

# St. Andrew RSC

## Scheduled QMS Audit

### Internal Audit Report

## CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Georgette Thompson	Audit Criteria: TRN Registration SOP 9.4 (6)	Auditees: Sherene Newby
<p>Audit Evidence:</p> <p>A total of 20 TRN applications were examined for the period August to November 2021. Examination of all the application revealed that the required supporting documents were submitted with the applications for: 1. Michael Jackson 2. Valvickjam Travel Agency Ltd. 3. Mikalah Moore 4. Oneilia Christopher 5. Ayesha Prehay 6. Nickeisha Palmer 7. Paris Turner 8. Melanie Bernard 9. Mia Dawkins 10. Sheryl Wilson 11. Rasheem Johnson 12. Monique Ellis 13. Consultwise Company Ltd. 14. Prime Fencing &amp; Roofing Systems Ltd. 15. Tyrone Bryan 16. Fadila Bryan 17. Alana Wheaton 18. Nylette Nelson 19. Ardes Limited 20. Kimmaya Myers The main supporting documents include: For Adults - valid government issues ID (passport or Drivers Licence - Local or overseas); Certified photograph and declaration of certifying official for persons who do not have an ID along with birth certificate; Any other ID along with birth certificate. For Minors - birth certificate, certified photograph, ID of parent/guardian and voluntary declaration of guardian. The supporting documents are as follows: For company Strata - Letter from NIS; Letter indicating responsible officers from Strata Committee; Valid government issued ID from Strata Officers; Certificate of Registration from the Commissioner of Strata Corporations. Estates - Grant of Probate from the court or Letter of Administration; Death Certificate; Valid government issued ID, Executor's/Administrator's TRN and Valid ID. Note: See internal records for other company requirements and supporting document information.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process on November 18, 2021, a sample of 20 application were examined for the period August 2021 to November 2021. It revealed that the required supporting documents were submitted with the application. The process conforms to TRN Registration SOP 9.1 (7) and 9.4 (6) - TRN Registration TSO/TSA - Receives completed application for Taxpayer Registration (individuals) - Form 1, with supporting documents from applicant.....</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Georgette Thompson	Audit Criteria: TRN Registration SOP 9.1 (12) and 9.4 (13)	Auditees: Sherene Newby
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**Audit Evidence:**

A total of 20 TRN applications forms along with supporting documents were examined for the period August 2021 to November 2021. The examination revealed that all documents were scanned and uploaded to RAiS for: 1. Michael Jackson 2. Valvickjam Travel Agency Ltd. 3. Mikalah Moore 4. Oneilia Christopher 5. Ayesha Prehay 6. Nickeisha Palmer 7. Paris Turner 8. Melanie Bernard 9. Mia Dawkins 10. Sheryl Wilson 11. Rasheem Johnson 12. Monique Ellis 13. Consultwise Company Ltd. 14. Prime Fencing & Roofing Systems Ltd. 15. Tyrone Bryan 16. Fadila Bryan 17. Alana Wheaton 18. Nylette Nelson 19. Ardes Limited 20. Kimmaya Myers

**Evaluation:**

During the audit of the TRN Registration process on November 18, 2021, a sample of 20 application were examined for the period August 2021 to November 2021. It revealed that all documents were scanned and uploaded to RAiS. The process conforms to ISO 9001:2015 Clause 4.4.1 The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard. and also conforms to SOP 9.1 (12) & 9.4 (13) - TRN Registration TSO/TSA scans supporting documents and uploads to system

**Effectiveness:**

## CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Georgette Thompson	Audit Criteria: TRN Registration SOP 9.2	Auditees: Sherene Newby
<b>Audit Evidence:</b>			
Examination of all the individual application for the period August to November 2021 revealed that the data entry and verification was done by the respective officers for: 1. Michael Jackson 2. Mikalah Moore 3. Oneilia Christopher 4. Ayesha Prehay 5. Nickeisha Palmer 6. Paris Turner 7. Melanie Bernard 8. Mia Dawkins 9. Sheryl Wilson 10. Rasheem Johnson 11. Monique Ellis 12. Tyrone Bryan 13. Fadila Bryan 14. Alana Wheaton 15. Nylette Nelson 16. Kimmaya Myers			
<b>Evaluation:</b>			
During the audit of the TRN Registration process on November 18, 2021, a sample of 16 application were examined for the period August 2021 to November 2021. It revealed that the data entry and verification was done by the respective officers. The process conforms to the ISO 9001:2015 Clause 4.4.2 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. And also TRN Registration SOP 9.2 - data Entry of			

TRN Applications.

Effectiveness:

### CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Georgette Thompson	Audit Criteria: N/A	Auditees: Sherene Newby
Audit Evidence:  The TRN process was observed on November 18, 2021. An interview was conducted with the manager and the process was later examined. It was revealed that the process includes the verification of documents submitted. The observation was seen on the following applications: 1. Tyrone Bryan 2. Fadila Bryan 3. Alana Wheaton 4. Nylette Nelson			
Evaluation:  During the audit of the TRN Registration process on November 18, 2021, it was established that the documents were checked for authenticity. The process conforms to ISO 9001:2015 Clause 8.5.1 (c) The implementation of monitoring and measurement activities at appropriate stages ..... Also TRN Registration SOP 9.1 (8) - If the documents do not appears authentic, report this immediately to your supervisor for investigation			
Effectiveness:			

### CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Georgette Thompson	Audit Criteria: TRN Registration SOP 9.2 (16)	Auditees: Sherene Newby
Audit Evidence:  Observation and examination of the TRN process on November 18, 2021 revealed that a letter was printed by the senior TSO/ TSA and issued to: 1. Tyrone Bryan 2. Fadila Bryan 3. Alana Wheaton 4. Nylette Nelson			
Evaluation:  During the audit of the TRN Registration process on November 18, 2021, it was revealed that letter was printed by the senior TSO/TSA. This conforms to TRN Registration SOP 9.2 (16) - Senior TSO/TSA prints TRN letter (with assigned number) and Datasheet (for sole Traders)			
Effectiveness:			

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### CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Georgette Thompson	Audit Criteria: ISO 9001:2015 Clause 4.4.1 (e)	Auditees: Sherene Newby
<p>Audit Evidence:</p> <p>Examination of 16 individual applications for the period August to November 2021 revealed that the applications were approved by a senior officer for: 1. Michael Jackson 2. Mikalah Moore 3. Oneilia Christopher 4. Ayesha Prehay 5. Nickeisha Palmer 6. Paris Turner 7. Melanie Bernard 8. Mia Dawkins 9. Sheryl Wilson 10. Rasheem Johnson 11. Monique Ellis 12. Tyrone Bryan 13. Fadila Bryan 14. Alana Wheaton 15. Nylette Nelson 16. Kimmaya Myers</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process on November 18, 2021, a sample of sixteen (16) registration applications showed evidence that the applications were approved by senior officers. This conforms to ISO 9001:2015 Clause 4.4.1 (e) assign the responsibilities and authorities for these processes and TRN Registration SOP 9.5 (10 -12) - Senior TSO/TSA receives request for approval ...compares information ... selects approve to approve case and generate TRN.</p>			
<p>Effectiveness:</p>			

### CONFORMITY REPORTS – TRN REGISTRATION

Audit of: TRN Registration	Auditor: Georgette Thompson	Audit Criteria: ISO 9001:2015 Clause 7.2	Auditees: Sherene Newby
<p>Audit Evidence:</p> <p>Interview with supervisor and staff on November 18, 2021, revealed that they were aware of the SOP for TRN Registration.</p>			
<p>Evaluation:</p> <p>During the audit of the TRN Registration process on November 18, 2021, it was revealed that staff were aware of the SOP which conforms to ISO 9001:2015 Clause 7.2 Competence - The organization shall: ... ensure that these persons are competent on the basis of appropriate education, training, or experience....</p>			
<p>Effectiveness:</p>			

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00001		
Non-Conformity Report #: 1	Auditor (s): Georgette Thompson	Date: November 30, 2021
Audit of : TRN Registration	Audit Criteria: ISO 9001:2015 clause 8.4.1	
<p>Statement of Nonconformity:</p> <p>During the review of the Service Level Agreement for the printing of TRN cards its was established that there was non conformity to ISO 9001:2015 clause 8.4.1 which states "...The organization shall determine and apply criteria for the monitoring of performance of external providers..". A SLA was in pace however evaluations as required by the SLA was not being done.</p>		
Responsible Party: Denise McLean-Powell		
Auditor Signature:		Signature:

OPPORTUNITY REPORT		
Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): Georgette Thompson	Date: November 30, 2021
Audit of : TRN Registration	Audit Criteria: N/A	
<p>Statement of Opportunity:</p> <p>There is an opportunity to improve the SOP by correcting the incorrect numbering at section 9.4. After step 5 is recorded step 14, which should be step number 6. Therefore the numbering for the rest of the process is incorrect in section 9.4.</p>		
Responsible Party: Denise McLean-Powell		
Auditor Signature:		Signature: