

May Pen Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: N/A	Auditees:
<p>Audit Evidence:</p> <p>It was noted that supporting document were only require to reconcile a taxpayer account, whenever there was an error on a Tax Returns or when payment. A random sample of 50 cases were selected for auditing on RAIS and it was noted that the relevant documents were stamped, signed, copied and upload</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Reconciling a Taxpayer's Account) it was determined that the relevant supporting were received and uploaded to RAIS which was in conformity to SOP#11-19 and ISO 9001: 2015, clause - 7.5.1 (b) retain appropriate documented information as evidence of competence.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.1	Auditees:
<p>Audit Evidence:</p> <p>One hundred (100) arrear cases was selected and reviewed on RAIS and it was noted that the relevant function in RAIS was working as arrears cases were noted generated and rated as either high, medium or low</p>			
<p>Evaluation:</p> <p>During the review of Compliance (Demanding "Full Payment" from a Taxpayer) 100 high and medium risk arrears cases on RAIS was checked and it was determined that the process was in conformity with SOP # 2 and ISO 9001:2015, clause 8.1 - which states that "The organization shall plan, implement and control the processes needed to meet the requirements for the provision of products and services.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment	Auditor: Maxine	Audit Criteria: ISO	Auditees:
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Compliance	Morrison Campbell	9001:2015 clause 8.2.2 a) 1)	
<p>Audit Evidence:</p> <p>For the period under review April 2021 to June 2021, fifteen agreement were selected and it was noted that the CIS forms and supporting documentations such as payment vouchers, payment schedule were seen and verified</p>			
<p>Evaluation:</p> <p>During the audit of Processing Payment Agreement, it was established that the process was in conformity with SOP#15 and ISO 9001: 2015, Clause 8.2.2. a) 1) which states that 'When determining the requirements for the products and services to be offered to customers, the organization shall ensure that: a) the requirements for the products and services are defined, including: 1) any applicable statutory regulatory requirements;" as all 15 agreement contracts examined the requisite documents needed for processing of payment agreement were seen</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.2.2 a) 1)	Auditees:
<p>Audit Evidence:</p> <p>A total of 13 debt write off case files was examined for the period April 2021 to June 2021. All the cases checked the summary, spreadsheets and supporting documents such death certificate, travel history and closure letters were seen. RAIS was checked to it was noted that only the supporting documents eg death certificate were upload</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Processing Debit Write-Off) it was established that the process was in conformity with SOP #6-7 and ISO 9001: 2015, Clause 8.2.2. a) 1) which states that 'When determining the requirements for the products and services to be offered to customers, the organization shall ensure that: a) the requirements for the products and services are defined, including:) any applicable statutory regulatory requirements; 2) those considered necessary by the organizations' as all 13 debt write-off case files examined the required documentation needed when applying for a debit write off was seen.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.2.2 a) 1)	Auditees:
<p>Audit Evidence:</p> <p>For the period April 2021 to May 2021 14 summons were examines and it was seen where the document were properly completed with the relevant information.</p>			
<p>Evaluation:</p> <p>The audit of the Compliance (Engaging the Courts in the Compliance Process) checks revealed that all the required information needed when completing summon was written which in conformity with SOP #8 & 10 and ISO 9001: 2015,Clause 8.2.2. a) 1) which states that 'When determining the requirements for the products and services to be offered to customers, the organization shall ensure that: a) the requirements for the products and services are defined, including:) any applicable statutory regulatory requirements; 2) those considered necessary by the organizations'</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.6	Auditees:
<p>Audit Evidence:</p> <p>For the month of April 2021 a sample of 12 cases were selected and checked on RAIS and the sub-tab in the collection cases in which officer were require to make notation of work done whenever they were carrying out a full compliance check were completed. Additionally on RAIS it was seen where the compliance officer recorded the details of the contact (date, phone # etc)</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Reconciling a Taxpayer's Account) it was determined that the compliance officer made the necessary notation on RAIS, whenever the they made contact with taxpayer which was in conformity with SOP #7 & 8 and ISO 9001: 2015, clause 8.6 which states " The organization shall implement planned arrangements, at appropriate stages, to verify that the product or service requirements have been met"</p>			
<p>Effectiveness:</p>			

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CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.1 a)	Auditees:
<p>Audit Evidence:</p> <p>Fifty (50) cases were randomly selected and it was noted that necessary documents require for the reconciliation of the taxpayer accounts such as the original receipt, valid ID or indemnity letter were received, copied stamped and uploaded to RAIS.</p>			
<p>Evaluation:</p> <p>The audit confirms that the process of Compliance officer examine, stamps, signs and copies documents received from taxpayer was carried out as all 50 arrears cases had the requisite documents upload to RAIS which was in conformity with SOP #14-17 and ISO 9001:2015 Clauses - 8.1 (a) determining the requirements for the products and services.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.2.2 a) 1)	Auditees:
<p>Audit Evidence:</p> <p>A random selection of 25 arrear cases were checked on RAIS to ascertain that the demand notice were generate and served to the taxpayers. It was seen on RAIS that the officer wrote that the demand notice was sent via email. The delivery log was check for the period April 2021 to June 2021 and it was noted that the taxpayer signed for the notice received</p>			
<p>Evaluation:</p> <p>During the audit of Compliance (Reconciling of Taxpayer's Account) 25 full payment cases were checked and evidences seen on RAIS to validate that demand notices were received by the taxpayers and the necessary information was upload which was in conformity with SOP 19-20 and ISO 9001: 2015, clause 8.2.2 a)the requirement for the products and services are defined, including: 1)Any applicable statutory and regulatory requirements</p>			
<p>Effectiveness:</p>			

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CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 9.1.1	Auditees:
<p>Audit Evidence:</p> <p>A sample of 25 collection cases were checked on RAIS and it was noted that the compliance officer made notes on RAIS to verify that a payment was made.</p>			
<p>Evaluation:</p> <p>The audit of the Compliance (Reconciling of Taxpayer's Account) 25 collection cases were checked on RAIS and it was established that the compliance officer made notes on RAIS to verify that a payment was made which was in conformity with SOP 31 and ISO 9001: 2015, clause 9.1.1 Monitoring, measurement, analysis and evaluation which states. "The organization shall retain appropriate documented information as evidence of the results."</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.2.1 e)	Auditees:
<p>Audit Evidence:</p> <p>Fifteen agreement was audited and it was noted that once the taxpayer make payment whether by inline or online, RAIS automatically update the taxpayer account with the payment. Once the taxpayer did not honor their agreement (missed a payment) RAIS generate a work item (create a new arrear case).</p>			
<p>Evaluation:</p> <p>During the audit of Compliance (Processing Payment Agreement) it was determined that there were evidences on RAIS example uploaded copy of signed Payment Agreement Contract with Schedule attached was seen which was in conformity with SOP 43 and ISO 9001-2015 clause 8.2.1 e) which stated that "establishing specific requirements for contingency actions, when relevant."</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.1	Auditees:
<p>Audit Evidence:</p> <p>For the period under review 15 agreement was examined and the CIS form and other documentations examined were properly completed with all the relevant details and uploaded to RAIS.</p>			
<p>Evaluation:</p> <p>The audit of Compliance (Processing Payment Agreement) it was established that the officer updates CIS case with the findings and recommendations to RAIS which was in conformity with SOP 27 and ISO 9001-2015 clause 8.1 c) which states that "determine the resources needed to achieve conformity to the product and service requirements,"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001-2015 clause 4.4.2 (a & b)	Auditees:
<p>Audit Evidence:</p> <p>Thirteen debt write off cases were examined and it was noted the reason for the write off such as death, sickness, reside oversea etc. was stated, picture, financial statement, bank statement were seen. Also the recommendation from the committee was noted on the documents.</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Processing Debit Write-Off) it was established that the Compliance Officer gathers the relevant evidence to support the reason for write off and supporting documents which was in conformity with SOP 2 and ISO 9001-2015, clause 4.4.2 which states that to "the extent necessary the organization shall: a) Maintain documented information to support the operation of its processes. b) Retain documented information to have confidence that the processes are being carried out as planned"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 4.4.2(a)	Auditees:
<p>Audit Evidence:</p> <p>On RAIS 6 taxpayers' accounts was examined and it was noted that relevant notations were recorded on RAIS example date phone call were made.</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Engaging the Courts in the Compliance Process) it was determined that the taxpayer accounts was updated with the relevant information which was in conformity with SOP 19 and ISO 9001-2015, clause 4.4.2 which states that to the extent necessary the organization shall: a) Maintain documented information to support the operation of its processes. b) Retain documented information to have confidence that the processes are being carried out as planned.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 7.4	Auditees:
<p>Audit Evidence:</p> <p>The audit revealed that payment can be done online or inline. RAIS was checked and it was seen where the method of making payment was seen/uploaded to RAIS. Online payment was made via TAJ web-portal and inline payment was INCRS.</p>			
<p>Evaluation:</p> <p>During the audit of Compliance (Engaging the Courts in the Compliance Process) it was established that adequate measures were in place to communicate to taxpayers of the different payment option as there was evidences in RAIS that they were being utilized which was in conformity with SOP 66 & 67 and ISO 9001-2015 clause 7.4 which states that "The organization shall determine the internal and external communications relevant to the quality management system, including management system, including: a) on what it will communicate;"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.5.2	Auditees:
<p>Audit Evidence:</p> <p>For the period April 2021 to June 2021 the conformation number generated whenever the taxpayer made payment was verified on RAIS.</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Reconciling of Taxpayer's Account) it was established that Confirmation number (online) process was in conformity with SOP 27 and ISO 9001: 2015, clause 8.5.2 which state that "The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability" as RAIS was checked and it was seen that the conformation number can be viewed on RAIS.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.6	Auditees:
<p>Audit Evidence:</p> <p>A total of 25 close cased collection were checked and noted that all the necessary documentation was recorded (payment receipt or demand notice) on RAIS, however no other documentation was maintained.</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Reconciling of Taxpayer's Account) 25 closed collection cases were examined on RAIS and all the necessary documentations such as payment receipt or demand notice were seen which was in conformity with SOP #30 and ISO 9001:2015 Clauses 8.6 which states that " The organization shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.5.2	Auditees:
<p>Audit Evidence:</p> <p>A total of 15 payment agreement contracts were checked and it was noted that they were properly completed, signed and all relevant supporting documents attached.</p>			
<p>Evaluation:</p> <p>The audit of Compliance (Processing Payment Agreement) it was established that all 15 agreement contract examined was properly completed and had the requisite supporting documents attached which was in conformity with SOP #58 and ISO 9001: 2015, clause 8.5.2 which state that "The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability,"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.2.4	Auditees:
<p>Audit Evidence:</p> <p>Thirteen debt write off cases were examined. It was noted that no formal documentation regarding the outcome/decision was received from the debt write off committee. However it was seen where the compliance officer update both the case file and RAIS with the decision of the Committee. The officer stated that they received the decision of the committee via telephone and the taxpayer account was not updated until the approval for the debt write off was gazette.</p>			
<p>Evaluation:</p> <p>During the audit of Compliance (Processing Debit Write-Off) it was determined that the compliance officer was informed of the decision/outcome of the debt write off committee via telephone and then they recorded the decision on the case file which was in conformity SOP #32-33 and with ISO 9001-2015, clause 8.2.4 which states that the organization shall ensure that relevant documented information is amended and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed."</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 7.1.1 b)	Auditees:
<p>Audit Evidence:</p> <p>A total of 14 court orders was examined and post against the court books and it was noted that all the require information such as was recorded taxpayer's name, TRN, amount, judgement order etc. was recorded therein.</p>			
<p>Evaluation:</p> <p>During the audit of Compliance (Engaging the Courts in the Compliance Process) it was determined that the necessary court order or warrant was received from the Ministry of Justice (Courts) which was in conformity with SOP #49 & 53 and ISO 9001:2015 section 7.1.1 (b) what needs to be obtain from external providers</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001-2015 7.5.1 (b)	Auditees:
<p>Audit Evidence:</p> <p>Fifty arrears cases were checked on RAIS and every time the taxpayer made a payment RAIS automatically reduce their indebt ness.</p>			
<p>Evaluation:</p> <p>The audit of Compliance (Engaging the Courts in the Compliance Process) it was established that the the necessary documented information as evidence was being uploaded on RAIS which was in conformity with SOP #37 and ISO 9001:2015 section 7.5.1 b) which state that "The organization shall: b) retain appropriate documented information as evidence of competence,"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 4.4.2 (a, b)	Auditees:
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<p>Audit Evidence:</p> <p>The audit revealed that all the compliance officer received a copy of the SOP via email dated June 30, 2021 from the manager. Additionally monthly meeting were held to sensitize officer of SOP and other regulation.</p>
<p>Evaluation:</p> <p>During the audit of the Compliance (Reconciling of Taxpayer's Account) it was determined that the process Standard Operating Procedure, Tax Laws and Regulation that governs the daily operations were maintained in conformity SOP #10 and with ISO 9001-2015, clause 4.4.2 which states that to the extent necessary the organization shall: a) Maintain documented information to support the operation of its processes. b) Retain documented information to have confidence that the processes are being carried out as planned.</p>
<p>Effectiveness:</p>

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.1	Auditees:
<p>Audit Evidence:</p> <p>The INCRS and RAIS user listing were received from the Administrator and reviewed and no discrepancies noted. All compliance officer had access to RAIS, however AMVS and property tax limited to viewer access only.</p>			
<p>Evaluation:</p> <p>During the audit of the Compliance (Reconciling of Taxpayer's Account) the system user access listing was obtained from the System Administrator, checked and noted that all compliance officer had individual logins for internal systems (RAiS, AMVS, Property Tax) which was in conformity with SOP #4 & 7 and ISO 9001-2015 clause 8.1 The organization shall plan, implement and control the process needed to meet the requirement for the provision of product and services, and implement the actions determine in by</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause	Auditees:
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	7.5.3.2 a,b	
<p>Audit Evidence:</p> <p>A total of 6 taxpayer accounts were selected for auditing. The accounts were checked on RAIS and it was seen where none of the taxpayer account was in the default. RAIS automatically update taxpayer account whenever a payment was made, however no payment made the account go in default after 30 days passed and create a new work item and return to the arrear cases queue.</p>		
<p>Evaluation:</p> <p>The audit of Compliance (Processing Payment Agreement) on RAIS 6 agreement contracts were checked and it was noted that the taxpayer account was updated with payment as automated monitoring of case was done by RAIS which was in conformity with SOP 56 and ISO 9001: 2015, clause 7.5.3.2 which states that "For the control of documented information, the organization shall address the following activities; b) storage and preservation, including preservation of legibility. d) retention and disposition.</p>		
<p>Effectiveness:</p>		

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause 8.2.3.1 d)	Auditees:
<p>Audit Evidence:</p> <p>A total of 14 summons were examined and it was noted that they were all stamped and signed by a Justice of the Peace.</p>			
<p>Evaluation:</p> <p>The audit of Compliance (Engaging the Courts in the Compliance Process) it was established that all 14 summons examined were stamped and signed by the appropriate officers was in conformity with SOP #13 and ISO 9001:2015 section 8.2.3.1 d) which state that "statutory and regulatory requirements applicable to the products and services"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PAYMENT COMPLIANCE

Audit of: Payment Compliance	Auditor: Maxine Morrison Campbell	Audit Criteria: ISO 9001:2015 clause	Auditees:
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	7.1.2	
<p>Audit Evidence:</p> <p>During the interview it was revealed that the unit was adequately staff in accordance to the staff structure 12 posts and all 12 posts were fill. Also all compliance officers were require to do debit write off, as it was a part of their job function and on the job training was provide for junior officer as well as other internal training was done.</p>		
<p>Evaluation:</p> <p>During the audit of Compliance (Processing Payment Agreement) it was determined that the compliance unit was adequately staff as all the 12 posts on the structure were filled and the necessary training and staff development was done which was in conformity SOP #2 and with ISO 9001-2015, clause 7.1.2 which states that The organization shall determine and provide the person necessary for the effective implementation of its quality management system and for the operation and control of its progress,</p>		
<p>Effectiveness:</p>		

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00001		
Non-Conformity Report #: 1	Auditor (s): Maxine Morrison Campbell	Date: July 7, 2021
Audit of : Payment Compliance	Audit Criteria: ISO 9001-2015 clause 8.1e	
<p>Statement of Nonconformity:</p> <p>During the review of Compliance (Reconciling of Taxpayer's Account) it was determined that there were no evidence on RAIS to validate that reviews were carried out, which is a non conformity to SOP # 22-24 and ISO 9001-2015, clause 8.1 e) which states that to determining, maintaining and retaining documented information to the extent necessary: 1) to have confidence that the process have been carried out as planned as there was no evidence of the manager completing reviewing of cases.</p>		
Responsible Party: Winsome Shaw Harris		
Auditor Signature:		Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00002		

Non-Conformity Report #: 2	Auditor (s): Maxine Morrison Campbell	Date: July 7, 2021
Audit of : Payment Compliance	Audit Criteria: ISO 9001-2015 clause 8.1e	
<p>Statement of Nonconformity:</p> <p>During the review of the Compliance (Processing Debit Write-Off) it was determined that no evidence was seen to verify that review was done, which is non conformity to SOP 8-12 and ISO 9001-2015, 8.1 e) which states that to determining, maintaining and retaining documented information to the extent necessary: 1) to have confidence that the process have been carried out as planned as there was no evidence that review of cases files were carried out by the manager/supervisor..</p> <p>Responsible Party: Winsome Shaw Harris</p>		
Auditor Signature:		Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00003		
Non-Conformity Report #: 3	Auditor (s): Maxine Morrison Campbell	Date: July 7, 2021
Audit of : Payment Compliance	Audit Criteria: ISO 9001:2015 clause 7.1.3 (b)	
<p>Statement of Nonconformity:</p> <p>During the review of the Compliance (Reconciling of Taxpayer's Account) it was observed that only one stamp was assigned to the compliance unit with 17 staff members, which is a non conformity to SOP #15-16 and ISO 9001-2015, ISO 9001:2015 Clause 7.1.3(b) which states that "The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. (b) equipment, including hardware and software. 2) Also Staff Order #12.2 which states that "the permanent Secretaries /Head of Department are required to implement the establish policies and procedures to enhance productivity, improve customer service....., as the necessary equipment was not in place to enable officers to carry out their duties.</p> <p>Responsible Party: Winsome Shaw Harris</p>		
Auditor Signature:		Signature:

NONCONFORMITY REPORT

Incident Identification Number: 000000.00004		
Non-Conformity Report #: 4	Auditor (s): Maxine Morrison Campbell	Date: July 7, 2021
Audit of : Payment Compliance	Audit Criteria: ISO 9001:2015 clause 7.1.3 (b)	
<p>Statement of Nonconformity:</p> <p>During the review of the Compliance (Demanding Full Payment from Taxpayer)) it was determined that the unit was in need of more laptops as 10 of the 15 staff members assigned to the unit had laptops, which is a non conformity to SOP #15-16 and ISO 9001-2015, ISO 9001:2015 Clause 7.1.3(b) which states that "The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. (b) equipment, including hardware and software. 2) Also Staff Order #12.2 which states that "the permanent Secretaries /Head of Department are required to implement the establish policies and procedures to enhance productivity, improve customer service....., as the necessary equipment was not in place to enable officers to carry out their duties.</p> <p>Responsible Party: Winsome Shaw Harris</p>		
Auditor Signature:		Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00005		
Non-Conformity Report #: 5	Auditor (s): Maxine Morrison Campbell	Date: July 7, 2021
Audit of : Payment Compliance	Audit Criteria: ISO 9001:2015 clause 7.1.2	
<p>Statement of Nonconformity:</p> <p>During the review of the Compliance (Engaging the Courts in the Compliance Process) it was determined that there was non conformity to SOP #68-69 and ISO 9001:2015 Clause 7.1.2 which state that the organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes, as over 90% of the time no security/police officer was available to escort officer from the court to the tax office.</p> <p>Responsible Party: Winsome Shaw Harris</p>		
Auditor Signature:		Signature:

