

## Initial Audit Summary Report

Company Name : Carcar Water District

Address : Poblacion 1, Carcar City, Cebu, Philippines

Attention : Ms. Josefa Salvacion N. Manugas - QMR

Audit Team : Rhene Rose Zara , Elisa Cruz

Standard / Audit Type: ISO 9001:2015

Audit Date : 03 December 2020

Audited Sites/Scope : Supply of Water Services to Concessionaires in the City of Carcar and its Neighbouring Towns

In the audit, the actual process flow of sample operations was examined in individual areas of the company. In doing so, the auditors reviewed the conformity of the process flows with the requirements of the standard and the descriptions in the management documentation. This audit was performed on the basis of random samples, including interviews and examination of the appropriate documents.

All information gained during the audit will be treated with strict confidentiality by the audit team and the certification body. In view of the sampling approach applied to the audit, weaknesses and nonconformities may still exist which have not been identified during the audit.

### 1. Positive Observation

No.	Unit/Department Site	Positive findings
1	Awards/Recognition	Awarded the Bronze Award by the Civil Service Commission Level 2 PRIME-HRM  Qualified to PBB for year 2019

### 2. Opportunities for improvement

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	Internal Quality Audit	May consider having an audit program reflecting the actual audit dates.  The requirement of the standard for Clause 8.3 which is the Design and Development process needs to be included in the audit plan
2	Pump Station: Luan-Luan PS	Status of water permit application for Luan-luan will be checked next audit.
3	Construction and Engineering	Ensure to verify the required permit/regulatory requirements of the Contractor (e.g. health and safety program, heavy equipment safety inspection, etc.)

4	Human Resource	Personnel transferred to Human resource Division still had an ongoing alignment of the duties and responsibilities. Documentation is still under Administration duties. Target completion is on Q2 of 2021, status will be check next.  NC II Certification for Mechanics and Welders are put HOLD due to pandemic. This was move to year 2021, status will be check next audit.
5	Commercial Division	There will be a new review of the Quality Objectives in alignment to the Strategic Business Plan of the Organization. This will be checked next audit.
6	Production / Customer Complaint	May consider to include the following inputs in the Customer Complaint Analysis report: 1. Reflecting planned action to address the identified cause of complaints  2. Comparative data analysis as reference for verification on the effectiveness of the action.
7	Maintenance and Calibration	Consider revisiting the consistent significant number of major breakdowns encountered from year 2019 to 2020 and identify possible cause/s. This could be use as an input in reviewing the existing Preventive Maintenance Activity.

### 3. Nonconformity

No.	Clause # / Discussed with	Description / Statement of the Nonconformity.
	(1)	

### 4. Audit Conclusion

<input type="checkbox"/>	The last audit revealed nonconformities which have been demonstrably corrected. The corrections and corrective actions taken in this respect have been verified.
<input type="checkbox"/>	A stage 1 audit was performed and the organization found ready for certification. Identified weaknesses, if any, have been eliminated and the corrective action associated therewith verified.
<input checked="" type="checkbox"/>	The current audit revealed the following nonconformities: Standard(s): ISO 9001: 2015 No. of nonconformities (1 - Minor)
<input type="checkbox"/>	The major nonconformities (No. x) with individual standard elements require a re-audit to verify the effectiveness of the corrections and corrective actions (probable date:.ddmmyyyy)
<input checked="" type="checkbox"/>	The organization has established and maintains an effective system to ensure compliance with its policy and objectives. The audit team confirms in line with the audit targets that the organization's management system complies with, adequately maintains and implements the requirements of the standard(s).

### Recommendation

<input type="checkbox"/>	Award of the new certificates.
--------------------------	--------------------------------

<input checked="" type="checkbox"/>	Maintenance of the existing certification provided the acceptance and verification of planned Correction and Corrective Action.
<input type="checkbox"/>	Inclusion of the changes (see Section 3) in the scope of application of existing certifications
<input type="checkbox"/>	Maintenance or issue of the certificates only after successful completion of a re-audit.

**Dates**

**Due Date for the next audit**

**2021 December 22 (- 3 months/+0 days)**

**Agreed date for the next audit**

**2021 November**

03 December 2020

Date

Rhene Rose Zara, Elisa Cruz

Audit Leader / Auditor(s)