

Audit report

Mines and Geosciences
Bureau Regional Office
No. V

SOCOTEC Certification UK

Unit 6, Gordano Court, Gordano Gate Business Park

Portishead Bristol BS20 7FS

UNITED KINGDOM

Telephone : +44 1275 849 188 - www.socotec-certification-international.com

Audit report

Client		Audit team	
Name of organisation: Mines and Geosciences Bureau Regional Office No. V		Name:	Role:
Address: Regional Center Site, DENR Annex Bldg. Rawis, Legazpi City Albay 4500 Philippines		Kim Winston Pajares	Lead Auditor
Client representative (name and role):			

Audit		
Standard(s)	In case of multi standards, indicate whether the audit is:	Type of audit:
1. ISO 9001:2015 2. 3.	Combined <input type="checkbox"/> Joined <input type="checkbox"/>	<input type="checkbox"/> Initial stage 1 <input type="checkbox"/> Initial stage 2, <input type="checkbox"/> Recertification <input type="checkbox"/> Surveillance 1 <input checked="" type="checkbox"/> Surveillance 2 <input type="checkbox"/> Special audit (specify):

Audit Locations:	Audit dates:
Address: Regional Center Site, DENR Annex Bldg. Rawis, Legazpi City Albay 4500 Philippines	Type of site Government office
	16-17 Jul 2020

Recommended scope:

Public Administration and Regulation covering the Provision of Technical Services pertaining to the conduct, evaluation, processing, approval, endorsement and issuance of

- Geohazard Identification Survey (GIS)
- Geological Site Scoping (GSS)
- Engineering Geological and Geohazard Assessment (EGGA)
- Geological Verification (GV)
- Endorsement of Blaster's Foreman License Application for Mining Companies
- Processing and Issuance of Certificate of Environmental Management and Community Relations Records / Certificate of Exemption
- Initial Evaluation of Environmental Protection and Enhancement Program and Final Mine Rehabilitation and /or Decommissioning Plan
- Processing and Issuance of Mechanical / Electric Permit to Install
- Processing and Issuance of Mechanical / Electric Permit to Operate
- Processing and Evaluation of Safety Engineer / Inspector Permit
- Evaluation and Approval of 5-year / Annual Social Development and Management Program/ Community Development Program
- Evaluation and Endorsement of Explosives Purchasers License for Mining Companies
- Evaluation and Approval of Annual Safety and Health Program
- Evaluation and Endorsement of License to Purchase / Transfer Explosives
- Issuance of Area Status or Clearance for quarry / Sand and Gravel Permit Application
- Processing of Ore Transport Permit Application
- Field Investigation of Mining Complaints

In case of different scopes according to sites and or standards or if scope has been extended, reduced, adjusted compared to last audit, specify:


Recommendation from audit team: tick appropriate box

- Certification (subject to satisfactory closure of corrective actions)
- Certification suspension
- Certification withdrawal
- Recertification (subject to satisfactory closure of corrective actions)
- Certification maintenance (subject to satisfactory closure of corrective actions)

Total number of nonconformities and observations raised*:

*: *matrix attached*

Client signature (for acceptance of the above details only)



Lead auditor signature



1. Introduction to client / general comments:

(Any useful information to help understanding the context of the audit: economic, geographic situation for EMS audits, hazards for OHSMS, etc.)

See stage 1 report for site circumstances, no additional changes or upgrades were done to the physical building

2. Significant changes since last audit:

- | | | |
|--|---|---|
| Company name <input type="checkbox"/> | Code <input type="checkbox"/> | Top management <input type="checkbox"/> |
| Main site or other site address <input type="checkbox"/> | Staff <input checked="" type="checkbox"/> | Policy <input type="checkbox"/> |
| Scope of certification <input type="checkbox"/> | Function process <input type="checkbox"/> | |

In case one or more of the boxes is/are ticked, comment:

retirement of previous division chief of Hydrogeology and Environmental Geology Section and appointment of OIC

3. Deviations of audit plan and reasons:

- Yes No

If yes provide details:

4. Audit findings:

Summary of conformity:

Upon the most recent visit in the 2nd surveillance audit, the organization has still been found to implement their quality management system controls and provide updates to contextualize their issues. They have provided their risks and opportunities per area, interested party needs and expectations connected to relevant issues and identify the controls thereof and these were trailed during the audit. ROEIS documents were also updated for 2020. The challenges faced in the past year as well as internal and external issues including the challenge of improving the geohazard mapping in the region especially the island of Masbate, operating under MECQ to GCQ, and having to do reduced manpower duty as well as enforcement frontline work for the employees and still having to cater to new demands from the IATF to combat COVID19 were covered as part of the discussion during the context audit. Good implementation of the processes is apparent as the presented records and observed actions are observed to be mostly effective in achieving set goals in the form of sampled OTP scorecards. Any unmet targets were planned to have action plans to bridge the gaps identified. Customer satisfaction level is being reviewed, met and acted upon for improvement. Major documentary requirements such as internal audit and management review were done, as well as sustained implementation of document control. Overall, the management system is still seen to be in place to support the organization in a sustainable fashion moving forward.

Positive findings:

- Top management's leadership and effort to enable productivity even during COVID-19 situation is commendable
- The preparations done for remote audit is appreciated
- Forms used in Geosciences, as well as the ROIEs look comprehensive and user-friendly
- Trust and communication within the organization is evident as management and chiefs are routinely able to delegate tasks to OICs
- Being awardee for 8888 complaints handling is commendable as well, showing good responsiveness towards client needs
- HR prime initiative by the RO is commendable

Opportunities for improvement:

- The document control and team may wish to assess retention periods of ISO records while its still early and accumulation is still minimal

Reference to major and minor NC and observations being raised on attached matrix:

Number of major non conformities	0
Number of minor non conformities	0
Number of observations	2

5. Use of certification documents and marks

- Is the use of certification documents and marks correct on exhaustive supports?

Yes No If yes, specify:

The Socotec mark is not yet used, the AJA logo is properly used in terms of coloration, sizing and usage in the presented letterhead template.

6. Audit programme

- Are there any significant issues impacting on audit program (audit duration, auditor competency, sufficient coverage)?

Yes No If yes, specify:

7. Unresolved issues:

- Are there any unresolved issues by the end of closing meeting that would lead to appeal complaint, or other?

Yes No If yes, specify:

By signing the first page of this report, the audit manager confirms that:

- the objectives of the audit have been met and that the recommendation shown on first page of this report reflects the relevance and the ability of the management system to achieve the expected results
- the certification scope is appropriate
- this report is based on a sampling process of the information available. The CB cannot be held responsible for the possible non representativeness of the audit findings.