

# May Pen Tax Office

## ISO 9001:2015 Quality Management System Audit

### Internal Audit Report

## CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: ISO 9001-2015 7.1.3b and d	Auditees: Christopher Burton
<p>Audit Evidence:</p> <p>Preventative Maintenance schedule for the period April 2021 to March 2022 was presented. This schedule relates to the maintenance of: 1) PC inclusive of Monitor, Keyboard and mouse 2) Laptops. The Schedule indicated that it was created on 15/4/2021 and revised 28/4/2021 and with schedule preventative maintenance for the period to commence July 10, 2021.</p>			
<p>Evaluation:</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: ISO 9001-2015 clause 7.1.3 b & d	Auditees: Christopher Burton
<p>Audit Evidence:</p> <p>Preventative Maintenance schedule for the period April 2021 to March 2022 was presented. This schedule relates to the maintenance of: 1) PC inclusive of Monitor, Keyboard and mouse 2) Laptops. The Schedule indicated that it was created on 15/4/2021 and revised 28/4/2021 and with schedule preventative maintenance for the period to commence July 10, 2021.</p>			
<p>Evaluation:</p> <p>During the audit of the Preventative Maintenance -ICT process on July 7, 2021 Preventative Maintenance Schedule for the period provided for the period April 2021 to March 2022 was provided. This established that the process was in conformance with ISO 9001: 2015 7.1.3 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 b) equipment, including hardware and software; d) information and communication technology."</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: ISO 9001-2015 clause 7.1.3 b & d	Auditees: Christopher Burton
<p>Audit Evidence:</p> <p>The preventative maintenance schedule was developed by the System Administrator. He informed the Auditor that the schedule was developed on a unit by unit basis where all the PC's and laptops for each unit is documented via their serial number and a scheduled preventative maintenance date assigned. He also informed that maintenance is performed bi-annually which is based on best practice.</p>			
<p>Evaluation:</p> <p>During the audit of the Preventative Maintenance -ICT process on July 7, 2021 preventative maintenance schedule was provided indicated that maintenance for PC's and laptops computers were carried out bi-annually. This was in conformance with ISO 9001: 2015 7.1.3 b, d 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. NOTE Infrastructure can include: b) equipment, including hardware and software; d) information and communication technology.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: ISO 9001-2015 clause 7.5.3.1 a & b	Auditees: Christopher Burton
<p>Audit Evidence:</p> <p>AIS Report No. 64946 dated 29/3/2021 and 63873 dated 9/12/2020 were reviewed and showed System Administrator signing off work completed satisfactorily for servicing Tally Printers. EGov - Drivers Licence System service performance certificate/report for April 2021 to June 2021 were reviewed and showed System Administrator signing off work completed satisfactorily for servicing Drivers Licence Printer.</p>			
<p>Evaluation:</p> <p>During the Audit of the Preventative Maintenance - ICT process on July 7, 2021 it was established that AIS maintenance reports for tally printers and performance maintenance report for the Drivers Licence System were signed off to show work was carried out and completed satisfactorily for the period April - June 2021. This was in conformance with ISO 9001: 2015 7.5.3.1 which states "Documented information</p>			

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;

Effectiveness:

## CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: ISO 9001:2015 clause 7.2 a,b	Auditees: Christopher Burton
Audit Evidence:			
The Acting System Administrator presented a copy of qualification - BBA degree Administrative and Information System Management and Cert. in CompTIA IT Fundamentals			
Evaluation:			
During the Audit of the Preventative maintenance - ICT process on July 8, 2021 the Acting System Administrator presented copies of her qualification BBA degree Administrative and Information System Management and Cert. in CompTIA IT Fundamentals which demonstrated competence in the field she was working in. This was in conformance with ISO 9001: 2015 7.2 which states "The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system; b) ensure that these persons are competent on the basis of appropriate education, training, or experience;"			
Effectiveness:			

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Recardo Rowe	Date: July 30, 2021
Audit of : Preventative Maintenance - ICT	Audit Criteria: ISO 9001-2015 clause 7.1.5.1 a & b	
Statement of Nonconformity:		
During the Audit of the Preventative Maintenance - ICT process on July 8, 2021 three (3) Officers who proceeded on vacation between the period May and July 2021 were active on the user access report for INCRS/RAiS. This was not in		

conformance with ISO 9001: 2015 7.1.3 b 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 ensure that the resources provided: a) are suitable for the specific type of monitoring and measurement activities being undertaken; b) are maintained to ensure their continuing fitness for their purpose.

Responsible Party: Natasha Sampson

Auditor Signature:	Signature:
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### NONCONFORMITY REPORT

Incident Identification Number: 000000.00002

Non-Conformity Report #: 2	Auditor (s): Recardo Rowe	Date: July 30, 2021
Audit of : Preventative Maintenance - ICT	Audit Criteria: ISO 9001-2015 clause 7.5.3.1 a & b	

Statement of Nonconformity:

During the Audit of the Preventative maintenance - ICT process it was established that daily back-up of the INCRS was not performed for the periods 10/6/2021, 18/6/2021 and 22/6/2021 as no back-up log number was seen in the log book for these dates. 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)."

Responsible Party: Natasha Sampson

Auditor Signature:	Signature:
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### OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1	Auditor (s): Recardo Rowe	Date: July 30, 2021
Audit of : Preventative Maintenance - ICT	Audit Criteria: ISO 9001-2015 clause 7.1.5.1 a & b	

Statement of Opportunity:

During the audit of the preventative maintenance ICT process for the period April - June 2021 it was established that there was no Service Contract in place for the maintenance of Tally Printers for the Collection Officers in addition to maintenance of Kyocera Copiers at the May Pen Tax Office. There is an opportunity to improve the process and make it more efficient by formally putting in place service contracts for the maintenance of Tally Printers and Kyocera Copiers.

Responsible Party: Natasha Sampson

Auditor Signature:

Signature: