



AUDIT REPORT

Organization name	Polomolok Water District
Standard(s)	ISO 9001:2015
Order No.	724615039
Audit start date	2023-10-19
Audit end date	2023-10-19
Audit type	4. Surveillance Audit
Certification type	Single
Client number	373606-01
Organization's audit representative	ENGR. ANDRESITO J. DEGILLA
Certificate No.	TU V10 0 05 4131
Result	<input type="checkbox"/> Certificate release recommended <input checked="" type="checkbox"/> Maintenance of certificate recommended <input type="checkbox"/> Non-Conformities were identified and closed by re-audit on site <input type="checkbox"/> Non-Conformities were identified and closed by resubmitted documentation <input type="checkbox"/> Suspension of certificate recommended <input type="checkbox"/> Withdrawal of certificate recommended <input type="checkbox"/> Certification process terminated

Enclosed documents: Action list
Audit plan

Polomolok Water District
724615039
2022-10-11 - 2022-10-11



Management Service

Audit Team	
Function	Name
Lead Auditor	Rosemarie Abatayo
Auditor	Pamela Maye Gunay

Changes since last audit:

No changes since last audit

Date of next regularly scheduled audit	2024-10-29
----------------------------------------	------------

Audit conclusion

During the audit it was checked how the documented management system was established, implemented and improved at the different areas of the organization.

The audit covered relevant processes / areas of the organization in order to obtain an overall picture of the degree of management system implementation. Although performed to reasonable depth, not every detail of the complete Management System could be checked.

The processes and their associated areas of the organization were checked in accordance with the pre-agreed audit plan, audit program and process analysis.

Verification of previous audit nonconformities

The audit team evaluated the corrective action taken for the nonconformities/ areas of concern from the previous audit.

In the case of RA / Re-Certification audits, the audit team considered the audit reports for the last two audits in the audit planning / performance of the audits and in particular checked the nonconformities / areas of concerns.

The corrective actions were found to be:

Effectively Implemented?	Yes
--------------------------	-----

Comments:

actions to address previous audit findings were verified effective

Did the organization use the CB certification mark? (Controlling the use of certification documents, statements and marks)	Used; acceptable
-------------------------------------------------------------------------------------------------------------------------------	------------------

Comments:

used and acceptable

Audit team conclusion

Is a re-audit needed?	<input type="radio"/> Yes	<input checked="" type="radio"/> No
-----------------------	---------------------------	-------------------------------------

Comments:

Not applicable

Type and number of audit findings

	Major nonconformities	Minor nonconformities	Opportunities for improvement	Positive aspects
Total number	0	3	6	0

Standard elements with findings are listed in the action list (NC Management).

The audit findings are based on the audit evidence collected during the audit and available to the certification body.

Audit summary

Refer to level of maturity of the MS, commitment of top management, guaranteeing the continuous compliance with the legal and other requirements, application of performance indicators, continual improvement, meeting of objectives and targets, competence of personnel, effectiveness of internal audits and management reviews, environmental performance, etc.



The implementation and maintenance of the Quality Management System of the audited organization is evaluated to be basically effective and addresses the requirements of ISO 9001:2015. There is no major nonconformity observed.

Established risk management framework of the organization covers both risks identified from the organization's context and its processes. Registry of Key Risks and Opportunities identify risk control measures are applied, implemented and updated by the organization. Clear understanding and compliance to applicable legal and statutory requirements had been demonstrated by the audited organization.

The Management of Polomolok demonstrated leadership and commitment by chairing the annual management review meetings as well operational meetings, and providing appropriate resources for QMS planning, implementation and maintenance.

Organizational chart maintained as a documented information and outlining the structure and functional responsibilities and authorities of personnel of the organization in the organization's Quality Manual, was reviewed and updated. Specific job descriptions, roles and responsibilities of personnel are defined and maintained.

The Management chaired the recent annual management review meeting and discuss all required inputs last June 21,2023 Established Quality Objectives of each department/section are periodically monitored (monthly-annually) and discussed/presented during the annual management review meetings.

Internal Audit is being conducted by the organization every 12 months and the latest Internal Audit was carried out by the IQA Team in May 24-25,2023 based on the requirements of ISO 9001:2015. There are trained and qualified auditors of the organization who conducted the internal audit. Audit Schedule/Plan, Audit Checklists and Audit Reports were generated by the audit team and maintained as documented information to demonstrate conformity to specified requirements. The internal audit conducted by the organization yielded (6) Minor Non Conformities and (32) Observations was issued addressing this reported nonconformity. All findings are recorded in Corrective Action Report to ensure review and verifications of actions taken are addressed

Auditor's name	Rosemaries Abatayo	date
Auditor's signature	Rosemaries Abatayo	2023-11-15

Site specific information

Audited Site

Site specific name	Polomolok Water District
State	Republic of the Philippines
City	South Cotabato
Postal code	9504
Address	National Highway, Dulay Subdivision, Poblacion Polomolok
Client number	373606-01
Certificate scope	Provision of Water Services from Production, Treatment and Distribution of Potable Water
Industry code(s)	EA 27
Products / Services	Provision of Water Services from Production, Treatment and Distribution of Potable Water
Total number of personnel onsite	90
Total number of effective personnel	90

ISO 9001

Auditing of shifts	<input checked="" type="checkbox"/> Not applicable
Temporary sites / projects:	<input checked="" type="radio"/> Not applicable <input type="radio"/> Applicable
All clauses apply	<input checked="" type="radio"/> Yes <input type="radio"/> No



t Service

<p>Quality relevant manufacturing/realization processes:</p>	<p>Commercial services</p> <ul style="list-style-type: none"> •New Service Connection •Connection/Disconnection •Customer Accounts / Water Reading •Water Billing <p>Water Resources</p> <ul style="list-style-type: none"> •Water Generation •Water Treatment •Water Distribution <p>Engineering and Operations Division:</p> <ul style="list-style-type: none"> •Construction and Maintenance •Planning and Design •NRW •Pressure Management <p>Support Processes:</p> <ul style="list-style-type: none"> •General Services (Property and Supply, Building Grounds and Facilities Management, Transport Operations) •Human Resources •Procurement •MIS 	
<p>Risk category (low/medium/high):</p>	<p>High</p>	
<p>KPIs:</p>	<p>Name</p>	<p>Trend</p>
	<p>Collection efficiency -target – 95 % Actual – 97 %</p>	<p>Positive</p>
<p>Relevant compliance obligations / Significant legal requirements with regard to products / services:</p>	<ul style="list-style-type: none"> •Local Water Utilities Administration (LWUA) •Department of Health (DOH) •National Water Resources Board (NWRB) •Commission on Audit (COA) •Civil Service Commission (CSC) •Department of Budget and Management (DBM) •Department of public Works and Highways (DPWH) •Local Government Unit (LGU) 	

Audit objectives

See attached Audit Plan

Additional remarks

1. Disclaimer statement

Auditing is based on a sampling process of the available information. Any audit recommendations are subject to an independent review prior to a decision concerning the awarding or renewal of certification.

A management system certification audit (initial, surveillance or recertification audit) is not a legal compliance audit (ISO 17021:2015, 9.2.1.2; IAF MD22:2018, Appendix C).

2. Duty of information

The Certification Body shall be notified by the client without delay of all changes that may impact on the management system's capability to continue to fulfill the requirements of the relevant standard now and in the future.

These matters include major changes regarding:

- legal, commercial, organizational status or ownership
- organization and management (e.g. key managerial, decision-making or technical staff)
- change of address and sites
- scope of operations under the certified management system

3. Due dates

The due date (last day of the certification audit) must be considered for the planning of any additional audit. The respective due dates should be coordinated with the lead auditor.

4. Confidentiality

The Certification Body will treat all received documented information related to the certification process as strictly confidential.

Copies to:

- Members of the audit team
- Certification body
- Client