

Spanish Town Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – LEADERSHIP

Audit of: Leadership	Auditor: Natasha Whyte	Audit Criteria: ISO 9001:2015 clause 5.1.1 (a-d)	Auditees: Fitzroy Wedderburn
<p>Audit Evidence:</p> <p>Management had demonstrated leadership and commitment to the QMS by informing the staff via staff meetings, newsletter and training. Minutes of 1 ISO Sensitization meeting and 2 ISO meetings held with general staff over the period April 2021 to June 2021 was presented. The minutes had record of the staff being informed of the impending ISO certification for the location, training for the QMS, resources which are needed and the importance of maintaining the ISO certification when qualified. Newsletter # 5 dated April 2021 was sent to all users via email informing staff of the impending phase 2 implementation of ISO at the Spanish Town Tax Office. Staff was trained/sentized in the QMS during the period April 2021 to June 2021. See training working papers in team mate for details of training. Management also ensure that the quality policy and objectives were established and implemented as evident in the quality policy document. Management also monitor the QMS via the monthly quality objective reports.</p>			
<p>Evaluation:</p> <p>During the review of management commitment to the QMS it was seen where they have demonstrated leadership and commitment to the QMS by ensuring the quality policy and objectives were established and implemented, conducting training sessions with staff to promote the QMS, and by taking accountability of the QMS by reporting on the QMS monthly via their monthly reports. This is in conformity to ISO 9001:2015 clause (5.1.1 a-d) which speaks to management demonstrating leadership and commitment to the QMS.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – LEADERSHIP

Audit of: Leadership	Auditor: Natasha Whyte	Audit Criteria: ISO 9001:2015 clause 5.2.1	Auditees: Fitzroy Wedderburn
<p>Audit Evidence:</p> <p>There is an approved, signed quality policy document which outlines the scope and objectives of the QMS. This policy was made available as documented information and sent to the General Managers. It was retained by the Policy and Transformation Unit. The document was reviewed by the Policy and Transformation Unit and the</p>			

revision dates were seen recorded on the revision history page of the policy document. The last review date recorded was July 5, 2021 for the expansion of the scope.

Evaluation:

During the review of establishing the quality policy it was seen where the organization has established a quality policy document which was approved by the Executives. The policy was seen appropriate to the purpose of the organization, commitment to satisfy applicable requirements and continued improvement of the QMS. The organization therefore conforms to ISO 9001:2015 clause 5.2.1 (a-d) as they have established, implemented and maintained a quality policy which conforms to ISO standards.

Effectiveness:

CONFORMITY REPORTS – LEADERSHIP

Audit of: Leadership	Auditor: Natasha Whyte	Audit Criteria: ISO 9001:2015 clause 5.2.2	Auditees: Fitzroy Wedderburn
Audit Evidence:			
The quality policy statement was seen on TAJ's intranet and also on the website. It was also displayed in the lobby area and on the wall in the Taxpayer Service Unit.			
Evaluation:			
During the review of Communication of the quality policy it was determined that the location was conforming to ISO 9001:2015 5.2.2 (a-b) as the policy statement was available and maintained, as a documented information on the organization intranet, website, the lobby and in the Taxpayer Service Unit for staff and the taxpayer to see.			
Effectiveness:			

CONFORMITY REPORTS – LEADERSHIP

Audit of: Leadership	Auditor: Natasha Whyte	Audit Criteria: ISO 9001:2015 clause 5.3 (a-b)	Auditees: Fitzroy Wedderburn
Audit Evidence:			
There was evidence that the roles and responsibilities for the QMS was assigned through the Job descriptions (JDs) and SOP's. The SOP's & JDs were created by the OD Unit in collaboration with the process owners.			

Evaluation:

During the review of the Organization roles, responsibilities and authorities, it was revealed that, the roles & responsibilities for the QMS were assigned and communicated via the SOPs and Job descriptions. This was in conformity to ISO 9001:2015 clause 5.3 (a-b) which states that top management shall assign the responsibility and authority for ensuring that the QMS conforms to the requirements of the standard and that the processes are delivering their intended output.

Effectiveness:

OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1	Auditor (s): Natasha Whyte	Date: August 31, 2021
Audit of : Leadership	Audit Criteria: ISO 9001:2015 clause 5.1.2	
<p>Statement of Opportunity:</p> <p>There is an opportunity for improvement of the Customer Feedback Report by including the specified actions that were implemented to address smoother operation due to COVID-19, in the Resolution Column for the customer complaint on lengthy wait. Also the reasons for no resolutions should be recorded in the remarks column for the issues without resolutions.</p> <p>Responsible Party: Christine Webb</p>		
Auditor Signature:		Signature: