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Department of Environment and Natural Resources
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MEMORANDUM

TO : **The Service Directors**
Foreign Assisted and Special Projects Service
PPD, PMED, PAMD, PMD
Administrative Service
Records Management Division

The Regional Executive Directors
3, 12 and 13

Provincial Environment and Natural Resource Officers
Tarlac
Surigao del Sur
Agusan del Norte

Community Environment and Natural Resource Officers
Camiling, Tarlac
General Santos, South Cotabato
Guiguinto, Bulacan

FROM : **The Assistant Secretary**
and Deputy Quality Management Representative

SUBJECT : **SURVEILLANCE AUDIT FINDINGS**

DATE : **MAY 05 2023**

This refers to the Surveillance Audit conducted on the implementation of DENR Quality Management System by SOCOTEC Certification Philippines Inc. from April 17-May 3, 2023.

The audit findings disclosed four (4) Minor Nonconformities incurred by the concerned offices. In this regard, submit a root cause analysis, corrective action and action plan to address the NCs and not later than May 12, 2023 through the QMS Secretariat at qmssecretariat@denr.gov.ph.

For strict compliance.


ENGR. NONITA S. CAGUIOA

Encls: Audit Matrix
Cc: All Staff Bureau Directors, All Regional Executive Directors

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Finding Matrix

SUMMARY OF NON CONFORMITIES AND OBSERVATIONS

Audit team				Client			Auditor			
Category :	Details	Standard	Clause	Root cause analysis	Action plan	Deadline for submission	Conclusion	Auditor name	N+1 Check	Auditor Name
NCM01	<p>7.5.2 Creating and updating When creating and updating documented information, the organization shall ensure appropriate: Identification and description (e.g. title, date, author, or reference number); Format (e.g. language, software version, graphics) and media (e.g. paper, electronic); Review and approval for suitability and adequacy 7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable: distribution, access, retrieval and use; c) Control of changes (e.g. version control);</p>						<input type="checkbox"/> Close <input type="checkbox"/> Check		<input type="checkbox"/> Close <input type="checkbox"/> NC	
NCm01	<p>1. However, the following lapses were seen on PENRO Surigao del Sur – Conservation and Development Division: - During verification whether the CRMF endorsement has been realized referring to the presented Work and Financial Plan 2022, it was found out that the presented document is not suitable to be used as reference as this is not the finalized/updated/approved document. The document has no indication of its status (whether updated, approved or drafted) resulting to wrong presentation of document during the audit. - CRMF Procedure (R13-SDS.TSD.PR.024) no information on the actual document regarding date issued. - PO Resolution has missing information such as date of approval. 2. In addition, despite scope extension being conducted last 2022 Recertification Audit, the scope and exclusion presented per Quality Manual still do not indicate the aforementioned update. 3. The documented procedures presented by the divisions (PPD,PAMD,PMD and PMED) under FASPS were both old and new documents. (E.g.: Doc ID: CO-PPDF.PR.001 (New) Doc. Code: CO.QMS.001 Control No. P.CO-FASPS-PPD.2018.001 (Old)) 4. 1/10 sampled performance measure/target: Actual untenured lands is 0.2 hectares but documented is 0.56. (Law Enforcement). [PENRO – Agusan del Norte] 5. No documentation of the actual maintenance activities being done on the equipment being utilized by the Monitoring and Enforcement Section was presented during the time of the audit. [CENRO – Camiling]</p>	ISO 9001:2015	7.5				<input type="checkbox"/> Close <input type="checkbox"/> Check		<input type="checkbox"/> Close <input type="checkbox"/> NC	

NCm02	<p>10.2.1 When a nonconformity occurs, including any arising from complaints, the organization shall:</p> <p>b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:</p> <p>3) determining if similar nonconformities exist, or could potentially occur;</p> <p>d) review the effectiveness of any corrective action taken;</p> <p>e) update risks and opportunities determined during planning, if necessary;</p> <p>However, the implemented corrective action in accordance to the identification of risks and opportunities per ROAAP were evidently not seen on other areas not included in the previously raised nonconformity. This was seen on Regulation and Permitting Section, CENRO – General Santos. Although actual internal and external issues being encountered by the section was identified in their presented ROAAP, its actual risks were not identified.</p>	ISO 9001:2015	10.2	<input type="checkbox"/> Close <input type="checkbox"/> Check	<input type="checkbox"/> Close <input type="checkbox"/> NC
NCm03	<p>6.1.2 The organization shall plan:</p> <p>b) how to:</p> <p>1) integrate and implement the actions into its quality management system processes (see 4.4);</p> <p>2) evaluate the effectiveness of these actions.</p> <p>However, appropriate evaluation of effectiveness of the established actions in relation to identified risks and opportunities were not demonstrated in the following case-in-points:</p> <p>1. No indicated date of analysis and evaluation date in the ROAAP presented for Issuance of Certificates of Private Tree Plantation Registration process [CENRO – General Santos]</p> <p>2. Although additional controls have already been implemented per presented ROAAP of Planning and Development Division of Regional Office XII, there was no presented update and reevaluation for its effectiveness.</p> <p>3. ROAP of CRMF and FYWP (R13-SDS-TSD.ROAP.024) has no information pertaining to date issued/date of effectivity [Conservation and Development Division, PENRO – Surigao del Sur].</p> <p>Note: case in points were not elevated as a major nonconformity since all areas mentioned were able to provide risks and opportunities as well as their corresponding action plans, which was the raised issue per previous major nonconformity.</p>	ISO 9001:2015	6.1.2	<input type="checkbox"/> Close <input type="checkbox"/> Check	<input type="checkbox"/> Close <input type="checkbox"/> NC
NCm04	<p>8.5.1 Control of production and service provision</p> <p>The organization shall implement production and service provision under controlled conditions. Controlled conditions shall include, as applicable:</p> <p>c) the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;</p> <p>However, evident monitoring of required turn-around times on the service deliverables were not demonstrated in the following lapses:</p> <p>1. 2 out of 3 sampled transactions for Issuance of Certificate of Registration as Lumber Dealer is not compliant with the required TAT. Note that this issue was also already identified in ROAAP and action plan is already in place to be implemented by the organization. (8.5) [License, Patents and Deeds Division, PENRO – Tarlac]</p> <p>2. October 6, 2022 Tree Cutting Permit No. CENRO GSC-21-2022 - required TAT were not met, no observed monitoring, verification and analysis as to why the TAT was not met. [CENRO-GenSan]</p> <p>3. All samples for permit processing is not compliant to the required TAT established. [Regulation and Permitting Section, CENRO-Guiguinto]</p>	ISO 9001:2015	8.5.1	<input type="checkbox"/> Close <input type="checkbox"/> Check	<input type="checkbox"/> Close <input type="checkbox"/> NC
OBS01	The ongoing finalization and completion of IPCR 2022 will be revisited on the next audit. (Law Enforcement). [PENRO – Agusan del Norte]	ISO 9001:2015	9.1.3		<input type="checkbox"/> Close <input type="checkbox"/> NC
OBS02	Isolated Case: Individual Development Plan where coaching in accordance to CSC knowledge and competency were presented, however, ensure completion on the information in the IDP were being conducted. [PENRO - South Cotabato]	ISO 9001:2015	7.2		<input type="checkbox"/> Close <input type="checkbox"/> NC
OBS03	Ensure validity of all documents being presented, especially if the transaction was temporarily halted due to client's decision. [Isolated case: previously provided Veterinary Certificate in one sampled transaction in the processing of Wildlife Permit was expired.]	ISO 9001:2015	8.2.3		<input type="checkbox"/> Close <input type="checkbox"/> NC

OBS04	Isolated Case: Overall Samples: 1/9. Transaction 20220600996 24 June 2022 Certificate of Registration of Surveying Instrument was tagged as "Original" in the records instead of "Renewal".	ISO 9001:2015	8.6			<input type="checkbox"/> Close <input type="checkbox"/> NC
OBS05	To be further checked next audit: ensuring that all management review inputs and outputs were consistently retained as documented information during the time of the audit.	ISO 9001:2015	9.3.1			<input type="checkbox"/> Close <input type="checkbox"/> NC
OBS06	Isolated case: 1/3 Quality Objective for Monitoring of Wildlife Permit Holders is not measurable (Target :To process, review and endorse WFP application to the PENRO within the prescribe time frame) [Law Enforcement Section, CENRO – Guiguinto]	ISO 9001:2015	6.2.c			<input type="checkbox"/> Close <input type="checkbox"/> NC
OBS07	There is a need to review established targets to ensure alignment and suitability of measurements in the actual service deliverables.	ISO 9001:2015	6.2			<input type="checkbox"/> Close <input type="checkbox"/> NC