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| TVI/Company Name | **:** |  |  | TESDA-OP-IAS-01-F04-B |
| Registered Program | **:** |  |  | Rev. No. 01- 05/28/2020 |
| Date of Audit | **:** |  |  |  |

**COMPLIANCE AUDIT REQUIREMENTS CHECKLIST FOR ENTERPRISE-BASED REGISTERED PROGRAM**

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| --- | --- | --- | --- | --- |
| **Registration Requirements** | **Methodology** | **Process/ Question** | **Evidence** | **Finding** |
| PO Level | | | | |
| Companies/Enterprise documents filed in PO   * ***The conduct of compliance audit of the concerned Companies/ Enterprise*** ***shall not be deferred even if*** no program registration documents are on-file at the Provincial Office. | Examination of documentary evidence | Check completeness and validity of Companies/ Enterprise documents filed in PO. | Companies/ Enterprise documents submitted to PO are complete and updated. |  |
| **A. Corporate and Administrative Documents** | | | | |
| Letter of application/Intent | Examination of documentary evidence. | Request a copy of the letter of application. | Same copy of letter of application stamped received by concerned TESDA PO. |  |
| Securities and Exchange Commission (SEC) Registration / DTI Permit | Examination of documentary evidence. | * Request a copy of the SEC/DTI registration. * Request a copy of the updated General Information Sheet (GIS). | Updated SEC registration and General Information Sheet (GIS). |  |
| **Registration Requirements** | **Methodology** | **Process/ Question** | **Evidence** | **Finding** |
|  |  | * When was the actual conduct of annual stockholders’/members meeting?   *(All corporations shall file their GIS within 30 calendar days from the date of actual annual stockholders' meeting as provided under SEC Memorandum Circular No.1 series of 2019 item no. II)* |  |  |
| Current Fire Safety Certificate | Examination of documentary evidence. | Request a copy of the Fire Safety Certificate.   * Is the Fire Safety Certificate current? | Fire Safety Certificate is valid/ has not expired. |  |
| **B. Curricular Requirements** | | | | |
| * Curriculum or Training Design | Interview of:   * Trainer * Selected trainees/workers | Identify competencies to be achieved for the course | Units of Competency/ies to be achieved |  |
| Tools, equipment and materials necessary to deliver the program. | Actual inspection  and of sampled tools, equipment and materials | * Can you show me the following tools, equipment and materials? | * Presence on site of the requested tools, equipment and materials.   *(same as Program Registration Lists of Tools, Equipment & Materials and follows the minimum requirements in the TR)* |  |
| **Registration Requirements** | **Methodology** | **Process/ Question** | **Evidence** | **Finding** |
|  | Testing of sampled equipment coupled with questioning. | * Can you please show me how to operate this equipment? * Are tools and equipment serviceable and in good working condition? * How often do they conduct maintenance of tools and equipment? * What procedures do they follow if tools and equipment are out of order? | * The sampled equipment should be in good working condition. * Maintenance Schedule   (Inspection checklist for maintenance of tools, etc.)   * Written procedure. |  |
| **C. Trainer** | | | | |
| Qualification of Trainer | Examination of the trainer’s supporting documents | Check supporting documents | * For WTR: * Certificate on Trainers Methodology **(**TM) Level I * National Certificate (NC) relevant to the qualification being offered * For NTR: * Certificate on Trainers Methodology **(**TM) Level I and other training methodology certificates in addition to the certificate gained from other certifying bodies |  |
| **Registration Requirements** | **Methodology** | **Process/ Question** | **Evidence** | **Finding** |
|  |  |  | * Proof of specialization or expertise related to the program being offered * Proof of certification from the HR or employment contract as trainer relative to the program being offered |  |
| **D. Mandatory Assessment (WTR) and submission of MIS 03-02** | | | | |
| Assessment of graduating students/ trainees (for WTR programs with assessment tools) | Sampling of graduates in the Registry of Workers Assessed and Certified (RWAC) and MIS 03-02 | How do you implement the mandatory assessment for graduating students? | Sampled students/trainees are found in the RWAC and MIS 03-02 taken from the PO file. |  |
| * How many enrolled and graduated per program? * How often do you submit the enrolment, graduate and employment reports? | * Students/trainees that passed have been issued their National Certificate (NC) per verification in the website at least 1 month after assessment. * Employment report of students/trainees.   RWAC and the MIS 03-02 stamped received by PO. |  |
| **Other Observations:** |  | | | |

Submitted by:

Auditor Date

Auditor Date