

Initial Audit Summary Report

Company Name : **Carcar Water District**

Address : **Poblacion 1, Carcar City, Cebu, Philippines**

Pump Station: Ilaya PS, Brgy. Ilaya, Carcar City / Bahabaha Pumping Station, Brgy. Liburon, Carcar City

Water Source: Badang Spring, Brgy. Guadalupe, Carcar City

Attention : **Ms. Josefa Manugas, QMR**

Audit Team : **Anjela Buenavista (AB), Elisa Cruz (EC)**

Standard / Audit Type : **ISO 9001:2015 / 2nd Follow-up Audit**

Audit Date : 2021 December 01

Audited Sites/Scope : **Supply of Water Services to Concessionaires in the City of Carcar and its Neighboring 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 based on 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	Pump Station: Ilaya PS, Brgy. Ilaya, Carcar City and Bahabaha PS, Brgy. Liburon, Carcar City	Pump Stations are well maintained.

2	Continual Improvement	<p>Continual improvement is evident thru the following:</p> <ul style="list-style-type: none"> a. Installation of CWD Self-Service Kiosk for prompt and fast verification by the concessionaires b. Additional well and pumping stations – Talamban, Napo; Lumbia, Canasujan c. Construction of new Water Quality Laboratory, CWD Annex Building
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2. Opportunities for improvement

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	<p>Pump Stations: Ilaya PS, Brgy. Ilaya, Carcar City and Bahabaha PS, Brgy. Liburon, Carcar City</p> <p>Water Source: Badang Spring, Brgy. Guadalupe, Carcar City</p>	<ul style="list-style-type: none"> • Further improve the Flow Meter Reading monitoring to include the daily extraction to ensure that the water extraction is within the limit granted by NWRB. • For any identified high risks, the organization needs to provide additional control measure/action plan and timeline/timeframe to implement to address determined risks.
2	Purchasing	<ul style="list-style-type: none"> • Ensure all purchases/transactions have been considered in the supplier performance evaluation process (e.g. Security Agency, Contractor) • Ensure to revisit the risks/opportunities assessment matrix, risks inherent in Purchasing were last updated in September 2020
3	Construction and Engineering – Planning, Design and Development	<ul style="list-style-type: none"> • Provide information on Existing Control column to assure that the effectiveness of the implemented controls is reviewed and updated as needed. • Consider to identify and document the significant risks related to design and development including the mitigating actions. • Consistently, ensure to clearly specify the different activities in the design review and verification conducted to ensure that the design and development outputs meet the input requirement.
4	Top Management	<ul style="list-style-type: none"> • Ensure that different meeting venues to discuss inputs such as achievement of the quality objectives, effectiveness of the actions taken to address risks and opportunities be defined in any documented information • Consider linking the SWOT, Risk Assessment Matrix, and Quality Objectives

5	Internal Audit	<ul style="list-style-type: none"> • Consider indicating in the audit checklist/s the records seen during the conduct of the audit • Thorough review of the audit findings, ISO 9001 Clauses, root cause analysis, correction and corrective actions should be done to address systemic issue/s • Assessment of the effectiveness of the quality management system should be indicated in any documented information
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3. Nonconformity – zero

4. Audit Conclusion

<input checked="" 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"/>	<p>The current audit revealed the following nonconformities:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 60%;">Standard(s):</td> <td>No. of nonconformities</td> </tr> <tr> <td>ISO 9001</td> <td style="text-align: center;">Zero</td> </tr> </table>	Standard(s):	No. of nonconformities	ISO 9001	Zero
Standard(s):	No. of nonconformities				
ISO 9001	Zero				
<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.
<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

2022 December 22

Agreed date for the next audit

2022 November (-3 months/+0)

2021 December 01

Anjela E. Buenavista/Elisa Cruz (signed)



Date

Audit Leader / Auditor(s)