

Spanish Town Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 Clause 7.1.3 (a)	Auditees: Andrew Shaw
<p>Audit Evidence:</p> <p>Preventative Maintenance schedule was provided, however the Property Manager informed the Auditor that the schedule was recently developed and implemented May 2021.</p>			
<p>Evaluation:</p> <p>During the audit of the preventative maintenance property process on August 18, 2021 it was established that a preventative maintenance schedule was in place for the Spanish Town Tax Office. This was in conformance with ISO 9001:2015 clauses 7.1.3 a & b and 7.5.3.1 a & b which states "The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services a) buildings and associated utilities; b) equipment, and "Documented information required by the quality management system and by this International Standard shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)." respectively.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: N/A	Auditees: Andrew Shaw
<p>Audit Evidence:</p> <p>Service Contract for Janitorial and Garbage Disposal were requested and obtained. However, the Property Manager informed the Auditor that currently at the Spanish Town Tax Office an arrangement has been made with GMC Haulage Ltd to remove garbage from the location as service contract provider, Premier Waste Management. Ltd. has not commence services due to the fact that the pervious contractor's skip remains on the premises of the Tax Office.</p>			

Evaluation:

During the audit of the preventative maintenance property process on July 8, 2021 it was established that service contracts were in place for both janitorial and garbage disposal at the Spanish Town Tax Office. This was in conformance with ISO 9001:2015 clauses 7.1.4 c and 7.5.3.1 a & b which states " The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise) and "Documented information required by the quality management system and by this International Standard shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity)." respectively.

Effectiveness:

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 Clause 7.1.4 (a, b, c)	Auditees: Andrew Shaw
Audit Evidence:			
Walkthrough conducted on August 18, 2021 revealed the existence of a designated emergency assembly point at the car park which was labelled.			
Evaluation:			
During the audit of the preventative maintenance - property process on August 18, 2021 it was established that a designated emergency assembly point was at the car park which was labelled. This was conforming with ISO 9001:2015 7.1.4 which states " The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise)			
Effectiveness:			

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE -

PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 Clause 7.1.4 (a, b, c)	Auditees: Andrew Shaw
<p>Audit Evidence:</p> <p>Walkthrough conducted August 18, 2021 revealed walk ways and emergency exits were in place and were clearly and properly labelled.</p>			
<p>Evaluation:</p> <p>During the audit of the preventative maintenance - property process on August 18, 2021 it was established that walk ways and emergency exits were in place at the May Pen Tax Office and were clearly and properly labelled and accessible. This was conforming with ISO 9001:2015 7.1.4 which states " The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise)</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 Clause 7.1.4 (a, b, c)	Auditees: Andrew Shaw
<p>Audit Evidence:</p> <p>Walkthrough conducted on August 18, 2021 revealed the existence of a ramp at the entrance of the building that gave access to physically challenged individuals whether by wheelchair or otherwise</p>			
<p>Evaluation:</p> <p>During the audit of the preventative maintenance - property process on August 18, 2021 it was established that a ramp was constructed at the entrance of the building that gave access to physically challenged individuals whether by wheelchair or otherwise. This was conforming with ISO 9001:2015 7.1.4 which states " The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE</p>			

A suitable environment can be a combination of human and physical factors, such as:
a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise)

Effectiveness:

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 Clause 7.1.4 (a, b, c)	Auditees: Andrew Shaw
<p>Audit Evidence:</p> <p>Walkthrough exercise conducted on August 18, 2021 revealed bathroom facilities and kept clean however, the male and female bathroom facilities provided for Taxpayers are in a deplorable condition and requires repair.</p>			
<p>Evaluation:</p> <p>During the audit of the preventative maintenance - property process on August 18, 2021 walkthrough conducted established that bathroom facilities were provided for Taxpayers and were kept clean. This was in conformance with ISO 9001:2015 7.1.4 which states " The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise)</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 Clause 7.1.4 (a, b, c)	Auditees: Andrew Shaw
<p>Audit Evidence:</p>			

Walkthrough conducted on August 18, 2021 revealed there were signs and labels in place throughout the Tax Office for Taxpayers to identify different Units to conduct business.

Evaluation:

During the audit of the preventative maintenance property process on August 18, 2021 it was established that the process was conforming with ISO 9001:2015 7.1.4 which states "The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise) as there were signs and labels identified throughout the Tax Office for Taxpayers to identify different Units to conduct business.

Effectiveness:

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Recardo Rowe	Date: August 31, 2021
Audit of : Preventative Maintenance - Property	Audit Criteria: ISO 9001:2015 Clause 7.1.3 (a)	
Statement of Nonconformity: During the audit of the preventative maintenance property process August 18, 2021 it was established that monthly report for preventative maintenance work carried out for the period May 2021 - June 2021 were not presented by the Maintenance Officer to show schedule maintenance was executed. This was not in conformance with ISO 9001:2015 7.1.3 a which states "The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. a) buildings and associated utilities;"		
Responsible Party: Sandra Logan		
Auditor Signature:		Signature:

NONCONFORMITY REPORT

Incident Identification Number: 000000.00002

Non-Conformity Report	Auditor (s): Recardo Rowe	Date: August 31, 2021
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#: 2		
Audit of : Preventative Maintenance - Property	Audit Criteria: N/A	
<p>Statement of Nonconformity:</p> <p>During the audit of the preventative maintenance property process on August 18, 2021 it was established that no documentary evidence/record was presented to show maintenance activities were executed accordance with the maintenance schedule presented for the period 2021/2022. This was not in conformance with ISO 9001:2015 clause 7.5.3.1 (a, b) which states " Documented information required by the quality management system and by this International Standard shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity). "</p>		
Responsible Party: Sandra Logan		
Auditor Signature:		Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00003		
Non-Conformity Report #: 3	Auditor (s): Recardo Rowe	Date: August 31, 2021
Audit of : Preventative Maintenance - Property	Audit Criteria: ISO 9001:2015 Clause 8.2.3.2 (a, b)	
<p>Statement of Nonconformity:</p> <p>During the audit of the preventative maintenance property process on August 18, 2021 it was established that the preventative maintenance work carried out by the Maintenance Officer were not being monitored as no documentary evidence was presented to show monitoring. This was not in conformance with ISO 9001:2015 clause 8.2.3.2 (a) which states "The organization shall retain documented information, as applicable: a) on the results of the review; b) on any new requirements for the products and services. "</p>		
Responsible Party: Sandra Logan		
Auditor Signature:		Signature:

NONCONFORMITY REPORT

Incident Identification Number: 000000.00004		
Non-Conformity Report #: 4	Auditor (s): Recardo Rowe	Date: August 31, 2021
Audit of : Preventative Maintenance - Property	Audit Criteria: ISO 9001:2015 Clause 7.1.5.1 (a)	
<p>Statement of Nonconformity:</p> <p>During the audit of the preventative maintenance - property process on August 19, 2021 it was established invoice # 21979 and 21857 for the servicing of Fire extinguishers were not signed and stamped service satisfactorily completed for the quarterly servicing of extinguishers. This was not in conformance with ISO 9001:2015 clause 7.15.1 which states "The organization shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements. The organization shall retain appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources"</p> <p>Responsible Party: Sandra Logan</p>		
Auditor Signature:		Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00005		
Non-Conformity Report #: 5	Auditor (s): Recardo Rowe	Date: August 31, 2021
Audit of : Preventative Maintenance - Property	Audit Criteria: ISO 9001:2015 Clause 8.4.1 a	
<p>Statement of Nonconformity:</p> <p>During the audit of the preventative maintenance property process on August 18, 2021 it was established that no performance evaluation was implemented to evaluate suppliers at the end of contracts. This was not in conformance with ISO 9001:2015 clause 8.4.1 which states "The organization shall ensure that externally provided processes, products and services conform to requirements. The organization shall determine the controls to be applied to externally provided processes, products and services when: a) products and services from external providers are intended for incorporation into the organization's own products and services;"</p> <p>Responsible Party: Sandra Logan</p>		
Auditor Signature:		Signature:

