

May Pen Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: TRN SOP 9.1 (12)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>Examination of the 31 forms along with supporting documents on RAiS for the period April 1, 2021 to July 9, 2021 revealed all the forms were scan and uploaded to RAiS including the IDs of applicants.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process for the period April 1, 2021 to July 9, 2021, it was established that for a sample of 31 application forms along with supporting, all were verified scan and uploaded to RAiS which conforms to the SOP 9.1 (12) ,"TSO/TSA scans supporting documents and uploads to system".</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: TRN SOP #9.3 (38-41)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>Interview, walkthrough and observation of the process on July 9, 2021 revealed that TRN Collection Sheets are maintained for the issuing of cards. All Taxpayer Service Officers (TSOs) have access to the TRN Collection Sheet. Examination of the collection sheet for the period July 6-8, 2021 for 33 taxpayers revealed that officers and applicants' names,' signatures, ID, date issued and TRN information were recorded therein.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process, it was established that for the period July 6-8, 2021, 33 taxpayers' information such as names, signatures, ID, and date issued/received for the dispatch of TRN cards were duly recorded in the TRN Collection sheet/logbook which conforms to the SOP #9.3 (38-41) "TSO/TSA records information in log book. Asks taxpayer to sign log book to receive card."</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: TRN SOP 9.2 (13)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>The TRN Registration Cases Created by and Approved by User Reports show evidence of the creation and approval of TRNs via location. Examination and comparison of the reports and the process on RAiS revealed that there are various steps for the posting, reviewing, and approving of information keyed on the system. A total of 1,085 cases were seen processed and authorized for the period April 1, 2021 to July 9, 2021 by the respective officers.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process for the period April 1, 2021 to July 9, 2021, it was established that 1,085 TRN registration cases were processed and approved in RAiS by the relevant processing and approving officers which conforms to the SOP 9.2 (13) "Senior TSO/TSA selects 'approve' to approve case and generate TRN".</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: TRN SOP 9.2 (16)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>TRN letters can be printed by all Taxpayer Service Officers as informed by Manager. Examination on RAiS for the period April 2021 to July 9, 2021, revealed that a TRN Letter can be generated and viewed on the customer springboard, CRM, Letters. Evidence of TRN assignment is shown. Observation of the process revealed where the Taxpayer Service Officer accessed RAiS to print TRN letter, stamped, signed letter and proceeded to hand to taxpayer.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process for the period April 2021 to July 9, 2021, it was established that the relevant TS officers have access to RAiS for the printing of TRN letters which conforms to SOP #9.2 (16) "Senior TSO/TSA prints TRN letter (with assigned number) and Datasheet (for Sole Traders)".</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: TRN SOP #9.3 (35)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>Observation of the area where TRN cards are stored on July 9, 2021 revealed that they are kept in a cabinet with lock which can be access by the Records Officer, Manager or Senior TSO/A. Examination of the cabinet revealed that the cards are stored in numerical order.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process for the period April 2021 to July 9, 2021, it was established that the TRN cards were seen kept secured in cabinet with lock, filed in numerical order with restricted access, which conforms to SOP #9.3 (35) "TSO/TSA files cards numerically in designated area"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: TRN SOP 9.1 (36;38-41)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>Examination of the TRN Collection Sheet for 33 taxpayers for the period July 6-9, 2021, revealed that applicants' names,' signatures, ID, date issued and TRN information were duly recorded thereon.</p>			
<p>Evaluation:</p> <p>During the audit, it was established that for the period July 6-8, 2021, 33 taxpayers information and IDs were duly recorded in the Collection Sheet for the dispatch of TRN cards which conforms to the SOP 9.1 (36;38-41) "Taxpayer/bearer visits office with Identification to collect card...TSO/TSA records information in log book...taxpayer/bearer signs log book, collects card."</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: TRN SOP 9.5 (10-12)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>Examination and comparison of the TRN Registration Cases Approved by User and</p>			

TRN Registration Cases Created by User Reports for the period April 8, 2021 to June 16, 2021 for eight cases approved, revealed segregation of duties by the officer who created the case and the officer who approved TRN cases in RAiS.

Evaluation:

During the audit of the TRN Registration process, it was established that for the period April 8, 2021 to June 16, 2021, a sample of eight cases selected showed evidence of processing and authorizing officers signatures which conforms to SOP 9.5 (10-12) "Senior TSO/TSO receives request for approval. Compares information on application/supporting documents against that on system. (Update information if entered incorrectly). Selects 'approve' to approve case and generate TRN."

Effectiveness:

CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Babette Higgins	Audit Criteria: ISO 9001:2015 clause 7.3 (a)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>On July 8, 2021 at about 4:09 p.m., a Quality Management sensitization session was observed being held with staff in the area behind the Cashier's station. Examination of the training log showed evidence of the Managers and Senior Officers receiving ISO training in June 2021. Interview of staff revealed that they had received the Quality Management Policy Statement via email.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration for the period April 2021 to July 8, 2021, it was established that the staff was aware of the Quality Management Policy Statement and documentation which conforms to ISO 9001:2015 clause 7.3 "The organization shall ensure that persons doing work under the organization's control are aware of the quality policy."</p>			
<p>Effectiveness:</p>			

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Babette Higgins	Date: July 7, 2021
Audit of : TRN Registration	Audit Criteria: TRN Registration SOP #9.1 (8-9)	

<p>Statement of Nonconformity:</p> <p>During the examination of the TRN Registration process, it was established that one TRN application form for Barrington Dyer approved on April 15, 2021 was not adequately vetted for completeness and did not reflect names and signatures of processing and senior officers which did not conform to: *TRN Registration SOP #9.1 (8-9) "TSO/TSA vets application to ensure form is properly completed and signed...." *TRN Registration SOP #9.1 (12-15) "Senior TSO/TSO compares information...records TRN assigned in designated box...signs application in the 'Senior Officer's name' section." *ISO 9001:2015 clause</p>	
Responsible Party: Leighton Hewitt	
Auditor Signature:	Signature:

OPPORTUNITY REPORT		
Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): Babette Higgins	Date: July 7, 2021
Audit of : TRN Registration	Audit Criteria: ISO 9001:2015 clause 8.1	
<p>Statement of Opportunity:</p> <p>There is an opportunity for improvement for the Process Flow Chart Activity #27 and the SOP to be evaluated and corrected to be align with the actual process being carried out as stipulated by the ISO 9001:2015 clauses #8.1 and 4.4</p>		
Responsible Party: Leighton Hewitt		
Auditor Signature:	Signature:	