

# Spanish Town Tax Office

## ISO 9001:2015 Quality Management System Audit

### Internal Audit Report

## CONFORMITY REPORTS – RISK AND OPPORTUNITIES

Audit of: Risk and Opportunities	Auditor: Natasha Whyte	Audit Criteria: ISO 9001:2015 clause 6.1.1 & 6.1.2	Auditees: Fitzroy Wedderburn
<p>Audit Evidence:</p> <p>The SWOT and Stakeholder Analysis were received and reviewed. The SWOT identified the office strengths, weakness opportunities and threats. The Stakeholder Analysis recorded the interested stakeholders to the tax officer and these stakeholders needs, wants and expectations. It also went further to record the need, expectation and wants required by the office/location from the stakeholders. The PESTEL Analysis identified the external factors which would affect the office and the level of possible or negative impact. The Sub- Risk Register recorded the internal and external issues which might affect the processes. Determination of what actions to be taken to address the risks were recorded in the sub-risk registers. There is a criteria document in the risk register for risks to be accept, avoid or transfer. The sub register also recorded how these risks will be treated.</p>			
<p>Evaluation:</p> <p>During the audit of opportunities and risks it was established that ISO 9001:2015 clause 6.1.1 (a-d) which states that the organization shall consider the issues referred to in 4.1. and 4.2 and determine the risks and opportunities that need to be addressed, there was no occurrence of a breach as risks and opportunities that could influence the performance of the QMS were identified through the risk analysis carried out from the SWOT, Pestle and stakeholders analysis. During the audit of opportunities and risks it was established that ISO 9001:2015) &amp; 6.1.2 which states that the organization shall plan actions to address these risks and opportunities; there was no occurrence of a breach as the criteria document in the risk register shows what actions the organization would take to address risks and opportunities.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – RISK AND OPPORTUNITIES

Audit of: Risk and Opportunities	Auditor: Natasha Whyte	Audit Criteria: ISO 9001:2015 clause 6.2.1	Auditees: Fitzroy Wedderburn
<p>Audit Evidence:</p> <p>The Quality objectives are measurable. This was evident in the Quality Objective Review carried out monthly by the location. Measurement/monitoring was done monthly based on the targets set in the Operational Divisional Plan which filter down</p>			

to the work plan. The quality objective reports shows whether the targets were met. The quality objectives are communicated throughout the organization via the Key results area( KRA) in the staffs appraisal.

Evaluation:

During the review of the establishment of the quality objectives, it was determined that quality objectives were established and implemented as evident in the Quality Objective Monthly Reports. They were consistent with the quality policy,measurable, monitored and communicated within the organization. This was conformity to ISO 9001:2015 to 6.2.1 (a-g), which speaks to the quality objectives being consistent, measurable, relevant to the conformity of products and services and were being monitored.

Effectiveness: