

# Falmouth 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: 7.1.5.1	Auditees:
<p>Audit Evidence:</p> <p>Invoices for the bi-weekly servicing of Sanitary bins for the period June 2021 to August 2021 were reviewed and invoices on file were stamped and signed services satisfactorily completed for: Invoice # Period Inv. Date Remarks 05033895 16/7/2021 - 15/8/2021 16/7/2021 Certified 05032048 16/5/2021 - 15/6/2021 17/5/2021 Certified No invoices were submitted for August 2021 and no service reports were seen for the Falmouth Tax Office for the period June 2021 to August 2021</p>			
<p>Evaluation:</p> <p>During the audit of the preventative maintenance - property process on September 15, 2021 it was established that invoices for payment for services rendered were stamped service satisfactorily completed for invoice # 05033895, 05032048 for the period June 2021 to August 2021. This was 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>Effectiveness:</p>			

## CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 clause 7.1.4 (c)	Auditees:
<p>Audit Evidence:</p> <p>Walkthrough conducted on September 15, 2021 revealed the existence of a designated emergency assembly point at the car park which was labelled.</p>			
<p>Evaluation:</p> <p>During the audit of the preventative maintenance - property process on September</p>			

15, 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 (c)	Auditees:
Audit Evidence:			
Walkthrough conducted on September 15, 2021 revealed walk ways and emergency exits were in place and were clearly and properly labelled.			
Evaluation:			
During the audit of the preventative maintenance - property process on September 15, 2021 it was established that emergency exits were in place at the Falmouth 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)			
Effectiveness:			

### CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance -	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 clause 7.1.4 (c)	Auditees:
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Property			
<p>Audit Evidence:</p> <p>Walkthrough conducted on September 15, 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 September 15, 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 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 (c)	Auditees:
<p>Audit Evidence:</p> <p>Walkthrough exercise conducted on September 15, 2021 revealed bathroom facilities were provided for Taxpayers and were kept clean.</p>			
<p>Evaluation:</p> <p>During the audit of the preventative maintenance - property process on September 15, 2021 walkthrough conducted established that bathroom facilities were provided for Taxpayers and were kept clean and sanitized. 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>			

Effectiveness:

## CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - PROPERTY

Audit of: Preventative Maintenance - Property	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 clause 7.1.4 (c)	Auditees:
Audit Evidence:  Walkthrough conducted on September 15, 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 September 15, 2021 it was established that as there were signs and labels identified throughout the Tax Office for Taxpayers to identify different Units to conduct business. 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. 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:			

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Recardo Rowe	Date: September 24, 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 on September 15, 2021 it was established that a preventative maintenance schedule was not in place for the Falmouth Tax Office. This was not 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.

Responsible Party: Sandra Logan

Auditor Signature:	Signature:
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## NONCONFORMITY REPORT

Incident Identification Number: 000000.00002

Non-Conformity Report #: 2	Auditor (s): Recardo Rowe	Date: September 24, 2021
Audit of : Preventatve Maintenance - Property	Audit Criteria: ISO 9001:2015 clause 7.1.3 (a)	

Statement of Nonconformity:

During the audit of the preventative maintenance property process on September 15, 2021 it was established that preventative maintenance work carried out for the period June 2021 to August 2021 were not formally recorded by the Maintenance Officer to show maintenance activities were carried out. This was not in conformance with ISO 9001:2015 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)." respectively.

Responsible Party: Sandra Logan

Auditor Signature:	Signature:
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## NONCONFORMITY REPORT

Incident Identification Number: 000000.00003

Non-Conformity Report #: 3	Auditor (s): Recardo Rowe	Date: September 24, 2021
Audit of : Preventatve Maintenance - Property	Audit Criteria: ISO 9001:2015 clause 7.5.3.1 a &	

b	
Statement of Nonconformity:	
<p>During the audit of the preventative maintenance property process on September 15, 2021 it was established that preventative maintenance work carried out for the period June 2021 to August 2021 were not formally recorded by the Maintenance Officer to show maintenance activities were carried out. This was not in conformance with ISO 9001:2015 7.5.3.1 a &amp; 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)." respectively.</p>	
Responsible Party: Sandra Logan	
Auditor Signature:	Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00004		
Non-Conformity Report #: 4	Auditor (s): Recardo Rowe	Date: September 24, 2021
Audit of : Preventative Maintenance - Property	Audit Criteria: ISO 9001:2015 clause 7.1.4 (c)	
Statement of Nonconformity:		
<p>During the audit of the preventative maintenance property process on September 15, 2021 it was established that no service contracts was in place for the servicing of fire extinguishers at the Falmouth Tax Office and that fire extinguisher were last serviced November 2017 . This was not in conformance with ISO 9001:2015 clauses 7.1.4 c and 7.5.3.1 a &amp; 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;</p>		
Responsible Party: Sandra Logan		
Auditor Signature:	Signature:	

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00005		
Non-Conformity Report #: 5	Auditor (s): Recardo Rowe	Date: September 24, 2021
Audit of : Preventatve 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 September 15, 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: