TESDA-OP-CO-02-F04-B

Rev. No. 00-03/08/17

**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 be deferred 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. | Updated SEC registration and General Information Sheet (GIS). |  |
| 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. |  |
| **Registration Requirements** | **Methodology** | **Process/ Question** | **Evidence** | **Finding** |
| **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)* |  |
|  | 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. |  |

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| **Registration Requirements** | **Methodology** | **Process/ Question** | **Evidence** | **Finding** |
| **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 * 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 |  |

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| **Registration Requirements** | **Methodology** | **Process/ Question** | **Evidence** | **Finding** |
| **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. |  |

Submitted by:

Auditor Date

Auditor Date