government-to-government (G2G) transactions through streamlining and standardization of frontline services, digitization, and other process improvements for faster and more efficient public service delivery.

¹ Created by virtue of Administrative Order No. 25, s. 2011 dated December 21, 2011

² Guidelines on the Grant of the Performance-Based Bonus (PBB) for Fiscal Year (FY) 2021 under Executive Order No. 80, s. 2012 and Executive Order No. 201, s. 2016 dated June 3, 2021

1.3 Accordingly, agencies are required to report and provide an objectively verifiable **evidence** of their achievements in the ease of doing business or ease of transaction from the perspective of the transacting public as a result of the streamlining/standardization of services e.g., actual reduction in processing time, documentary requirements, transaction costs, and other tangible improvements:

- For **departments/agencies and GOCCs covered by the DBM**, an ISO-certified QMS or its equivalent certification for frontline services, a service delivery standards manual, and the like may be used as evidence.
- For **SUCs**, an ISO-certified QMS or its equivalent certification of frontline services is a requirement.

1.4 Oversight agencies such as the Governance Commission for GOCCs (GCG) and Local Water Utilities Administration (LWUA) likewise issued the specific guidelines for the grant of the FY 2021 PBB for agencies under their coverage, i.e., for GOCCs and LWDs, respectively:

- For **GOCCs under the coverage of the GCG**, per item 4.3 of GCG MC No. 2021-02³ dated September 6, 2021, all GOCCs are required to comply with, among other conditions and requirements (OCRs), the maintenance and/or attainment of certification on the QMS or its equivalent certification.
- For **Categories A and B LWDs⁴**, per item 4.2 of Department of Budget and Management (DBM)-LWUA Joint MC No. 2021-1⁵ dated October 19, 2021, the target is to assure quality of service delivery through ISO-certified QMS or its equivalent certification for frontline services.

1.5 The GQMC, pursuant to Executive Order (EO) No. 605⁶ dated February 23, 2007, is responsible for steering and providing policy direction in the implementation of the Government Quality Management Program whose primary objective is to promote and enhance public sector performance through the adoption of ISO 9001 QMS in all agencies of government.

Accordingly, the GQMC has been tasked to validate the agencies' compliance with the aforesaid ISO 9001:2015 QMS certification requirement since the FY 2015 PBB cycle.

³ *Good Governance Conditions (GCGs) and Other Conditions and Requirements (OCRs) for the Grant of Interim Performance-Based Bonus (PBB)*
⁴ For Categories C and D LWDs, the Commercial Practices System certification, which is an accounting system prescribed by the LWUA, will be used
⁵ *Guidelines on the Grant of Fiscal Year 2021 Performance-Based Bonus (PBB) for Local Water Districts (LWDs) issued Pursuant to Executive Order (EO) No. 80, s. 2012, EO No. 201, s. 2016 and Administrative Order No. 25 Inter-Agency Task Force (IATF) Memorandum Circular No. 2021-1*
⁶ *Institutionalizing the Structure, Mechanisms and Standards to Implement the Government Quality Management Program, Amending for the Purpose Administrative Order No. 161, s. 2006*

- 1.6 For the FY 2021 PBB cycle, in recognition of the nature of ISO QMS certification as a standard requirement or proof of compliance in the PBB grant, agencies including oversight agencies are expected to be familiar with the specific details of the ISO QMS certification to be satisfied for the same to be used as evidence or proof of compliance.

2.0 PURPOSE

This MC is being issued to prescribe the guidelines concerning the validation of the agencies' ISO QMS certifications/recertifications submitted as evidence of compliance with the *process results* criterion of the PBB.

3.0 COVERAGE

This MC covers all departments, bureaus, offices, and other agencies of the National Government, including Constitutional Commissions, OEOs, Congress, the Judiciary, Office of the Ombudsman, SUCs, GOCCs, and LWDs, consistent with item 2.0 of AO 25 MC No. 2021-1.

4.0 VALIDATING AGENCIES

- 4.1 For the FY 2021 PBB cycle, the following **oversight agencies shall conduct the corresponding validation of the compliance** with the ISO QMS certification requirement of their respective agency coverages:

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

For departments/agencies, Constitutional Commissions, Office of the Ombudsman, OEOs and GOCCs under the coverage of the DBM⁷ (henceforth collectively referred as "departments/agencies"), the validation of their compliance shall be conducted by the AO 25 Composite Teams⁸.

- 4.2 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".

⁷ The list of departments/agencies, OEOs, constitutional commissions/offices such as Civil Service Commission, Commission on Audit, Commission on Human Rights, Office of the Ombudsman (except for the GOCCs under the DBM) which are participating for the FY 2021 PBB cycle are provided under Annex 1: Master List of Departments and Agencies of AO 25 MC No. 2021-1.

⁸ Created by the AO 25 TWG 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 Department of Trade and Industry.

5.0 GUIDELINES IN DETERMINING COMPLIANCE WITH THE ISO 9001:2015 QMS CERTIFICATION AS EVIDENCE FOR THE PROCESS RESULTS CRITERION

- 5.1 A valid ISO 9001:2015 QMS certification/recertification is considered as compliance with the subject requirement.

As an alternative, ISO 9001:2015 QMS-equivalent certifications e.g., Philippine Quality Award, ISO/IEC 17025 or 17020 Accreditation, and Accrediting Agency of Chartered Colleges and Universities in the Philippines, Inc. (AACCUP)'s Institutional Accreditation, **are likewise considered as compliance with the ISO QMS certification requirement.**

Letters of attestation or similar documents issued by certification bodies (CBs) indicating that certification/recertification audits have been completed but still subject to approval of their Certificate Decision Maker⁹ **will not be considered** as compliance to the ISO QMS requirement.

- 5.2 The **certifications/recertifications must be valid as of December 31, 2021** e.g., effectivity date indicated in the certificate.

Accordingly, certifications/recertifications with an effectivity date starting January 1, 2022 onwards **shall not be considered** as compliance with said requirement for the FY 2021 PBB cycle.

- 5.3 The **scope** of the QMS indicated in the agency's ISO 9001:2015 certificate shall be as follows:

- For departments/agencies, including constitutional commissions and OEOs, and GOCCs under the DBM (if ISO certification would be used as evidence for the *process results*), and SUCs per AO 25 MC No. 2021-1, it can range from only for non-frontline services to all frontline services.
- For GOCCs under GCG and LWDs under Category A and B, the certification shall cover **at least one (1) critical frontline service or core process** as mandated under its existing pertinent laws.

- 5.4 The ISO 9001:2015 QMS certifications must be issued by any of the CBs accredited by the International Accreditation Forum (IAF) member.

⁹ 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.

However, the CBs which are duly **accredited by the Department of Trade and Industry - Philippine Accreditation Bureau (DTI-PAB)** to certify the agencies' ISO QMS shall be preferred. 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. 2009¹⁰.

- 5.5 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).

6.0 RESPONSIBILITIES OF AGENCIES

- 6.1 To facilitate the validation of the compliance by the agencies with the *process results* criterion based on the achievement of ISO QMS certification or its equivalent certification, in the submission of Modified Form A (columns 8 and 9) as required under AO 25 MC No. 2021-1, the agencies concerned must indicate the status of the certification of its frontline services or non-frontline services e.g., "____ (Actual no. of frontline/non-frontline services that are ISO 9001-certified) out of ____ (total no. of frontline/non-frontline services) or ____% of our frontline/non-frontline services are already certified with the ISO 9001:2015 Standard."

The list of frontline/non-frontline services of the agency and/or any supporting information could be provided in a separate sheet for justification purposes.

- 6.2 To reiterate the required submissions under pertinent issuances, 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, 2022**, consistent with item 8.2 of AO 25 MC No. 2021-1.

Likewise, per Section 8.1 of DBM-LWUA Joint MC, LWDs should submit Forms A and A1, together with the copy of said ISO certification/recertification and other pertinent documents, as evidence of accomplishments of *process results*, among others, to the LWUA **on or before March 31, 2022**.

In the case of the GOCCs covered by the GCG, the agencies concerned shall post a copy of their ISO QMS certification/recertification in their respective websites **on or before December 31, 2021**.

¹⁰ *Strengthening and Recognizing the Philippine Accreditation Office Attached to the Department of Trade and Industry as the National Accreditation Body* dated May 18, 2009

- 6.3 Consistent with item 8.2 of AO 25 MC, departments and agencies, including SUCs and LWDs, are encouraged to make an electronic submission i.e., a scanned copy of the ISO QMS certification/recertification and editable MS Word or Excel files for its Modified Form A and justification.
- 6.4 For this purpose, the AO 25 IATF will provide the relevant validating agencies with a soft copy of the foregoing submissions by the agencies concerned within five (5) working days from receipt.

7.0 VALIDATION PERIOD AND PROCESS

- 7.1 The validating agencies shall conduct the validation on agency compliance with the ISO 9001:2015 QMS certification requirement from March 1, 2022¹¹ until **April 30, 2022**.
- 7.2 Upon receipt of the agency submissions as noted in Item 6.0 hereof, the validating agency¹² 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 A**. The Annex A 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 requirement:
- For departments/agencies and SUCs, the validating agency shall indicate the corresponding rating, in accordance with AO 25 MC No. 2021-1:

Rating Scale for Process Results				
1	2	3	4	5
No demonstrated standardization/quality assurance	Achieved ISO-certification or its equivalent certification only for non-frontline services	Achieved ISO-certification or its equivalent certification for less than 80% of frontline services	Achieved ISO-certification or its equivalent certification for at least 80% of frontline services	Achieved ISO-certification or its equivalent certification for all frontline services

- For LWDs, compliance would render **7 points** while **non-compliance would result ineligibility** for the grant of the FY 2021 PBB, per DBM-LWUA Joint MC No. 2021-1.
- For GOCCs under GCG, compliance with the ISO QMS requirement shall serve as basis in determining the units that will be isolated from the PBB grant.

¹¹ For departments/agencies and SUCs, the conduct of the corresponding validation as early as March 1, 2022 is feasible inasmuch as the deadline for both the submission of *process results* evidence of departments/agencies to AO 25 Secretariat is February 28, 2022.

¹² For departments/agencies, constitutional offices, OEOs, and GOCCs under DBM, the AO 25 Secretariat shall accomplish the same

In case the rating/compliance of the agency could not be determined at the time of validation, the validating agency may indicate "pending validation"¹³.

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, Procedures and Work Instructions 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 AACUP 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, 2021 deadline
C	Scope covered by the ISO 9001 certification or equivalent certification/accreditation is not a core process/critical frontline service (only applicable to GOCCs and LWDs)

7.3 The validating agencies¹⁴ shall accomplish **Annex B**, which shall be submitted along with Annex A, to summarize the findings on the agencies' compliance. Said validating agencies shall:

- Indicate how many agencies are (a) compliant; (b) non-compliant; (c) pending validation; and (d) exempted/non-participating with the ISO QMS certification requirement/evidence, and their corresponding percentages; and
- Indicate the no. of agencies which are non-compliant per reasons of non-compliance.

7.4 In case of changes in the ratings or compliance status of the agencies, specifically the SUCs, GOCCs under GCG and LWDs, after the submission of the initial report, the CHED, GCG and LWUA shall submit a revised report on the summary of findings on the agencies' compliance using the **Annex C**. Such changes could be as follows:

- the request for reconsideration/exemption of an agency has been granted; and

¹³ For reasons such as the CB has not yet provided a list of government agencies with valid ISO QMS certifications as of December 31, 2021

¹⁴ For departments/agencies, constitutional offices, DEOs, and GOCCs under DBM, the AO 25 Secretariat shall accomplish the same

- the status of the ISO QMS certification of the agency was confirmed only after the validation period.

The Annex A shall be updated to reflect the changes in the rating or compliance of the agencies concerned, and shall be submitted together with the Annex C.

The updated Annex A and Annex C could be submitted by the validating agency concerned as they deem necessary e.g., if the rating or status of fifty percent (50%) of the agencies were changed.

- 7.5 Said annexes shall be duly signed by the authorized personnel of the validating agency.

8.0 VALIDATION RESULT

- 8.1 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 fifteen (15) days after the validation period i.e., **on or before May 15, 2022**, its initial findings on the compliance of agencies with the ISO QMS certification as evidence/requirement, for processing/information, whichever is applicable.

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.

- 8.2 After receipt of these reports, the GQMC-DBM Secretariat shall consolidate the same for confirmation by the CBs/Accrediting Agencies.
- 8.3 Accordingly, the GQMC-DBM Secretariat shall provide the final reports on the validation using Annexes A and B, or in case of no changes, confirmation of the initial reports of the validating agencies, to the AO 25 IATF on or before forty-five (45) days after the validation period i.e., **on or before June 14, 2022**.

9.0 REQUESTS FOR RECONSIDERATION AND EXEMPTION

- 9.1 An agency, specifically an SUC, GOCC under the GCG coverage or an LWD, that is deemed non-compliant with the ISO QMS certification/recertification requirement may request for the following:
- 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 9001:2015 QMS certification.

9.2 The foregoing requests for reconsideration and exemption, including queries on the use of other ISO QMS-equivalent types of certifications (e.g., to determine if said certifications have QMS components) shall be addressed to the GQMC Chairperson i.e., the DBM Secretary, thru the DBM-GQMC Secretariat (SPIB) and submitted 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.

10.0 EFFECTS OF NON-COMPLIANCE

Consistent with item 6.1 of AO 25 MC No. 2021-1, the unit/s most responsible (including its head) for the criteria stated in Section 3.0 of said MC with a performance rating of below 4 will be isolated from the grant of the FY 2021 PBB.

Similarly, per item 4.3.1 of GCG MC No. 2021-02, officials and employees responsible for the compliance and implementation of the OCRs, shall not be entitled to the PBB for the applicable year if the GOCC fails to comply with any of said requirements.

For LWDs, per item 9.0 of DBM-LWUA Joint MC No. 2021-1, an LWD, which, after due process by the oversight agency, has been determined to have committed a prohibited act, shall be disqualified from the PBB in the succeeding year of its implementation.

11.0 APPLICABILITY TO THE CONSTITUTIONAL COMMISSIONS, CONGRESS AND JUDICIARY


The Constitutional Commissions, Congress and the Judiciary are encouraged to adopt these guidelines, as applicable, to be eligible for the FY 2021 PBB.

12.0 EFFECTIVITY

This MC shall take effect immediately upon its publication in a newspaper of general circulation or the Official Gazette, and filing at the University of the Philippines Law Center.

**DEPARTMENT OF BUDGET AND
MANAGEMENT**

By:


Undersecretary and Officer-in-Charge
Tina Rose Marie L. Canda
Chairperson

DEPARTMENT OF TRADE AND INDUSTRY

By:


Secretary Ramon M. Lopez
Co-Chairperson



**DEPARTMENT OF THE INTERIOR
AND LOCAL GOVERNMENT**

By:


Secretary Eduardo M. Año
Member



DILG OSEC 11292021 001

**OFFICE OF THE PRESIDENT-OFFICE
OF THE DEPUTY EXECUTIVE
SECRETARY FOR INTERNAL AUDIT**

By:


Deputy Executive Secretary Alberto A. Bernardo
Member

**DEVELOPMENT ACADEMY
OF THE PHILIPPINES**

By:


President Engelbert C. Caronan, Jr.
Member

Annex A

**Database of the Agencies' ISO QMS Certifications/Recertifications as Evidence or Proof of Compliance for the FY
2021 PBB Grant
(Agency Category)**

<i>Data from Agency Submissions</i>							<i>Analysis of the validating agency</i>	
Gov't Entities [1]	Type of Certification/ Accreditation [2]	Site/s Covered [3]	Effectivity of Certification [4]	Date of Expiration/ End of Validity [5]	Scope/ Processes [6]	Certification Body/ Accrediting Agency [7]	Compliance Status [8]	Rating (if applicable) [9]

Prepared by:

Name/Designation/Date

Reviewed by:

Name/Designation/Date

Approved by:

Head or Authorized Representative
of Oversight Agency/Date

Legends and Notes:

- [1] The name of the agency and acronym e.g., Department of Budget and Management (DBM)
- [2] The type of certification/accreditation of the agency e.g., ISO 9001:2015, Philippine Quality Award
- [3] The site/s of the agency certified with the ISO 9001 Standard as indicated in the certification
- [4] The date of effectivity of certification as indicated in the certification
- [5] The date of expiration of the certification as indicated in the certification or any information on recertification of the agency, e.g., date of recertification audit
- [6] The scope/processes certified with the ISO 9001 Standard as indicated in the certification
- [7] Name of the certification body/accrediting agency of the agency
- [8] The corresponding compliance status i.e., compliant, non-compliant, pending validation or exempted.
For departments/agencies, compliance status should only include compliant/non-compliant/pending validation.
For the non-compliant status, include the reason for non-compliance using the codes indicated under item 7.2 of the GQMC MC and report using the format: "Non-compliant [code]".
- [9] The equivalent rating of the agency as to the ISO QMS certification of the agency based on the rating matrix/scoring as provided under item 7.2 of the GQMC MC, as applicable. For GOCCs under GCG, this column may be disregarded.

**Summary of Findings on the Compliance of [Agency category, e.g., State Universities and Colleges] with the
ISO QMS certification as evidence of compliance for a criterion or requirement for the grant of the FY 2021
Performance-Based Bonus
(as of _____)**

AGENCY CATEGORY [1]	Compliant [2]		Non-Compliant [3]		Pending Validation [4]		Exempted/ Non- participating agencies [5]		Total [6]
	No.	%	No.	%	No.	%	No	%	No.
[e.g. SUCs]									
TOTAL									

As indicated in the table, ____ of the ____ (agency category) which participated in the FY 2021 PBB cycle or ____% are deemed compliant with the aforesaid requirements, while ____ *or* ____% entities are tagged as non-compliant due to the following reasons:

No.	Description
	No submitted ISO 9001 certification or equivalent certification/ accreditation, nor any ISO QMS-related documents
	Submitted QMS Documents only (Quality Manual, Procedures and Work Instructions Manual, Internal Quality Audit Certification and/or Management Review minutes)
	ISO 9001 certification or equivalent certification/accreditation is invalid or has expired
	Submitted Attestation/Confirmation Letter/Audit Report from CB only
	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

No.	Description
	manual/handbook, program-based AACUP accreditation, certification from the agency head/QMS consultant on the agency's QMS efforts)
	Validity of the ISO 9001 certification or equivalent certification/accreditation commences beyond the December 31, 2021 deadline
	Scope covered by the ISO 9001 or equivalent certification/accreditation is not a core process/critical frontline service (<i>only applicable to GOCCs and LWDs</i>)
	TOTAL

Prepared by:

Reviewed by:

Approved by:

Name/Designation/Date

Name/Designation/Date

Oversight Agency Head/Date

Legends and Notes:

- [1] The category of the agency i.e., departments/agencies, constitutional commissions/offices, other executive offices, government-owned or-controlled corporations, state universities and colleges and local water districts
- [2] The number of compliant agencies per category and the corresponding percentage (formula: no. of compliant agencies/total no. of participating agencies)
- [3] The number of non-compliant agencies per category and the corresponding percentage (formula: no. of non-compliant agencies/total no. of participating agencies)
- [4] The number of agencies tagged as "pending validation" and the corresponding percentage (formula: no. of agencies tagged as "pending validation"/total no. of participating agencies)
- [5] The number of agencies which are exempted in the ISO QMS certification requirement (only applicable to GOCCs under GCG, LWDs and SUCs)
- [6] The total number of agencies (compliant + non-compliant + pending validation + exempted/non-participating agencies)

**Report of Findings on the Compliance of [Agency category, e.g., State Universities and Colleges] with the
ISO QMS certification as evidence of compliance for a criterion or requirement for the grant of the FY 2021
Performance-Based Bonus
(as of _____)**

AGENCY CATEGORY [1]	Compliant [2]				Non-Compliant [3]				Pending Validation [4]				Exempted/ Non-participating agency [5]				Total [6]	
	From ¹		To		From ²		To		From ²		To		From ²		To			
	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%	No.	%		No.
[e.g. SUCs]																		
TOTAL																		

As indicated in the table, ____ of the ____ SUCs which participated in the FY 2020 PBB cycle or ____% are deemed compliant with the aforesaid requirements, while ____ *or* ____% entities are tagged as non-compliant due to the following reasons:

No.	Description
	No submitted ISO 9001 certification or equivalent certification/ accreditation, nor any ISO QMS-related documents
	Submitted QMS Documents only (Quality Manual, Procedures and Work Instructions Manual, Internal Quality Audit Certification and/or Management Review minutes)

¹ Per (date of initial/previous report) report

No.	Description
	ISO 9001 certification or equivalent certification/accreditation is invalid or has expired
	Submitted Attestation/Confirmation Letter/Audit Report from CB only
	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 AACUP accreditation, certification from the agency head/QMS consultant on the agency's QMS efforts)
	Validity of the ISO 9001 certification or equivalent certification/accreditation commences beyond the December 31, 2021 deadline
	Scope covered by the ISO 9001 or equivalent certification/accreditation is not a core process/critical frontline service (<i>only applicable to GOCCs and LWDs</i>)
	TOTAL

Prepared by:

Reviewed by:

Approved by:

Name/Designation/Date_____
Name/Designation/Date_____
Oversight Agency Head/Date

Legends and Notes:

- [1] The category of the agency i.e., departments/agencies, constitutional commissions/offices, other executive offices, government-owned or-controlled corporations, state universities and colleges and local water districts
- [2] The number of compliant agencies per category and the corresponding percentage (formula: no. of compliant agencies/total no. of participating agencies)
 - "From" column includes the data from the previous submission.
 - "To" column includes the updated data as of the date of reporting.
- [3] The number of non-compliant agencies per category and the corresponding percentage (formula: no. of non-compliant agencies/total no. of participating agencies)
 - "From" column includes the data from the previous submission.
 - "To" column includes the updated data as of the date of reporting.
- [4] The number of agencies tagged as "pending validation" and the corresponding percentage (formula: no. of agencies tagged as "pending validation"/total no. of participating agencies)
 - "From" column includes the data from the previous submission.
 - "To" column includes the updated data as of the date of reporting.
- [5] The number of agencies which are exempted in the ISO QMS certification requirement (only applicable to GOCCs, LWDs and SUCs)
 - "From" column includes the data from the previous submission.
 - "To" column includes the updated data as of the date of reporting.
- [6] The total number of agencies (compliant + non-compliant + pending validation + exempted/non-participating agencies)