



TÜVRheinland[®]

Precisely Right.

01 100 1634709 / 01 153 127464

**First Surveillance (FSA)
Audit Report**

as per

ISO 9001:2015 / ISO/IEC 27001:2013

for

Philippine Guarantee Corporation

Jade Building, 335 Sen Gil J. Puyat Avenue, 1200
Makati City, Philippines

Client	Standard(s)	Certification Number(s)	Audit Type
Philippine Guarantee Corporation	ISO 9001:2015 / ISO/IEC 27001:2013	01 100 1634709 / 01 153 127464	1 st Surveillance (FSA) / 1 st Surveillance (FSA) – Remote Audit

Audit Leader : Ramoncito Puyat (QMS & ISMS)

Audit Team : Ricky Inocencio (ISMS only)

Client's representative : Estrellita Tesoro, VP, Corporate Compliance & Standards Office
Lloyd Sioson, VP, IT Department / IS & Incident Mgmt Comm.Head
Maria Lourdes Abayari, Quality Mgmt Officer IV / Dep. IMS Mgmt Rep

Audit Date : 09-11 November 2020

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 checked="" 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"/>	<p>The current audit revealed the following nonconformities:</p> <table border="1"> <thead> <tr> <th>Standard(s):</th> <th>No. of major nonconformity</th> <th>No. of minor nonconformity</th> </tr> </thead> <tbody> <tr> <td>ISO 9001</td> <td>None (0)</td> <td>None (0)</td> </tr> <tr> <td>ISO 27001</td> <td>None (0)</td> <td>One (1) – NCR#1/1 – Cl. 9.2</td> </tr> </tbody> </table>	Standard(s):	No. of major nonconformity	No. of minor nonconformity	ISO 9001	None (0)	None (0)	ISO 27001	None (0)	One (1) – NCR#1/1 – Cl. 9.2
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ISO 9001	None (0)	None (0)								
ISO 27001	None (0)	One (1) – NCR#1/1 – Cl. 9.2								
<input type="checkbox"/>	The major nonconformities (No. x) with individual standard elements require a re-audit to verify the effectiveness of the corrections and corrective actions (probable date:..ddmmyyyy)									
<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 standard(s).									

The audit team therefore recommends (provided nonconformity response has been approved):

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