

#### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application		Audit Criteria: ISO	Auditees: Norma			
Maintenance and	Campbell	9001:2015 Clause	Winkle			
Support (AMS -		7.1.1 - General				
BSS)						
Audit Evidence:						
Tickets assigned to	the AMS team were	observed via the SysA	id Application.			
Evaluation:						
Based on the evalua	ation of process step:	Ticketing It was deter	mined that the			
organization was Meeting the requirements of ('SEC-PRO-14-02 Software						
Maintenance Procedure') And the relevant ISO 90001 -2015 standard based on: A.						
interview with requisite managers [X] and officers [ ] B. documented information						
retained by the department [X] Which is listed in the evidence column of the report.						
Effectiveness:						

### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle
Support (AMS -		9.1.2	
BSS)			

#### Audit Evidence:

1. Tickets are successfully closed after client agree of satisfactory job. Several closed AMS tickets observed via System Aid

#### Evaluation:

Based on the evaluation of process step: Assessment & Approval It was determined that the organization was Meeting the requirements of (SEC-PRO-14-02 Software Maintenance Procedure) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.

Effectiveness:

### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma			
Maintenance and	Campbell	9001:2015 Clause	Winkle			
Support (AMS -		9.1.3				
BSS)						
Audit Evidence:						
The SOP 'SEC-PRO	0-14-02 Software Main	ntenance Procedure'	was provided.			
Evaluation:						
Based on the evalua	ation of process step:	Assessment & Approv	val It was determined			
that the organization	was Meeting the requ	irements of ('SEC-PR	O-14-02 Software			
Maintenance Procedu	Maintenance Procedure') And the relevant ISO 90001 -2015 standard based on: A.					
interview with requisit	interview with requisite managers [X] and officers [] B. documented information					
retained by the department [X] Which is listed in the evidence column of the report.						
Effectiveness:						

# CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma		
Maintenance and	Campbell	9001:2015 Clause	Winkle		
Support (AMS -		9.1.3			
BSS)					
Audit Evidence:					
SEC-PRO-14-02 So	ftware Maintenance	Procedure seen			
Evaluation:					
Based on the evalua	ation of process step:	Assessment & Appro	val It was determined		
that the organization	was Meeting the requ	uirements of ('SEC-PR	O-14-02 Software		
Maintenance Procedure') And the relevant ISO 90001 -2015 standard based on: A.					
interview with requisite managers [X] and officers [] B. documented information					
retained by the department [X] Which is listed in the evidence column of the report.					
Effectiveness:					

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle
Support (AMS -	•	8.2.3	
BSS)			
A 114 E 1 1			

Audit Evidence:

SEC-PRO-14-02 Software Maintenance Procedure and Application Maintenance & Support (AMS) - BSS procedure seen

**Evaluation:** 

Based on the evaluation of process step: Coding It was determined that the organization was Meeting the requirements of ('SEC-PRO-14-02 Software Maintenance Procedure') And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.

Effectiveness:

#### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle
Support (AMS -		8.2.3.2	
BSS)			

Audit Evidence:

Requirement Specification Report seen

Evaluation:

Based on the evaluation of process step: Coding It was determined that the organization was Meeting the requirements of ('SEC-PRO-14-02 Software Maintenance Procedure') And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.

Effectiveness:

### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle

Support (AMS - BSS)		8.5.1(c)	
Audit Evidence:			
0 0	structions to move to ponnie to CRMU regard		•
Evaluation:			
organization was Mee Maintenance Procedu interview with requisit retained by the depar	ation of process step: eting the requirements ure') And the relevant te managers [X] and o tment [X] Which is list	of ('SEC-PRO-14-02 ISO 90001 -2015 star fficers [ ] B. documen	Software ndard based on: A. ted information
Effectiveness:			

#### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: SEC-	Auditees: Norma
Maintenance and	Campbell	PRO-14-02 Software	Winkle
Support (AMS -		Maintenance	
BSS)		Procedure	
Audit Evidonoo:			

#### Audit Evidence:

1. SEC-PRO-14-02 Software Maintenance Procedure 2. CAB change management procedure 3. CAB Operating Guidelines

#### Evaluation:

Based on the evaluation of process step: Testing It was determined that the organization was Meeting the requirements of ('SEC-PRO-14-02 Software Maintenance Procedure') And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.

Effectiveness:

#### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle

Support (AMS -		9.1.1 (b)	
BSS)			
Audit Evidence:			
Application Maintena	ance Development Pla	an section was seen i	n the AMS SOP
Evaluation:			
organization was Mee 9.1.3') And the releva requisite managers [X	etion of process step: eting the requirements int ISO 90001 -2015 s (] and officers [] B. do n is listed in the evider	s of ('ISO 9001:2015 C tandard based on: A. ocumented information	Clause 9.1.1(b) & interview with netained by the

### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma		
		9001:2015 Clause	Winkle		
Support (AMS -	,	7.1.1 - General			
BSS)					
Audit Evidence:					
Tickets seen within t	ticketing system with t	track history detail for	AMS tickets		
Evaluation:					
Based on the evaluation of process step: Ticketing It was determined that the					
branching was Masting the requirements of (UCO 0004,2045 Clause 7.4.41). And the					

organization was Meeting the requirements of ('ISO 9001:2015 Clause 7.1.1') And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.

Effectiveness:

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application	Auditor: Mark A.	Audit Criteria: SEC-	Auditees: Norma
Maintenance and	Campbell	PRO-14-02 Software	Winkle
Support (AMS -		Maintenance	
BSS)		Procedure	
Audit Evidence:			

SEC-PRO-14-02 Software Maintenance Procedure			
Evaluation:			
Based on the evaluation of process step: Software Maintenance Procedure It was determined that the organization was not Meeting the requirements of ('Software Maintenance Procedure) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.			
Effectiveness:			
CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)			
Audit of: Application Maintenance and Support (AMS - BSS)		Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees: Norma Winkle
Audit Evidence:  AMS SOP outlines the various roles and responsibilities.			
Evaluation:			
Based on the evaluation of process step: Head of Department It was determined that the organization was not Meeting the requirements of ('SEC-PRO-14-02 Software Maintenance Procedure) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.			
Effectiveness:			
CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)			
Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.5.1(c)	Auditees: Norma Winkle
Audit Evidence:			

Email from client verifying post-implementation checks were satisfactory seen (email

to Ashley Davis Re Ll	MIS and TTMS)		
Evaluation:			
Rased on the evalua	ation of process step:	Completed software/a	annlication
	etermined that the org	•	• •
	use 8.5.1(c)') And the	•	•
· ·	requisite managers [X		
	by the department [X]		
the report.			
Effectiveness:			
CONFORMITY F	REPORTS – APPL	LICATION MAINTI	ENANCE AND
	SUPPORT (A	AMS - BSS)	
Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle
Support (AMS -		7.2 - Competency	
BSS)			
Audit Evidence:			
Lieting of Ildomy, on	wtificates for solumns s	ottonded by ANC New	agamant Taam
	rtificates for courses a	•	•
<u>-</u>	at training documents nd review - GROUP 6		е пк аераппені.
Evaluation:	id Teview - GINOUP 0	<u> </u>	
L valuation.			
Based on the evalua	ation of process step:	Training It was detern	nined that the
organization was not Meeting the requirements of ('ISO 9001:2015 Clause 7.2)') And			
the relevant ISO 90001 -2015 standard based on: A. interview with requisite			
managers [X] and officers [] B. documented information retained by the department			
[X] Which is listed in t	the evidence column o	of the report.	
Effectiveness:			
CONFORMITY F	REPORTS – APPL		ENANCE AND
	SUPPORT (A	MS - BSS)	

Audit of: Application Auditor: Mark A.

Campbell

Maintenance and

Audit Evidence:

Support (AMS -

BSS)

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Auditees: Norma

Winkle

Audit Criteria: ISO

9001:2015 Clause

7.5 - Documented

Information

Based on the evaluation	of process step.	Completed T	icket It was determined that
	•	•	
the organization was Meeting the requirements of ('ISO 9001:2015 Clause 7.5') And the relevant ISO 90001 -2015 standard based on: A. interview with requisite			
1			retained by the department
[X] Which is listed in the			retained by the department
Effectiveness:	ovidence columnity	or the report.	
	NONCONFOR	MITY REP	PORT
lin aid	lant lalantification	Niccomb and 000	000 00004
	lent Identification		
Non-Conformity Report	Auditor (s): Mar	KA.	Date: June 22, 2022
#: 1 Audit of : Application	Campbell Audit Criteria: IS	20	
Maintenance and	9001:2015 Claus		
		_	
Support (AMS - BSS)	10.2-Conformity and Corrective Action		
Statement of Nonconfor			
Statement of Noncomor	mity.		
Based on the evaluation	of process stap:	Control of No	on-conformity It was
l .			•
determined that the organ		•	•
90001:2015 Clause 10.2 & 8.2) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented			
1		_	
1	ie department [A]	WITHCIT IS IISLE	ed in the evidence column of
the report.			
Poenoneiblo Party: Morr	na Winkla		
Responsible Party: Norma Winkle			
Auditor Signature:		Signature:	
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	OPPORTUN	IITY REPO	RT
	OF FORTOR	III I IXLI O	111
Incid	lent Identification	Number: 000	000 00001
Opportunity Report #: 1	Auditor (s): Mar		Date: June 22, 2022
Opportunity (Coport II. 1	Campbell	ι / ι.	Date: <b>J</b> ane 22, 2022
Audit of : Application	Audit Criteria: IS	SO	
Maintenance and	9001:2015 Clause 6.1.1(a)		
Support (AMS - BSS)		σ σ(α)	
	1		ı

1. A report of completed tickets can be generated by the ticketing system 2. Sample

of 3 completed tickets provided

Evaluation:

Statement of Opportunity:		
Based on the evaluation of process step: Migration It was determined that the organization was not Meeting the requirements of ('ISO 9001:2015 Clause 6.1.1(a)') And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [X] Which is listed in the evidence column of the report.		
Responsible Party: Norma Winkle		
Auditor Signature:	Signature:	

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