

Spanish Town Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – HUMAN RESOURCE DEVELOPMENT - TRAINING

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| Audit of: Human Resource Development - Training | Auditor: Kerena Graham | Audit Criteria: ISO 9001:2015 7.1.6 | Auditees: Michael Marshall |
| <p>Audit Evidence:</p> <p>The training and sensitization ISO programs for Spanish Town are derived from a request of the Chief Policy & Transformation Officer which was sent to the General Manager via email d/d January 26, February 4, April 15,23,26,27,29 and May 25,2021. The need for training of 91 staff for the group 1-9 covering the period January - June 2021 was communicated to the Training Unit via email d/d January 26, February 4, April 15,23,26,27,29 and May 25,2021</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Training Unit, for the period April 2021 - July 2021, it was established that, the training needs were identified and communicated by email in conformity with ISO 9001:2015 clause 7.1.6 which states The organization shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services. Documentary evidence was retained in conformity to ISO 9001:2015 clause 7.5.3.1 which states that 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> | | | |
| <p>Effectiveness:</p> | | | |

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| Audit of: Human Resource Development - Training | Auditor: Kerena Graham | Audit Criteria: ISO 9001: 2015 7.4 | Auditees: Michael Marshall |
| <p>Audit Evidence:</p> <p>The quarterly training schedules for April - June 2021 shows that 26 courses were offered to the staff. The training schedules were distributed to all users via email dated April 30, 2021.</p> | | | |
| <p>Evaluation:</p> | | | |

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| <p>"During the audit of the Training Unit, for the period April 2021 - July 2021, it was established that the issuing of training schedules for the period was communicated to all officers via email which are in conformity to ISO 9001:2015 clause 7.4 The organization shall determine the internal and external communications relevant to the quality management system, including: a) on what it will communicate; b) when to communicate; c) with whom to communicate; d) how to communicate; e) who communicates."</p> |
| <p>Effectiveness:</p> |

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| Audit of: Human Resource Development - Training | Auditor: Kerena Graham | Audit Criteria: ISO 9001: 2015 7.2(b) | Auditees: Michael Marshall |
| <p>Audit Evidence:</p> <p>The training register showed that officers received ISO training and sensitization, and on the job training within the Audit unit. There were instances of on the job training conducted however there is no documentary evidence to support the training.</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the training unit it established that the staff at the Spanish Town Tax office received ISO training and sensitization for the period April 2021- June 2021. This is in conformity with the ISO 9001: 2017 7.2(b) which states the organisation...ensure that these persons are competent on the basis of appropriate education, training, or experience;"</p> | | | |
| <p>Effectiveness:</p> | | | |

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| Audit of: Human Resource Development - Training | Auditor: Kerena Graham | Audit Criteria: ISO 9001: 2015 8.5.2 | Auditees: Michael Marshall |
| <p>Audit Evidence:</p> <p>Certificates were not given to participants for on the job training and sensitization. Certificates were given for the ISO training. The review of sample of 10 participants</p> | | | |

verified that the certificates for the ISO training were prepared. The name of the officers are listed below 1. Kadeisha Cowell-Lewis 2. Fitzroy Wedderburn 3. Patricia Watson-DeGouthe 4. Ruth Francis 5. Joan Williams 6. Claudia Ricketts 7. Jacqueline Hutchinson 8. Jeveene Thomas 9. Keisha Cooke 10. Norma Lattie

Evaluation:

"During the audit of the training unit it was established that certificates for the ISO training for the period April 2021- June 2021 were prepared for the participants. This is in conformity with ISO 9001:2015 8.5.2 which states in part The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services."

Effectiveness:

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| Audit of: Human Resource Development - Training | Auditor: Kerena Graham | Audit Criteria: ISO 9001:2015 7.5.3.1 | Auditees: Michael Marshall |
| <p>Audit Evidence:</p> <p>"With the advent of the Covid-19 pandemic the courses are administered online. The register for the ISO training are kept in both soft and hard copies. A sample of 8 participants were verified in the register as attending the training for the period April - June 2021 see names below: 1. Stephanie Smith 2. Hugh Samuels 3. Annfred Murray 4. Marvel Bryce 5. Claudia Ricketts 6. Jeffery Brown 7. Natasha Reid-Dixon 8. Alicia Eccleston 9. Kerine Young"</p> | | | |
| <p>Evaluation:</p> <p>"During the audit of the training unit it was established that the registers for the ISO training for the period April 2021- June 2021 were prepared and maintained for the participants. This is in conformity with ISO 9001:2017 7.5.3.1 (a & b) 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> | | | |
| <p>Effectiveness:</p> | | | |

NONCONFORMITY REPORT

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| Incident Identification Number: 000000.00001 | | |
| Non-Conformity Report #: 1 | Auditor (s): Kerena Graham | Date: August 31, 2021 |
| Audit of : Human Resource Development - Training | Audit Criteria: ISO 9001:2015 8.4.1 | |
| <p>Statement of Nonconformity:</p> <p>During the audit of the training unit it was established that there was no documentary evidence of evaluation of the ISO Trainers by the 91 participants for the ISO training conducted for the period April 2021- June 2021. This is a non-conformity with ISO 9001:2017 8.4.1 which states The organization shall ensure that externally provided processes, products and services conform to requirements. The organization shall determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. The organization shall retain documented information of these activities and any necessary actions arising from the evaluations.</p> | | |
| Responsible Party: Sharon Mitchell | | |
| Auditor Signature: | | Signature: |

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| <p align="center">OPPORTUNITY REPORT</p> <p align="center">Incident Identification Number: 000000.00001</p> | | |
| Opportunity Report #: 1 | Auditor (s): Kerena Graham | Date: August 31, 2021 |
| Audit of : Human Resource Development - Training | Audit Criteria: ISO 9001:2015 7.2 (d) | |
| <p>Statement of Opportunity:</p> <p>During the audit of the training unit it was established that the officers received on the job training for 6 processes i.e GCT, Zero-rating, Titles Production, Drivers License, TRN and Receipts and Processing (inline); however there was no retention of documentary evidence. To improve conformity the units should maintain documentations of on the job training conducted to provide information in order to make timely decisions.</p> | | |
| Responsible Party: Sharon Mitchell | | |
| Auditor Signature: | | Signature: |