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**Audit Report as per**

**TRCert – ISO 9001:2015**

**for**

**National Water Resource Board**

8<sup>th</sup> Floor NIA Building, EDSA, Diliman Quezon  
City, 1100 Philippines

Client	Standard	Certification Number(s)	Audit Type
National Water Resource Board	ISO-9001:2015	01 100 181004TRP	Recertification Audit

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**Audit Leader** : Minda Fe Villapando

**Audit Team** : Roy Alminanza & Anelyn Matriano

**Client's representative** : Dr. Sevillo D. David Jr., Executive Director

**Audit Date** : November 11-12, 2021

## 1 Audit result

Management system effectiveness was verified on site by means of random sampling by an appropriately selected audit team. This applies in particular to the compliance of workflows with standard requirements and the descriptions in management system documentation. The special features of the organization's business activities, the applicable statutory and regulatory requirements and the requirements set forth in other generally applicable documents were also taken into account. This was done by means of a sampling approach, by conducting interviews and reviewing the appropriate documentation. Audit findings and recommendations regarding opportunities for improvement have been set forth in Sections 4 of this report.

<input 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 respective corrective action verified.
<input checked="" type="checkbox"/>	The current audit revealed <b>zero (0) major</b> nonconformities and <b>one (1) minor</b> nonconformities:
<input type="checkbox"/>	The major nonconformities with individual standard elements require a re-audit to verify the effectiveness of the corrections and corrective actions
<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

The auditor therefore recommends ([provided nonconformity response has been approved](#)):

<input checked="" type="checkbox"/>	Award of the new certificates.
<input 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.

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## 2 Scope

### 2.1 Description of the organization

The National Water Resources Board (NWRB), formerly National Water Resources Council (NWRC), came into being by virtue of Presidential Decree No. 424 in 1974. It was created to serve as an authoritative national organization to coordinate and integrate all activities involving water resources development and management.

In 1976, Presidential Decree No. 1067, otherwise known as the Water Code of the Philippines, was enacted. Based on the principles that: (a) all water belongs to the State; and (b) the State may allow the use or development of its waters by administrative concession, the NWRB was vested with the power to regulate and control the utilization, exploitation, development, conservation and protection of all water resources. The specific functions of the NWRB, as a water resource regulator, include among others, (a) the issuance water permits for the appropriation, and use of waters; and (b) adjudication of disputes relating to the appropriation, utilization, exploitation, development, control and conservation, protection of waters.

In 1977, the Board of Power and Waterworks (BPW) was abolished pursuant to Presidential Decree No. 1206. The function of the BPW as regards waterworks systems was later transferred to the NWRB, thereby, instituting the NWRB as an economic regulator of waterworks systems.

### 2.2 Scope of certification

Scope of certification:	Management and Administration of Water Resources and Water Service Providers
ISO 9001 standard requirements which are not applicable:	None
Reasons for non-applicability:	Not Applicable

The organization operates on a single shift schedule from 8:00 am to 5:00 pm, Monday to Friday.

Full audit was done using ICT (Information and Communication Technology). The used method was effective to achieve the audit objectives.

The following sites and their scopes are included in the scope of certification:

Site No.	Sites included in cert. Name/address of site	No. of emp.	Scope and processes	Standard	Audited
01	<b>National Water Resource Board</b> 8 <sup>th</sup> Floor, NIA Building, EDSA Diliman, Quezon City 1100 Philippines	103	Management and Administration of Water Resources and Water Service Providers	ISO-9001:2015	<input checked="" type="checkbox"/>

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### 3 Changes in the management system / Contract review

The following changes have been implemented in the management system and the management system documentation since the last audit. Major changes are:

- New Division Chiefs
  - Ms. Eloisa L. Legaspi –Chief Admin & Finance Division
  - Mr. Luis S. Rongavilla, Chief Monitoring & Enforcement Division
  - Atty. Archie Edsel C. Asuncion Chief, Water Rights Division

The implementation of these changes in the existing management system and the management system documentation was verified within the framework of the audit. Ref. NWRB Organization Chart July 20, 2021.

The description of the scope in the certificate appropriately reflects the scope of the management system.

A corresponding printing request is attached.

The audit plan was not changed during the audit.

### 4 Audit findings

The audit findings related to the audited standard are listed in the Annexes to this report (see. Annex ISO 9001:2015).

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.

No.	Unit/Department Site	Positive findings
1	Management	The National Water Resources Board received Most Outstanding Accounting Office Award for three (3) consecutive years 2018, 2019 & 2020, and Hall of Fame Award was given by the Association of Government Accountants Association of the Philippines (AGAP), Inc. on October 20, 2021. It now belongs to the elite Hall of Fame Category of Outstanding Accounting Offices as cited in the letter of AGAP National President dated September 22, 2021.
2	Water Rights Division	All Quality Objectives for Year 2021 were already exceeded as of October 2021 for Water Rights Division consisting of the following sections: Water Permit Section, Evaluation Section, Complaint & Investigation Section & Litigation & Adjudication Section.
3	Operation and Monitoring Section/ Enforcement Section	The quality objective to achieve 4,112 water sources/ facilities monitored & assessed by end of the year 2021, with actual result of 5,497/4,112 (133.68%) achievement as of Oct. 2021 is very commendable.

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4	Human Resource	<p>HR initiatives on the following is noteworthy:</p> <p>Comprehensive human resource information system started last October 2021 And Competency based system manual started last April 2021</p>
5	ICT	<p>Implementation of disaster recovery system/back-up that will be installed in Pam-panga with target completion date on December 2021 is noteworthy.</p> <p>Acquisition of the following:</p> <p>10 units. desktop computers 17 units. Laptop 4 units. Document feeder/Scanner 35 units. UPS 1 unit. Projector &amp; Screen (5,000 Lumens – Epson) 13 units. Printers (monochrome/colored)</p>

The following recommendations and opportunities for improvement provided by the audit team are intended to contribute to the continuous improvement of the management system.

No.	Unit/Department Site	Recommendations and opportunities for improvement
1	Internal Audit	Status of RFA No. 2021-029 will be checked next audit.
2	System and Account Section	<p>The following needs improvement:</p> <p>Examination of annual reports: 2021=620 YTD 2020=586 2019= 537</p> <p>Random Asset validation: 2021 – 46 YTD 2020- 14 ( severely affected by pandemic ) 2019- 47</p> <p>Note: There are 1051 water utilities whose annual reports that need to be examined and assets randomly validated.</p>
3	Water Resources Assessment Section	The status of the commissioning of telemetry monitoring instruments in the different wells installed in water critical areas will be verified next audit.
4	Water Permit Section	Risks and Opportunities Registry and Action Plan, NWRB-WRD-30-r9 -Water Rights Division update as of July 2021 –does not provide results of evaluation of effectiveness of actions to address risks and opportunities.

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5	Water Rates Evaluation Section	Related to Process Flow on Application for Certificate of Public Convenience, NWRB-WUD-01-r2 Rev. 2 Sept. 21, 2021 there was significant change in the process due to the pandemic such as Technical On-site/Online Inspection. The risks associated with the change (example data loss from submitted USB that contains footage of virtual inspections) –these are still being identified as well as the mitigating actions. The status will be checked next audit.
6	Litigation and Adjudication (Water Utilities)	<p>The effectiveness of the actions/strategies to achieve the following quality objectives by end of the year 2021 will be verified next audit:</p> <ul style="list-style-type: none"> <li>- Target: Number of Certificate of Public Convenience (CPC) application acted upon. Target: 124, Actual: 70 (56% achievement as of Oct. 2021)</li> <li>- Target: Number of Certificate of Public Convenience (CPC) related application decided. –Target: 16, Actual: 3 (19% achievement as of Oct. 2021)</li> </ul>
7	Bids and Awards Committee (Procurement)	<p>Consider enhancing the Annual Procurement Plan, to include the complete name instead of using the abbreviation/acronym (e.g., CO &amp; MOOE).</p> <p>Consider to enhance further the risk and opportunity register by assessing other potential risk and opportunities arising from external/internal issues, may need to include risk and opportunities from Bids and Awards Committee.</p> <p>May consider the consistency of “Chronology of Activities” based on Bidding Procedure.</p>
8	General Services	Ensure to communicate the result of evaluation of suppliers with respective external provider.
9	Water Resources Information Section /including ICT	<p>Consider to enhance the Preventive maintenance plan/schedule with the accomplishment and may include the newly procured equipment.</p> <p>Consider establishing regular inventory of all equipment.</p>
10	Water Meter Calibration Section	<p>Consider to establish corrective action report on the unmet target defined in the objectives (e.g., Water meter calibration section = 78,000 target)</p> <p>Consider to enhance the Routine Maintenance Checklist to include the complete name of the person conducted the test and evaluation.</p> <p>Consider to establish checklist on performing the preventive maintenance activities to support the target frequency (perform not later than 15<sup>th</sup> day of the month).</p>

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## 5 Dates

**Due Date for the next audit** 01.12.2022

**Agreed date for the next audit** 2022-October

December 6, 2021

Date



Minda Fe Villapando

Audit Leader / Auditor(s)



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## Annex ISO 9001:2015

Item	Audit result																
Context of the organization	<p>The organization has determined internal and external issues related to the following subject areas (Note: subject areas can be legal requirements, co-operations, competition, community etc.)</p> <p>Some of the external issues:</p> <ul style="list-style-type: none"> <li>- Scarcity of water</li> <li>- Increasing demand of water</li> <li>- Changing political leadership</li> <li>- Poor inter agencies coordination</li> <li>- Changing political direction</li> </ul> <p>Some of the internal issues</p> <ul style="list-style-type: none"> <li>- limited manpower</li> <li>- movement of personnel</li> <li>- obsolete equipment</li> </ul> <p>The organization has identified interested parties and the requirements of these parties. Examples for such determined interested parties are:</p> <table border="1" data-bbox="475 1249 1487 1825"> <thead> <tr> <th>Interested Parties</th> <th>Needs and Expectations</th> </tr> </thead> <tbody> <tr> <td>Water Users/Clients</td> <td>On time and accurate delivery of services</td> </tr> <tr> <td>Water Utility Operators</td> <td>Timely release of documents</td> </tr> <tr> <td>Employees</td> <td>Salary and benefits</td> </tr> <tr> <td>Well drillers</td> <td>Timeley release of permits</td> </tr> <tr> <td>Researchers, academe and consutling firms</td> <td>Easy access to reliable information</td> </tr> <tr> <td>Oversight Agencies (e.g. DBM, COA, Civil Service, and etc)</td> <td>Compliance of requirements</td> </tr> <tr> <td>External Providers</td> <td>Payment and continued business</td> </tr> </tbody> </table>	Interested Parties	Needs and Expectations	Water Users/Clients	On time and accurate delivery of services	Water Utility Operators	Timely release of documents	Employees	Salary and benefits	Well drillers	Timeley release of permits	Researchers, academe and consutling firms	Easy access to reliable information	Oversight Agencies (e.g. DBM, COA, Civil Service, and etc)	Compliance of requirements	External Providers	Payment and continued business
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Policy / objectives	<p>Top Management has declared its quality policy binding and implemented. The quality policy is appropriate and provides a framework for the respective quality objectives. It commits all employees to pursue continuous quality system improvement.</p>																

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	<p>Key quality objectives include:</p> <ul style="list-style-type: none"> <li>- 45% increase in river basins and critical areas with scientifically robust water information and decision support tools</li> <li>- 6% increase in the number of water use/water utilities regulated</li> <li>- 50% of water use violations/complaints acted upon within the 45 days</li> <li>- 10% of violations penalized or with cases filed in court</li> </ul> <p>Other quality objectives are reflected in Office Performance and Commitment Review, DPCRs, Individual Performance and Commitment Review. The assigned QMS Leader was responsible in implementing and monitoring the Company's Quality Management System to ensure its effectiveness.</p> <p>These are measurable and are controlled, communicated and up-dated regularly.</p>
Process control including outsourced processes	<p>The processes available in the organization have been identified and documented. Process workflows and interactions have been described and appropriately controlled. The processes are evaluated at regular intervals by means of key performance indicators.</p> <p>Key processes within the scope of product realization include:</p> <ul style="list-style-type: none"> <li>- Management process</li> <li>- Business Planning</li> <li>- Formulation of policies and guidelines</li> <li>- Enforcement Process</li> <li>- Monitoring and Evaluation</li> <li>- Processing of Application</li> <li>- Issuance of Water Permit and CPC</li> </ul> <p>The following processes have been outsourced:</p> <ul style="list-style-type: none"> <li>- Service Providers – Security; Equipment Maintenance (Contract); Consultants; Courier Services; Advertising Services</li> <li>- Rental of Facilities and Equipment- Office Space/ Warehouse; Photocopying Machine</li> </ul> <p>These processes are appropriately reviewed and controlled by means of contracts and periodic evaluation of external providers.</p>
Risk-based thinking	<p>Risk-based thinking has been applied for the following <b>processes</b>:</p> <ul style="list-style-type: none"> <li>• All processes within the organization applied the risk-based thinking</li> </ul> <p>Examples of <b>risks and opportunities</b> identified with in the process are:</p>

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	<ul style="list-style-type: none"> <li>• Change of management with lack of support to Quality Management System</li> <li>• Higher compensation of private sector causing resignation of personnel</li> <li>• Delays in securing site of monitoring wells</li> <li>• Uncontrolled response to order/notice of permittees within the prescribed period</li> <li>• Difficulty to implement closure order to waterworks operator who failed to comply orders and notices</li> <li>• Lack of manpower causing delay of releasing</li> </ul> <p>New risks identified</p> <ul style="list-style-type: none"> <li>• Failure to conduct or limited conduct of site inspection due to travel constraints/limitations</li> <li>• Lack of/inconsistent / inaccurate technical and/or financial data submitted in the applications</li> <li>• Failure to conduct onsite / field operations, meetings / seminars / IEC, and other programmed activities on field</li> <li>• Delay in the processing of water permit applications and resolution of cases due to limited and overworked staff</li> <li>• Difficulty in maintaining multiple database for every processes in the WRD; Action: full operationalization of WPMIS</li> <li>• Poor connectivity of parties during videoconferencing hearings; No action required- beyond control</li> <li>• Failure to conduct Agency Performance Review as planned</li> <li>• Disruption of the agency's on-site operations due to policy issuances to avoid spread of COVID-19 virus</li> </ul> <p>Examples of <b>measures</b> taken to react on identified risks are:</p> <ul style="list-style-type: none"> <li>• Briefing on the NWRB legal mandate and role of water management</li> <li>• Implementation of merit system</li> <li>• Implement back up/Redundancy Plan</li> <li>• Impose penalty to consultants</li> <li>• Office of the NWRB to issue guidelines on the conduct of team building</li> <li>• Close coordination with regulatory agencies</li> <li>• Monitoring of transactions daily</li> <li>• NWRB to issue office order that only client's with complete requirements in the application of CPC and other related areas cases will be accepted</li> </ul>

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	<ul style="list-style-type: none"> <li>• Buffer personnel to substitute absentees</li> <li>• Close monitoring of projects</li> </ul> <p>Measures taken to react on identified new risks:</p> <ul style="list-style-type: none"> <li>• Implementation of virtual inspection upon approval by the Executive Director</li> <li>• Implementation of the “Policy on the Implementation of Virtual Inspection in the issuance of CPC and Other Related Applications and conduct of Asset Validation for CPC Grantees in the Face of COVID-19 Pandemic and its Operational Guidelines”</li> <li>• Close monitoring of schedule on Internal and possible external activities.</li> <li>• Coordination with the concerned staff for their availability on the scheduled virtual APR</li> <li>• Implementation of work from home arrangement.</li> </ul> <p>Examples of risks and opportunities concerning the <b>context</b> of the organization are:</p> <ul style="list-style-type: none"> <li>• Scarcity of water resources</li> <li>• Wrong information indicated in the water permit application</li> <li>• No monitoring and evaluation system of implementation of approved policies related to water resources</li> <li>• Lack of policy on the submission of complete requirements for water permit and CPC application</li> <li>• Delay of releasing documents</li> <li>• One stop shop as an implementation of ease in doing business</li> <li>• Computerization of all transactions</li> </ul> <p>New risk concerning the context of the organization for the year 2020 &amp; 2021:</p> <ul style="list-style-type: none"> <li>• Unavailability / insufficiency of water supply during emergencies (pandemic due to COVID-19, etc.)</li> <li>• Employee confirmed positive with COVID-19</li> </ul> <p>Concerning risk based thinking the following <b>tools</b> are used:</p> <ul style="list-style-type: none"> <li>• SWOT Analysis and Modified FMEA (Failure Mode and Effect Analysis) – e.g. applied in the production processes</li> <li>• Risk Management (based on the concept of ISO 31000), reference to the Risk Register</li> </ul>

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Customer-related and other requirements	<p>The organization analyses and evaluates customer requirements and/or enquiries and any documented, assumed, statutory and regulatory requirements within the scope of a production and feasibility study performed in a team.</p> <p>Policies, Guidelines, Department and Administrative Orders are prepared by Policy Formulation and reviewed by Policy and Program head and approved by the board with the Executive Director.</p> <p>The following process requirements significantly affect product or service quality:</p> <ul style="list-style-type: none"> <li>• Policy Formulation</li> <li>• Program Evaluation</li> <li>• Water Resources Assessment</li> <li>• Water Resources Information</li> <li>• Water Permit Process</li> <li>• Litigation and Adjudication Process</li> <li>• Registration and Licensing</li> <li>• Water Rates Evaluation</li> <li>• Monitoring and Enforcement</li> <li>• Water Meter Calibration</li> </ul> <p>Key regulatory, statutory and customer-related requirements include:</p> <ul style="list-style-type: none"> <li>• PD 424 of 1974 –Creation of NWRB</li> <li>• PD 1067-Water Code of the Philippines</li> <li>• Commonwealth Act of 146</li> <li>• PD 1206 of 1977 Assigning the residual functions of the Board</li> <li>• EO 124-A of 1987</li> <li>• NWRB 2017-2022 Strategic Plan</li> <li>• DBM and COA Circulars;</li> <li>• CSC Rules and Regulations</li> <li>• Government Auditing Code of the Philippines;</li> <li>• RA9184 and its IRR; RA6713; ARTA</li> <li>• National Archive of the Philippines</li> </ul>
Customer satisfaction and complaints	<p>The organization maintains documented and effective procedures governing the handling of information, data analyses, improvement actions and responses to customer feedback.</p>

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	<p>Customer Satisfaction Survey is conducted to determine the perceptions of clients in terms of their satisfaction with the services, specifically the issuance of permits and licenses. NWRB attained an overall above Satisfactory result for all frontline services with data coming from the surveys.</p> <p>Customer Satisfaction Result: (January to September 2021)</p> <ul style="list-style-type: none"> <li>• January 2021= 98.21%</li> <li>• February 2021= 99.58%</li> <li>• March 2021= 98.21%</li> <li>• April- May 2021- none – ECQ</li> <li>• June 2021 = 91.67%</li> <li>• July 2021= 97.99%</li> <li>• Aug 2021= 100%</li> <li>• Sept 2021= 100%</li> </ul> <p>Complaints received through the 8888 Presidential Action Center shall be acted upon within 72 hours response time.</p> <p>Customer Feedback / Complaints Result: (January to October 2021)</p> <ul style="list-style-type: none"> <li>• 35 Customer Feedback/Complaints received</li> <li>• 33 valid Customer Feedback/Complaints</li> <li>• All were resolved</li> </ul>
Internal audit and management review	<p>The organization measures the implementation, maintenance and effectiveness of the management system by means of annually scheduled system audits. The organization reliably carries out these audits.</p> <p>Internal Audit Date: <a href="#">August 23-31, 2021</a></p> <p>Result of Internal Audit:</p> <ul style="list-style-type: none"> <li>• 11 Nonconformities (NC); 4 closed</li> <li>• 29 Opportunities for Improvement (OFI)</li> <li>• 48% closed- NC and OFI</li> </ul> <p>Top management reviews the organization's management system at regular intervals and in line with the requirements to ensure its continuous suitability, adequacy and effectiveness. The management review was carried out in accordance with the requirements and was effective</p> <p>Date of last management review: <a href="#">Sept. 29, 2021</a></p>
Use of certificate and logo	<p>The logo and the certificate are used in compliance with the requirements. This has been checked by sampling. The sampling included business cards, company brochures or websites or others.</p>

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Chapter of standard	4.1	4.2	4.3	4.4	5.1 / 5.1.1g	5.2	5.3	6.1	6.2	6.3		
Rating *	1	1	1	1	1 / 3	1	1	1	1	1		
No. of nonconformity	N/A	N/A	N/A	N/A	1/1	N/A	N/A	N/A	N/A	N/A		
Chapter of standard	7.1	7.2	7.3	7.4	7.5	8.1	8.2	8.3	8.4	8.5	8.6	8.7
Rating *	1	1	1	1	1	1	1	1	1	1	1	1
No. of nonconformity	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Chapter of standard	9.1	9.2	9.3	10.1	10.2	10.3						
Rating *	1	1	1	1	1	1						
No. of nonconformity	N/A	N/A	N/A	N/A	N/A	N/A						

- \* **Rating:**
- 1 = conforming
  - 2 = not audited in this audit
  - 3 = nonconformity (see nonconformity report)
  - 4 = not applicable