Republic of the Philippines
Department of Education
REGION VIII - EASTERN VISAYAS

February 15, 2024

OFFICE MEMORANDUM
IQAT-2024- 100

ADOPTION OF GUIDELINES IN MANAGING OPPORTUNITY FOR IMPROVEMENT (OFI) AS AN AUDIT FINDING

To: Quality Management Representative (QMR)
        Functional Division Chiefs
        Quality Management System (QMS) Teams
        All Others Concerned

1.   In line with the Department of Education (DepEd) Regional Office VIII's commitment to continuous improvement and ensuring compliance with audit requirements, this Office, through the Internal Quality Audit Team (IQAT) manned by the Quality Assurance Division (QAD), announces the adoption of the established Guidelines for Managing Opportunities for Improvement (OFIs) by all Functional Division offices and Quality Management System (QMS) Teams.

2.   The adoption of the said guidelines is geared towards ensuring continuous improvement of processes for effective and efficient office operations and service delivery. Specifically, this aims to:
        a. guide all process owners in establishing internal control by addressing the identified areas for improvement to ensure that it will not result in nonconformity;
        b. help in enhancing office operation and risk management practices; and
        c. ensure that the implementation of office declared processes is compliant with audit requirements.

3.   Attached herewith are the Guidelines in Managing Opportunity for Improvement (OFI) as Audit Finding (Attachment A) and the Opportunities for Improvement (OFIs) Verification Status (Attachment B) for your reference.

4.   For immediate dissemination of and wide compliance with this memorandum are desired.

EVELYN R. FETALVERO CESO IV
Regional Director

DEPARTMENT RECORDS SECTION, REGIONAL OFFICE NO. VIII
RELEASED
100
By: _____ Date: 2/16/24

QAD-SST

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REGION VIII - EASTERN VISAYAS

GUIDELINES IN MANAGING OPPORTUNITY FOR IMPROVEMENT (OFI)
AS AN AUDIT FINDING

Rationale

The Department of Education Regional Office VIII (DepEd ROVIII) strives to continuously improve its performance by implementing its mandates effectively and efficiently in compliance with service standards. Identifying opportunities for improvement is deemed crucial in this pragmatic effort to effectively manage service outliers.

Aside from the Non-Conformities raised during the internal audit, some observations were also cited to potentially influence the delivery of office processes to be more efficient and effective. These observations likewise highlighted the possibility of these audit observations to becoming nonconforming conditions if taken for granted.

These observations are known as Opportunities for Improvement (OFIs). The Procedures and Work Instructions Manual (PAWIM) describes these as documented feedback when an action is not taken and may result in potential noncompliance.

DepEd ROVIII believes that an organized and proactive approach in managing OFI is necessary to translate identified areas for improvement into workable plans. The organization can improve overall performance, reduce risks, and optimize operations by managing OFIs well.

Objectives

In accordance with audit criteria, these guidelines are intended to promote organizational excellence, strengthen internal controls, and optimize continuous improvement. Specifically, this seeks to:

a. establish an internal control by addressing the identified areas for improvement to ensure that it won't result in nonconformity;
b. boost productivity in the workplace;
c. improve risk management procedures and office operations;
d. verify adherence to audit specifications;
e. fulfill the demands and hopes of interested parties; and
f. foster a culture of continuous improvement.

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Steps in Managing OFI

Elements and Steps	Responsible Office/Unit/Team
1. **Reporting of OFI.** A clear and comprehensive reporting of OFIs is essential to ensure common understanding within the premise of an office. Audit reports should articulate the nature of the finding, its impact, and recommendations for improvement. This is to ensure transparency and provision of holistic view of the office improvement opportunities.	Process Owner/Head of Office Audit Team
2. **Review of Declared OFI.** Once OFIs are identified by auditors, they must be reviewed by the process owners to evaluate and determine their significance and potential impact in its operation. This process helps every office in prioritizing OFIs based on factors such as exposure to risk and regulatory compliance.	Process Owner/Head of Office
3. **Planning.** To address OFIs, it is not necessary that the concerned office must do root cause analysis. The process owners may develop workable plan of actions to ensure improvement of office processes. Collaboration among office personnel is vital at this part to ensure a coordinated effort in the implementation of the needed changes. The identified plan of actions shall be reflected in the "Action" column of Opportunities for Improvement (OFIs) Verification Status Report Template with document code of RO8-IQA-F002 (*refer to the attachment*) shared to every office through the provided link to the QAD drive.	Process Owner/Head of Office IQAT for provision of the tool
4. **Implementation.** The action plans are put into motion during the implementation stage. This involves deploying the needed resources, personnel, and executing the defined steps.	Process Owner/Head of Office
	Process Owner/Head of Office

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Elements and Steps	Responsible Office/Unit/Team
5. Monitoring and Review. Monitoring the progress of the implemented actions is crucial in ensuring the successful resolution of OFIs. This provides an opportunity to make adjustment and ensure that the desired improvements are achieved.	
6. Verification. Follow-up audits are conducted to verify the status of the findings and the effectiveness of the implemented changes. This step ensures that the identified OFIs have been adequately addressed and that the improvements have delivered the desired outcomes. The verification of OFI by the assigned audit team shall be done together with the follow-up of the NCs on the specified dates indicated in the Request for Action (RFA) issued to the concerned office. For offices with no NC findings, the verification of OFI shall be done based on the identified actions indicated in the Opportunities for Improvement (OFIs) Verification Status Report Template.	Audit Team
7. OFI Status Reporting. This entails informing Top Management, at the quarterly Management Review, with the verification results about the state of the OFI. The procedure makes it easier to contribute to the decision-making process for the best course of management action.	IQAT, Lead Auditor
8. Continuous Improvement. Managing the OFI is an ongoing cycle of improvement to be done by the process owners. Even outside audit, OFI maybe determined and immediately addressed by the office to foster a mindset of continual enhancement. This will lead to an assurance of having zero nonconformity findings during office audits.	Process Owner/Head of Office

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Conclusion

These guidelines offer a structure for addressing opportunities for improvement that have been identified, encouraging excellence, and advancing ongoing growth and development. By exercising these guidelines, the Office can streamline its processes and produce better outcomes, enhance service delivery, and meet its goal of offering stakeholders high-quality services.

References:

1. *Internal Quality Audit (IQA), Procedures and Work Instructions Manual (PAWIM), DepEd,*
2. *How to Handle Opportunities for Improvement, Kelly Huckabone, September 2020, https://www.unitylabservices.com/en/support/quality-management/how-handle-opportunities-improvement-ofis.html*
3. *Process Quality Procedures, Version 5, July 8, 2020, DepEd RO8*

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February 15, 2024

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OPPORTUNITIES FOR IMPROVEMENT (OFIs) VERIFICATION STATUS

As of _____

OFFICE	Details of OFIs	Action	Verification	
			Date	Status

Prepared by:

Date:

_____
IQAT, Member

Noted by:

Date:

_____
IQA Team Leader

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