

AUDIT PROGRAM

PAROLE AND PROBATION ADMINISTRATION

Document Code	OTA-PWI-008
Revision Number	003
Page Number	1 of 7
Effectivity Date	May 25, 2021

1. OBJECTIVES

- Determination of the extent of conformity with the defined criteria
- Evaluation of capability of QMS to ensure compliance to legal requirements
- Evaluation of effectiveness of the QMS to meet its objectives
- Identification of areas for improvement
- Practice audit as part of the application of the training course

2. PROCESS OWNERS AND FREQUENCY

PROCESS (BASED ON	FUNCTIONAL AREA						M	ON	ТН					
THE PROCESS MAP)		2017 2018												
MAP)		12	1	2	3	4	5	6	7	8	9	10	11	12
Leadership Commitment	 CO- Management/ Administrator/Deputy Administrator Regional Director/Asst. Regional Director Office (NCR and RO 7) Chief Probation and Parole Officer (MLA -PPO 3,5, and 6; CEB – LLCPPO, Cebu City PPO No. 1) 													
Policy Formulation	 CO- Management/ Administrator/Deputy Administrator Regional Director/Asst. Regional Director Office (NCR and RO 7) Chief Probation and Parole Officer (MLA -PPO 3,5, and 6; CEB – LLCPPO, Cebu City PPO No. 1) 													
• Planning	 CO- Management/ Administrator/Deputy Administrator Regional Director/Asst. Regional Director Office (NCR and RO 7) Chief Probation and Parole Officer (MLA -PPO 3,5, and 6; CEB – LLCPPO, Cebu City PPO No. 1) Planning Division 													



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Performance Review	 CO- Management/ Administrator/Deputy Administrator Regional Director/Asst. Regional Director Office (NCR and RO 7) Chief Probation and Parole Officer (MLA -PPO 3,5, and 6; CEB – LLCPPO, Cebu City PPO No. 1) Planning Division 					
Stakeholder and Customer Feedback Management	 CO- Management/ Administrator/Deputy Administrator Regional Director/Asst. Regional Director Office (NCR and RO 7) Chief Probation and Parole Officer (MLA -PPO 3,5, and 6; CEB – LLCPPO, Cebu City PPO No. 1) Administrative Division Case Management and Records Division Legal Division Community Services Division 					
Risk Assessment	 CO- Management/ Administrator/Deputy Administrator Regional Director/Asst. Regional Director Office (NCR and RO 7) Chief Probation and Parole Officer (MLA -PPO 3,5, and 6; CEB – LLCPPO, Cebu City PPO No. 1) Administrative Division Case Management and Records Division/Unit Community Services Division/Unit Financial Division Legal Division Technical Services Division/Unit 					



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Public Information Management	Public Information Office									
 Human Resources Management Human Resources Development 	Personnel Unit									
Procurement Management	Property Section									
Records and Information management	Records Section									
General Services Management	General Services Section									
• Legal Services	Legal Division									
InvestigationSupervisionRehabilitation	 CO- Management/ Administrator/Deputy Administrator Legal Division Technical Services Division Case Management and Records Division Community Services Division 									
	 Regional Director/Asst. Regional Director Office (NCR) Chief Probation and Parole Officer (MLA -PPO 3,5, and 6) Case Records and Management Unit Technical Services Unit Community Services Unit 									
	 Regional Director/Asst. Regional Director Office (RO 7) Chief Probation and Parole 									



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	Officer (CEB – LLCPPO, Cebu City PPO No. 1)						
BudgetAccountingCash Management	Financial DivisionCash Unit						
Internal Audit	Internal Audit Team						
Management Review	 CO- Management/ Administrator/Deputy Administrator Regional Director/Asst. Regional Director Office Chief Probation and Parole Officer (MLA -PPO 3,5, and 6; CEB – LLCPPO, Cebu City PPO No. 1) 						

3. AUDITOR COMPETENCE		AUDITOR RESPO	ONSIBILITIES			
3.1 QUALIFICATION		1. Team Le	ader			
 TENURE OF SERVICE – personnel 	- plantilla-based	conclu	the team to reach relevant audit usions;			
 EDUCATION – a gradu- bachelor's degree 	ate of	 Manages the audit process from audit planning to audit follow-up; and Prepare and complete audit reports. 				
 TRAINING – attended to course on auditing QM 	•	2. Member -				
19011	5 basea on 150	3. Observe				
 EXPERIENCE – at least experience in PPA, fam PPA processes 	-	Arrang organ	ish contacts and timing for interviews ges visits to specific parts of the site or ization			
 SKILLS – good oral, au written skills 	ditory, and	proce	e rules concerning site safety and security dures are known and respected by the team members			
3.2 POOL OF AUDITORS		 Witness the audit on behalf the auditee; Provide clarification of assisting in collection information 				
Name of Auditors	Desig	nation	Functional Audit Area			
1.			-			



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4. AUDIT METHODOLOGY

- Checklist
- Interview
- Observation
- Sampling approach
- Verification

5. AUDIT ACTIVITIES

- Planning the audit
- Opening Meeting
- Data gathering
- Reporting
- Closing Meeting
- Follow-up

6. AUDIT EVALUATION AND CONTINUAL IMPROVEMENT

- KPI
- Auditee Feedback
- Development Areas



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Prepared by:	Approved by:
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Internal Quality Audit Team Leader	Administrator