

AUDIT REPORT

Continuation Page

Client ID No:	3775	Date of Audit:	9 Nov 2021	Page	of
Item #	<p>POTENTIAL NON-CONFORMITIES (STAGE 1 AUDITS ONLY) / OPPORTUNITIES FOR IMPROVEMENT NB: FOR STAGE 1 AUDITS POTENTIAL NON-CONFORMITIES MAY RESULT IN THE STAGE 2 AUDIT BEING DELAYED OR THESE BECOMING DOCUMENTED NON-CONFORMANCES DURING THE STAGE 2 AUDIT</p>				
RP1-CIP-2020	<p><u>Name of Organization:</u> Philippines National Police – Crime Lab – Reg Office 7 <u>Dates / s of Audit :</u> 9 Nov 2021 <u>Auditor :</u> Renato G. Madrid Jr. <u>Audit Standard / s:</u> ISO 9001:2015 <u>Audit Scope :</u> Provision of forensic investigation services. <u>Audit Type :</u> S1 <u>Areas/Functions/Processes Audited:</u></p> <ol style="list-style-type: none"> 1. Review of Internal and External Issue, Needs and Expectation of Interested Parties; Action Plan to Address Risks and Opportunities (Clause 4.1, 4.2, 6.1) 2. Forensic Investigation -Medico Legal –Polygraph Examination -Forensic Photography Analysis (Clause 6.2, 8, 9.1, 10.1 and 10.2) 3. Forensic Investigation -Questioned Document Examination -Scene of the Crime Operation -Firearms Identification and examination (Clause 6.2, 8, 9.1, 10.1 and 10.2) 4. Result of Internal Audit (Clause 9.2, 10.1, 10.2) <p><u>Audit Findings (per area/ function/ process)</u></p> <p>A. Context of the Organization/ Actions to Address Risks & Opportunities</p> <p>1 Conformities:</p> <ol style="list-style-type: none"> a) The organization has identified internal and external issues relevant to its activities using SWOT and PESTLE analysis. Some of these issues include : <ol style="list-style-type: none"> i) Internal issues <ol style="list-style-type: none"> (1) Resilient highly motivated personnel (2) Positive COVID test on some personnel (3) ISO Scope expansion program (4) Insufficient number of technically trained personnel ii) External Issues <ol style="list-style-type: none"> (1) Supportive PNP leadership (2) Political intervention (3) Responsive legal issuance (4) Health problem by exposure to hazards b) Interested Parties who are important to the organization were likewise determined. The requirements of these parties were also identified. Some of these include : 				



- 3 Nonconformity/ies(if any):
 - a) None
 - 4 Potential Nonconformity/ies (if any) Stage 1 only
 - C. Result of Internal Audit**
 - 1 Conformities:
 - a) Internal audit was conducted in RCLO7 last Aug 16-20, 2021. The Audit Plan indicated it covered 10 technical areas and 2 support branches.
 - b) The Audit Report was seen with the following results :
 - i) Conformities = 64
 - ii) OFI = 27
 - iii) Potential NC = 5
 - iv) Minor NC = 6
 - v) Major NC = 0
 - vi) CAR's Issued = 11
 - c) Four issued CAR's were examined (3 minor NC and 1 potential NC) :
 - i) CAR-028-21 – Potential NC : No DSLR camera for Finger Print Section
 - ii) CAR-033-21 – Minor NC : Unmet target for Finger Print Section – April – June
 - iii) CAR-035-21 – Minor NC : Incomplete monthly summary Autopsy Caes
 - iv) CAR-038-21 – Minor NC : Logbooks for incoming communication not updated
 - d) All CAR's were seen to be handled properly with CA implemented and verification of implementation scheduled in 3 months after application of CA. Effectiveness of CA is verified in the next IQA.
 - 2 Opportunity/ies for Improvement (if any):
 - a) The organization may want to consider the following improvements :
 - i) Verify implementation of corrective actions a short time after implementation date. Do not wait 3 months as it may be too late.
 - ii) Likewise, verification of CA effectiveness can be done a month or two after implementation of the CA. Don't wait until the next IQA which could be in six or more months. This might be too late to remedy ineffective CA.
 - 3 Nonconformity/ies(if any):
 - a) None
 - 4 Potential Nonconformity/ies (if any) Stage 1 only
 - D. Verification of Previous NC**
 - 1 No previous NC.
- =====END OF RP1-1 RGM=====