

Spanish Town 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 Clause 7.1.3 (d)	Auditees: Jason Wilson
<p>Audit Evidence:</p> <p>Preventative maintenance schedule was provided for the period 2021/2022 however, preventative maintenance was schedule to be carried out in the second quarter on August 21 and 28, 2021 for the Spanish Town location. Preventative Maintenance schedule for the Drivers Licience System (Monthly) was also presented for the period January 2021 to December 2021. The preventative maintenance carried out for the period April 2021 to June 2021 was verified and the following obtained: Date as per Schedule Date Maintenance was carried out 26/4/2021 26/4/2021 25/5/2021 25/5/2021 21/6/2021 28/6/2021</p>			
<p>Evaluation:</p> <p>During the audit of the Preventative Maintenance -ICT process on August 16, 2021 it was established that Preventative Maintenance Schedules for the periods April 2021 to March 2022 and January 2021 to December 2021 were in place. This established that the process was in conformance with ISO 9001: 2015 clause 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 (d)	Auditees: Jason Wilson
<p>Audit Evidence:</p> <p>The preventative maintenance schedule provided indicated that scheduled maintenance was carried out annually for TAJ ICT equipments in accordance with annual workplan. The preventative maintenance schedule provided for the drivers licience system indicated preventative maintenance was carried out monthly which was in accordance with the manufacturer specification.</p>			
<p>Evaluation:</p> <p>During the audit of the Preventative Maintenance -ICT process on August 16, 2021</p>			

it was established that preventative maintenance for PC's and laptops computers were carried out annually and monthly for the Drivers Licence System. This was in conformance with ISO 9001: 2015 clause 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.

Effectiveness:

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: N/A	Auditees: Jason Wilson
<p>Audit Evidence:</p> <p>A copy of the ICT security policy was provided by the System Administrator. The document did not have an approval page however a page was seen for staff members to sign after they have read the policy. The policy was last revised May 9, 2007.</p>			
<p>Evaluation:</p> <p>During the audit of the Preventative Maintenance -ICT process on August 16, 2021 it was established that an ICT security policy was in place for the Spanish town Tax Office. This was in conformance with ISO 9001: 2015 clause 7.5.3.1 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;"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: N/A	Auditees: Jason Wilson
<p>Audit Evidence:</p> <p>Equipment Service Reports and Engineer log Report for maintenance services carried out between the period April 2021 and July 2021 were requested and reviewed for signing off by the responsible Officer "service satisfactorily completed." Please see details below: Imperative Products Ltd Equip. Service Report # Date of</p>			

service Date certified job satisfactorily completed 0029 3/3/2021 3/3/2021 0325
 13/3/2021 13/3/2021 0415 10/5/2021 10/5/2021 0451 6/7/2021 6/7/2021 0383
 23/7/2021 23/7/2021 0385 29/7/2021 29/7/2021 E-Gov Engineer log # Date of service
 Date certified job satisfactorily completed 39986 26/4/2021 26/4/2021 39994
 25/5/2021 25/5/2021 42104 28/6/2021 28/6/2021 Copiers and Consumables Ltd
 Work Order # Date of service Date certified job satisfactorily completed 0036795-1
 21/5//2021 21/5/2021 0035824-1 17/6/2021 17/6/2021 0035824-3 23/7/2021
 23/7/2021

Evaluation:

During the Audit of the Preventative Maintenance - ICT process on August 16, 2021 it was established that equipment service reports, work orders and engineer logs for maintenance works carried were signed off by the Systems and Application Administrators service satisfactorily completed for the period April 2021 - July 2021. This was in conformance with ISO 9001: 2015 clauses 7.1.5.1 and 7.5.3.1 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. and "The organization shall ensure that the resources provided: a) are suitable for the specific type of monitoring and measurement activities being undertaken; 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;" respectively.

Effectiveness:

CONFORMITY REPORTS – PREVENTATIVE MAINTENANCE - ICT

Audit of: Preventative Maintenance - ICT	Auditor: Recardo Rowe	Audit Criteria: N/A	Auditees: Jason Wilson
Audit Evidence:			
The backup log book was requested and reviewed for the period July 2021 to August 2021 and daily and weekly backups of the INCRS were seen logged in the backup log book for the periods July 5 - 9, 2021 and August 9 - 13, 2021			
Evaluation:			
During the Audit of the Preventative maintenance - ICT process on August 16, 2021 it was established that daily and weekly back-up of the INCRS were performed for the period July 2021 to August 2021. This was 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)."

Effectiveness:

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Recardo Rowe	Date: August 31, 2021
Audit of : Preventative Maintenance - ICT	Audit Criteria: ISO 9001:2015 Clause 7.1.5.1 (a)	
Statement of Nonconformity: During the Audit of the Preventative Maintenance - ICT process on August 16, 2021 it was established that five (5) Officers who proceeded on vacation between the period July 2021 and Sept 2021 were active on the user access report for INCRS, ECARE and MVTTS. This was not in conformance with ISO 9001: 2015 7.1.5.1 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 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:

OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1	Auditor (s): Recardo Rowe	Date: August 31, 2021
Audit of : Preventative Maintenance - ICT	Audit Criteria: N/A	
Statement of Opportunity: During the audit of the preventative maintenance ICT equipment process on August 16, 2021 it was established that there was no Service Contract in place for the maintenance of Printers at the Spanish Town Tax Office. There exist an opportunity to improve the process and make it more efficient by formally putting in place service contracts for the maintenance of printers at the location.		

Responsible Party: Natasha Sampson	
Auditor Signature:	Signature:

OPPORTUNITY REPORT		
Incident Identification Number: 000000.00002		
Opportunity Report #: 2	Auditor (s): Recardo Rowe	Date: August 31, 2021
Audit of : Preventative Maintenance - ICT	Audit Criteria: ISO 9001:2015 Clause 7.1.3 b	
<p>Statement of Opportunity:</p> <p>During the audit of the Motor Vehicle Transfer (full) on August 12, 2021 it was observed that the Collection Officers had difficulties gaining internet connectivity to use the point of sale machines which was due to the instability of the internet connection/signal. Hence there is an opportunity for the improvement of the internet infrastructure to make the process customer service experience more efficient.</p>		
Responsible Party: Natasha Sampson		
Auditor Signature:	Signature:	