### eGov JAMAICA LIMITED

Full System Audit

Internal Audit Report

Audit Dates: June 20, 2022 - October 25, 2022

Audit Report: Full System Audit Internal	Audit: Report No. 390
Audit	
Company Limited	

Audited Facility: Company Limited

Address: 235b Old Hope Road. Kingston Jamaica

Audit Team: Mark A. Campbell, Melville McIntosh, Zavion Mattis, Fern Townsend, Angela M. Smith, Andre Harding, Jermaine Leslie, James Lattibeaudiere, Romano Willis, O'Brian Stewart, Adoree Mathews, Alexis Gayle, Stacey Earle, Yanique Walker, Rodrick Ingram, Moya Staple, TresAnn Williams

Date Of Audit: June 20, 2022 - October 25, 2022

Scope Of Audit: Full System audit to the Quality Management System at the

eGovJa.

Contact Person:

Summary of Non-Conformities Identified in The Internal Audit Process

Process #	Process Names	Non Confor
		mances
1	2 Client Relationship Management - (CRM PRMD)	2
2	1 Security Assessment (SITRM - OSS)	1
3	Agile Training - Agile Center of Excelence (ACOE - Exec Mgmt.)	1
4	Application Engineering	2
5	Application Maintenance and Support (AMS - BSS)	1
6	Disaster Recovery & Backup ( NOC - OSS)	1
7	Software Application Implementation - Software Engineering (AE - BSS)	1
8	Software Development and Integration - Software Engineering (AE- BSS)	1
	TOTAL	10

Summary of Conformities Identified in The Internal Audit Process

Process #	Process Names	Conformanc
		es
1	1 Internal Audit -Exec Mgmt (IAD)	6
2	1 Security Assessment (SITRM - OSS)	6
3	Agile Training - Agile Center of Excelence (ACOE - Exec Mgmt.)	6
4	Application Engineering	10
5	Application Maintenance and Support (AMS - BSS)	15
6	Business Process Design and Re-engineering (BA - BSS)	6
7	Client Relationship Management - (CRM PRMD)	3
8	Disaster Recovery & Backup ( NOC - OSS)	5
9	Enterprise Procurement	11
10	Firewall configuration and Implementation (SITRM - OSS)	6
11	Governance ICT Concept Appraisal (EPM - PRMD)	13
12	Hardware Maintenance	6
13	Hardware Provisioning (DCE - OSS)	2
14	HRM & Admin Supporting Services (HRM&A)	6
15	Infrastructure Management - Elwecrtrical Power Infrastructure	8

	(DCE - OSS)	
16	Infrastructure Management - Structured Cableing - Power (DCE -	2
	OSS)	
17	Internal Audit -Exec Mgmt (IAD)	5
18	Security Assessment (SITRM - OSS)	7
19	Software Application Implementation - Software Engineering (AE - BSS)	5
20	Software Development and Integration - Software Engineering (AE- BSS)	7
21	Software Quality Control - Software Engineering (QA - BSS)	4
22	Software Requirements Management - Software Engineering (BA - BSS)	8
23	Strategic Planning Process - Development of org. Strat Plan( Planning - FPEP)	6
24	Vendor Management - Enterprise procurement (FPEP)	5
	TOTAL	158

# <u>Summary of Opportunities for Improvement Identified in The Internal Audit Process</u>

Process #	Process Names	Conformanc
		es
1	Agile Training - Agile Center of Excelence (ACOE - Exec Mgmt.)	1
2	Application Maintenance and Support (AMS - BSS)	1
3	Business Process Design and Re-engineering (BA - BSS)	1
4	Governance - ICT Proposal Appraisal (EPM - PRMD)	1
5	Software Requirements Management - Software Engineering (BA -	2
	BSS)	
	TOTAL	6

eGov Jamaica Limited has voluntarily submitted itself to the rigours of international certification and as such has engaged in the Government ISO Certification program supported by the MIIC.

### **AUDIT BRIEF**

Audit Ref	16454	483726	Audit of:		Full System Audit
Date Scheduled	June	20, 2022 -	Locations	·	235 B. Old Hope
	Octobe	er 25, 2022			Rd. Kgn. 6. Jamaica
Audit Team:		Process Own	er(s):	Fern T	ownsend -HOD,
Mark A. Campbell,				Adminis	stration
Melville McIntosh, Za	avion			Devon S	Sterling-Divisional
Mattis, Fern Townse	nd ,			Director	•
Angela M. Smith , Andre				Jerome	A. McKenzie -HOD
Harding, Jermaine Leslie,				Phillip F	reckleton -HOD
James Lattibeaudiere	mes Lattibeaudiere,			Sophia	Williams -Divisional
Romano Willis, O'Bria	an		Director		•
Stewart, Adoree Math	news,		Grant McNab -HOD		IcNab -HOD

Alexis Gayle, Stacey Earle, Yanique Walker, Rodrick Ingram, Moya Staple, TresAnn Williams

Audit Team Leader: Angela M. Smith

Christopher Scott -HOD Edward Samuda -Divisional Director Jennifer Ricketts -HOD Anika Shuttleworth -CEO Kay-Maureen Shim-Div. Director Shernette Barham-Div. Director Anthony Clarke-HOD Norma Winkle-HOD Bryan Mowatt-HOD Janet Robertson-Project Manager Crafton Jennings-HOD Jodie Feoron-HOD Gilrov Julal-HOD Toussaint Derrett-HOD

Cassandra Duricka-hod Marion Lim-chong-hod

#### Purpose:

To evaluate the QMS to ensuse that the processes are implemented and effective and conforms to the requirement of ISO 90012015. And to seek opporortunities for improvement.

Background and Context:

The eGovJa is supporting the mandate of the government to make Jamaica the place of choice to live, work, raise families, do business and retire through benchmarking its processes to world class standards.

Scope:

Full System audit to the Quality Management System at the eGovJa.

Criteria:

ISO 90012015, Documented Information of the organization, Customer and egislative Requirement.

Objectives:

To determine Conformity, Effectiveness, Opportunities to Improve of the organizations management system relative to the ISO 9001:2015 standard, its own requirements and legislative requirements. And to report non-conformities when there are deviations fr

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### Company Limited Audit Plan

#### **Opening Meeting:**

Who: Mark A. Campbell, Melville McIntosh, Zavion Mattis, Fern Townsend, Devon Sterling, Jerome A. McKenzie, Phillip Freckleton, Sophia Williams, Grant McNab, Christopher Scott, Edward Samuda, Jennifer Ricketts, Anika Shuttleworth, Angela M. Smith, Andre Harding, Jermaine Leslie, James Lattibeaudiere, Romano Willis, O'Brian Stewart, Adoree Mathews, Alexis Gayle, Stacey Earle, Yanigue Walker,

When: Friday, 'July' '8', 2022

Where: Online and in person Egov Ja Limited 235b Old Hope Road Kingston 6

What to cover: Audit criteria, associated with the processes of EgovJa Ltd and the schedule for completion of the quality management system internal audit

The Audit

To be distributed to all process owners and auditors electronically

Closing Meeting:

Who: Mark A. Campbell, Melville McIntosh, Zavion Mattis, Fern Townsend, Devon Sterling, Jerome A. McKenzie, Phillip Freckleton, Sophia Williams, Grant McNab, Christopher Scott, Edward Samuda, Jennifer Ricketts, Anika Shuttleworth, Angela M. Smith, Andre Harding, Jermaine Leslie, James Lattibeaudiere, Romano Willis, O'Brian Stewart, Adoree Mathews, Alexis Gayle, Stacey Earle, Yanique Walker,

When: Thursday, `June` `30`, 2022

Where: Online and in person Egov Ja Limited 235b Old Hope Road Kingston 6

### **AUDIT SCHEDULE**

Processes	Auditor	Auditee	Date/Time
Hardware	Romano Willis		June 22, 2022
Provisioning (DCE -			10:18 AM - FJune
OSS)			22, 2022 12:18 PM
Staffing (HRM)	Kevin Senior		June 22, 2022
			10:00 AM - FJune
			22, 2022 12:00 PM
Shared Services	Romano Willis		June 22, 2022
Infrastructure			10:00 AM - FJune
Support (CSS -			22, 2022 12:00 PM
OSS)			
Strategic Planning	Rodrick Ingram		June 22, 2022
Process -			10:00 AM - FJune
Development of org.			22, 2022 12:00 PM
Strat Plan( Planning			
- FPEP)			
Agile Training -	Latrecia Fletcher		June 22, 2022
Agile Center of			10:00 AM - FJune
Excelence (ACOE -			22, 2022 12:00 PM
Exec Mgmt.)			
Software	Mark A. Campbell		June 22, 2022
Development and			10:00 AM - FJune
Integration -			22, 2022 12:00 PM
Software			
Engineering (AE-			
BSS)			
Software	Mark A. Campbell		June 22, 2022
Application			10:00 AM - FJune
Implementation -			22, 2022 12:00 PM
Software			
Engineering (AE -			
BSS)			
Software	Mark A. Campbell		June 22, 2022
Requirements			10:00 AM - FJune
Management -			22, 2022 12:00 PM
Software			
Engineering (BA -			
BSS)			
Software Quality	Mark A. Campbell		June 22, 2022
Control - Software			10:00 AM - FJune
Engineering (QA -			22, 2022 12:00 PM
BSS)	NATION NATION		1 00 0000
ICT	Melville McIntosh		June 22, 2022
Project/Programme			10:00 AM - FJune
ı	i l	I	ı

Management (PMO - PRMD)		22, 2022 12:00 F	PM
Business Process Design and Re-	James Lattibeaudiere	June 22, 2022 10:00 AM - FJur	ne
engineering (BA - BSS)		22, 2022 12:00 F	PM
Network &	Zavion Mattis	June 22, 2022	
Communication -		10:00 AM - FJur	-
Wireless		22, 2022 12:00 F	PM
Implementation (NS			
- OSS)			
2 Client	Melville McIntosh	June 22, 2022	
Relationship		10:00 AM - FJur	.
Management - (CRM PRMD)		22, 2022 12:00 F	PM
Asset Management	Romano Willis	June 22, 2022	
(OSS,		10:00 AM - FJur	ne
Administration)		22, 2022 12:00 F	PM
1 Client	Melville McIntosh	June 22, 2022	
Relationship		10:00 AM - FJur	ne
Management -		22, 2022 12:00 F	PM
(CRM PRMD)			
1 Security	Sophia Taylor	June 22, 2022	
Assessment (SITRM		10:00 AM - FJur	-
- OSS)		22, 2022 12:00 F	PM_
1 Internal Audit	Alexis Gayle	June 22, 2022	
-Exec Mgmt (IAD)		10:00 AM - FJur	
		22, 2022 12:00 1	PM_
HRM & Admin	Rodrick Ingram	June 22, 2022	
Supporting Services		10:00 AM - FJur	-
(HRM&A)		22, 2022 12:00 [	PM_
Client Relationship	Melville McIntosh	June 22, 2022	
Management -		10:00 AM - FJur	
(CRM PRMD)	A := d = = = = A := d := =	22, 2022 12:00 F	PIVI
Internal Audit	Anderson Andrea	June 22, 2022	
-Exec Mgmt (IAD)		10:00 AM - FJur	
Vendor	Podriok Ingram	22, 2022 12:00 F	PIVI
1 0110101	Rodrick Ingram	June 22, 2022 10:00 AM - FJur	.
Management - Enterprise		22, 2022 12:00 F	
procurement (FPEP)		22, 2022 12.00 1	r IVI
Management	Williams Tresann	June 22, 2022	
Review - Exec	vviinairis i i csaiiii	10:00 AM - FJur	ne
Management and		22, 2022 12:00 F	
Snr. Management		22, 2022 12.001	1 141
(HODs)			
(. 1000)			

Research and	Latrecia Fletcher	June 22, 2022
Innovation (Exec		10:00 AM - FJune
Mgmt (Innovation		22, 2022 12:00 PM
Hub), BSS, OSS)		
Nonconformity and	Andre Harding	June 22, 2022
Corective Action	9	10:00 AM - FJune
(BSS, OSS)		22, 2022 12:00 PM
Change	Romano Willis	June 22, 2022
Management -		10:00 AM - FJune
Change Advisory		22, 2022 12:00 PM
Board (TS OSS)		, :-: ::
Network &	Zavion Mattis	June 22, 2022
Communication -		10:00 AM - FJune
Structured Cabling		22, 2022 12:00 PM
(Data) (NS - OSS)		22, 2022 12.00 1 101
(Sala) (140 000)	Zavion Mattis	June 22, 2022
	Zavion Mattis	10:00 AM - FJune
		22, 2022 12:00 PM
Network &	Zavion Mattis	June 22, 2022
Communication -	Zavion iviatus	10:00 AM - FJune
PBX Implementation		22, 2022 12:00 PM
(NS - OSS)	O/Division Ohamant	hung 22, 2022
Governance - ICT	O'Brian Stewart	June 22, 2022
Proposal Appraisal		10:00 AM - FJune
(EPM - PRMD)	NAST MENASTRA	22, 2022 12:00 PM
Governance - ICT	Melville McIntosh	June 22, 2022
Procurement No		10:00 AM - FJune
Objection (EPM -		22, 2022 12:00 PM
PRMD)	0, ,, ,,	
Governance ICT	Shanelle Rhoden	June 22, 2022
Concept Appraisal		10:00 AM - FJune
(EPM - PRMD)		22, 2022 12:00 PM
Disaster Recovery	Stacey Earle	June 22, 2022
& Backup2 ( NOC -		10:00 AM - FJune
OSS)		22, 2022 12:00 PM
Disaster Recovery	Stacey Earle	June 22, 2022
& Backup1 ( NOC -		10:00 AM - FJune
OSS)		22, 2022 12:00 PM
Disaster Recovery	Stacey Earle	June 22, 2022
& Backup ( NOC -		10:00 AM - FJune
OSS)		22, 2022 12:00 PM
Application	Mark A. Campbell	June 22, 2022
Engineering	·	10:00 AM - FJune
		22, 2022 12:00 PM
Enterprise	Rodrick Ingram	June 22, 2022
Procurement	<b>9</b>	10:00 AM - FJune

		1	22, 2022 12:00 PM
Application Maintenance and Support (AMS - BSS)	Mark A. Campbell	Norma Winkle	June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Enterprise Procurement - ICT Solution Apraisal & Selection( EPM - FPEP)	Melville McIntosh	Christopher Scott	June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Governance - ICT Project/Programme Monitoring & Evaluation (M&E) (EPM - PRMD)	Melville McIntosh		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Hardware Maintenance	Howard McCalla		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Co-Location Hosting	Romano Willis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
	Zavion Mattis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
	Zavion Mattis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Network & Communication - Internet Services (NS - OSS)	Zavion Mattis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
	Zavion Mattis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Firewall configuration and Implementation (SITRM - OSS)	Adoree Mathews		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Infrastructure Management - Workspace Planning and Design (NS - OSS)	Howard McCalla		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Infrastructure Management - Structured Cableing	Howard McCalla		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM

- Power (DCE - OSS)			
Infrastructure Management - Elwecrtrical Power Infrastructure (DCE - OSS)	Howard McCalla	June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM	1
Hosted Help Desk (TS - OSS)	Yanique Walker	June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM	1
laaS (SMS - OSS)	Yanique Walker	June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM	1
Security Assessment (SITRM - OSS)	Alexis Gayle	June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM	1

CONFORMITY REPORTS – SECURITY ASSESSMENT (SITRM - OSS)

Audit of: Security	Auditor: Alexis	Audit Criteria: ISO	Auditees:	
Assessment (SITRM	Gayle	9001:2015 Clause		
- OSS)		4.1(a)		
Audit Evidence:				
Strategic Plan Depa	rtment Work plan Inf	ormation Security Police	cies	
Evaluation:				
Evidence Received	and view in Organiza	ation's policy repository	based ISO	
27001:2013 Clause A	k.5.1.1 which states t	hat A set policies for in	formation security	
1 ' ' '	, ,	nt, published and comr		
employees and releva	ant external parties. A	Also based ISO 27001	:2013 Clause A.5.1.2	
which states The poli	cies for information s	ecurity shall be review	ed at planned	
intervals or if significant changes occur to ensure their continuing suitability,				
adequacy and effectiveness.				
Effectiveness:				

### CONFORMITY REPORTS - SECURITY ASSESSMENT (SITRM - OSS)

ON ORMITTICE ORTO DECORNITI MODECOMENT (OTTAM COO)					
Audit of: Security	Auditor: Alexis	Audit Criteria: ISO	Auditees:		
Assessment (SITRM	Gayle	9001:2015 Clause			
- OSS)		4.1(a)			
Audit Evidence:					

OSS Monthly Report and List of services word document					
Evaluation:					
Monthly Report and	Monthly Report and list of services document received				
Effectiveness:					
CONFORMITY REF	PORTS – SECUR	ITV ASSESSMENI	T (SITRM - OSS)		
	Auditor: Alexis	Audit Criteria: ISO	Auditees:		
Assessment (SITRM		9001:2015 Clause	ridditooo.		
- OSS)	<b>,</b> -	6.1.1(d)			
Audit Evidence:		, , ,			
	•	ent and eGov Informat	ion Security Incident		
Management Policy D	December 2021				
L valuation.					
eGov Information Se	ecurity Incident Mana	gement Policy Decem	ber 2021 which		
	•	med at providing a str			
1. Detect, report, and	assess information s	ecurity incidents 2. Re	spond to and		
_	-	etect, assess, and ma	nage information		
security vulnerabilities	3				
Effectiveness:					
	PORTS – SECUR	ITY ASSESSMEN	T (SITRM - OSS)		
CONFORMITY REF		ITY ASSESSMEN	T (SITRM - OSS) Auditees:		
CONFORMITY REF	Auditor: Alexis		,		
CONFORMITY REF	Auditor: Alexis	Audit Criteria: ISO	,		
CONFORMITY REF Audit of: Security Assessment (SITRM	Auditor: Alexis	Audit Criteria: ISO 9001:2015 Clause	,		
CONFORMITY REF Audit of: Security Assessment (SITRM - OSS) Audit Evidence:	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a)	Auditees:		
CONFORMITY REF Audit of: Security Assessment (SITRM - OSS) Audit Evidence: Security Incident Re	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause	Auditees:		
CONFORMITY REF Audit of: Security Assessment (SITRM - OSS) Audit Evidence:	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a)	Auditees:		
CONFORMITY REF Audit of: Security Assessment (SITRM - OSS) Audit Evidence: Security Incident Re Evaluation:	Auditor: Alexis Gayle port Form, Incident re	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a) eport #: SECINC/2020	Auditees: //002. April, 23, 2020		
CONFORMITY REF Audit of: Security Assessment (SITRM - OSS) Audit Evidence: Security Incident Re Evaluation: I have received a co	Auditor: Alexis Gayle  port Form, Incident re	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a)	Auditees: //002. April, 23, 2020		
CONFORMITY REF Audit of: Security Assessment (SITRM - OSS) Audit Evidence: Security Incident Re Evaluation:	Auditor: Alexis Gayle  port Form, Incident re	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a) eport #: SECINC/2020	Auditees: //002. April, 23, 2020		

#### CONFORMITY REPORTS – SECURITY ASSESSMENT (SITRM - OSS)

Audit of: Security	Auditor: Alexis	Audit Criteria: ISO	Auditees:
Assessment (SITRM	Gayle	9001 2015 clause	
- OSS)		7.2 & 7.3	

Audit Evidence:

Job Description I saw the security training platform terranovasite on June 1, 2022 with assigned course(s) for staff members and how it work.

Evaluation:

Based on my observation of the security training platform I can conclude that the application was working according to the requirement ISO 27001:2013 Clause A.7.2.2 which states that All employees of the organization and, where relevant, contractors shall receive appropriate awareness education and training and regular updates in organizational polices and procedures, as relevant for their job function. Also according to ISO 9001:2015 Clause 7.2 and 7.3 which states that the organization shall determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system as well as the organization shall ensure persons that persons doing the work under the organization's control is aware.

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#### CONFORMITY REPORTS - SECURITY ASSESSMENT (SITRM - OSS)

Audit of: Security	Auditor: Alexis	Audit Criteria: ISO	Auditees:	
Assessment (SITRM	Gayle	9001:2015 Clause		
- OSS)	-	6.1.1(a)		
Audit Evidence:				
Incident Manageme	nt & Request Fulfille	ment Standard Operatin	g Procedures 2018	
Evaluation:				
I have seen the incident management and request fulfillment SOP 2018 which				
highlight the incident management workflow as well as the roles and responsibilities				
within the the incident management process.				
Effectiveness:				

#### CONFORMITY REPORTS - SECURITY ASSESSMENT (SITRM - OSS)

Audit of: Security	Auditor: Alexis	Audit Criteria: ISO	Auditees:
Assessment (SITRM	Gayle	9001:2015 Clause	

- OSS)	6.1.1(a)				
Audit Evidence:					
Operations Security	Policy Information Security Policy Manual	Information Security			
Management System	(ISMS) Policy				
Evaluation:					
I have received the	Operations Security Policy, Information Sec	curity Policy Manual			
and Information Secu	rity Management System (ISMS) Policy ba	sed on the ISO			
9001:2015 Clause 6.1	9001:2015 Clause 6.1.1(a)				
Effectiveness:					

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma	
Maintenance and	Campbell	9001:2015 Clause	Winkle	
Support (AMS -		7.1.1 - General		
BSS)				
Audit Evidence:				
Tieleste e e el me e el te	41 AMO 4	l	! -l. A !! 4!	

Tickets assigned to the AMS team were observed via the SysAid Application.

**Evaluation:** 

Based on the evaluation of process step: Ticketing 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 Criteria: ISO Auditees: Norma
9001:2015 Clause Winkle
9.1.2
`

Audit Evidence:

1. Tickets are successfully closed after client agree of satisfactory job. Several

closed AMS tickets of	oserved via System A	id		
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:	unioni [74] William IS IISI	ted in the evidence of	difficultive report.	
Encouveriess.				
CONFORMITY F		LICATION MAINTI	ENANCE AND	
	SUPPORT (A	MS - BSS)		
Audit of: Application Maintenance and Support (AMS - BSS)	Campbell	Audit Criteria: ISO 9001:2015 Clause 9.1.3	Auditees: Norma Winkle	
Audit Evidence:				
The SOP 'SEC-PRO	0-14-02 Software Mair	ntenance Procedure' v	was provided.	
Evaluation:				
Based on the evaluathat the organization of Maintenance Procedulaterview with requisite retained by the depare	was Meeting the requure) And the relevant emanagers [X] and c	ISO 90001 -2015 star officers [] B. documen	O-14-02 Software ndard based on: A. ted information	
Effectiveness:				
CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)				
Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma	
Maintenance and Support (AMS - BSS)	•	9001:2015 Clause 9.1.3	Winkle	
Audit Evidence:				
	ftware Maintenance F	Procedure seen		
Evaluation:	Taro Mantonanoo I	10000010		
Evaluation.				

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

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

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle
Support (AMS -		8.5.1(c)	
BSS)			
A alif. E i al a a a .			

#### Audit Evidence:

email seen giving instructions to move to production after a successful change review (email from Bonnie to CRMU regarding CRR 249904 2. CAB change procedure seen

#### **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: SEC-	Auditees: Norma
Maintenance and	Campbell	PRO-14-02 Software	Winkle
Support (AMS -		Maintenance	
BSS)		Procedure	

#### 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:

COLL CITT (MIC BOO)				
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 Maintenance Development Plan section was seen in the AMS SOP				
Evaluation:	•			

Based on the evaluation of process step: Retirement It was determined that the organization was Meeting the requirements of ('ISO 9001:2015 Clause 9.1.1(b) & 9.1.3') 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

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 -		7.1.1 - General	
BSS)			

Audit Evidence:

Tickets seen within ticketing system with track history detail for AMS tickets

**Evaluation:** 

Based on the evaluation of process step: Ticketing It was determined that 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 F	REPORTS – APPI SUPPORT (A	LICATION MAINTI	ENANCE AND
Audit of: Application		Audit Criteria: SEC-	Auditoes: Norma
		PRO-14-02 Software	
	Campbell		VVIIIKIE
Support (AMS -		Maintenance	
BSS)		Procedure	
Audit Evidence:			
	ftware Maintenance F	Procedure	
Evaluation:			
determined that the o Maintenance Procedu interview with requisit	rganization was not Nure) And the relevant emanagers [X] and the	Software Maintenance Meeting the requireme ISO 90001 -2015 star officers [] B. documen ted in the evidence co	nts of ('Software ndard based on: A. ted information
Audit of: Application	SUPPORT (A	Audit Criteria: ISO	ENANCE AND  Auditees: Norma  Winkle
BSS)			
Audit Evidence:	he various roles and	rosponsibilitios	
	rie various roles ariu	esponsibilities.	
that the organization of Software Maintenancion: A. interview with r	was not Meeting the release Procedure) And the requisite managers [X	Head of Department I requirements of ('SEC relevant ISO 90001 - ] and officers [] B. do Which is listed in the	-PRO-14-02 2015 standard based cumented
the report.	.,		21.2223 33.41111 31
Effectiveness:			

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees: Norma
Maintenance and	Campbell	9001:2015 Clause	Winkle
Support (AMS -		8.5.1(c)	
BSS)			
Audit Evidence:			
Email from client ve	rifying post-impleme	ntation checks were sa	atisfactory seen (email
to Ashley Davis Re L	MIS and TTMS)		
Evaluation:			
	·	: Completed software/	• •
		ganization was Meetin	•
1'	` ' '	e relevant ISO 90001 -	
on: A. interview with	requisite managers [	X] and officers [ ] B. do	ocumented
information retained l	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 -		7.2 - Competency	
BSS)			

#### Audit Evidence:

Listing of Udemy certificates for courses attended by AMS Management Team.

Auditee expressed that training documents are maintained by the HR department.

Auditors to request and review - GROUP 6

#### Evaluation:

Based on the evaluation of process step: Training It was determined 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 the evidence column of the report.

K] Which is listed in the evidence column of the report.	
Effectiveness:	

	1				
Audit of: Application	Auditor: Mark A.	Audit Criteria	: ISO	Auditees: Norma	
Maintenance and	Campbell	9001:2015 Cla	ause	Winkle	
Support (AMS -		7.5 - Documer	nted		
BSS)		Information			
Audit Evidence:					
1. A report of comple	ted tickets can be ge	nerated by the	ticketii	ng system 2. Sample	
of 3 completed tickets	provided				
Evaluation:					
Based on the evalua		-			
the organization was N		•		•	
the relevant ISO 9000				•	
managers [X] and office			retained	by the department	
[X] Which is listed in the	<u>ne evidence column (</u>	of the report.			
Effectiveness:					
	NONCONFOR	MITY REPO	DRT		
	ncident Identification				
Non-Conformity Rep	\ '	k A.	Date: J	une 22, 2022	
#: 1	Campbell				
Audit of : Application					
Maintenance and	9001:2015 Claus				
Support (AMS - BSS)	10.2-Conformity				
	Corrective Action				
Statement of Noncor	nformity:				
			_		
	Based on the evaluation of process step: Control of Non-conformity It was				
determined that the or	•	•		`	
	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					
	equisite managers [X	] and officers [	] B. do	cumented	
information retained by	equisite managers [X	] and officers [	] B. do	cumented	
	equisite managers [X	] and officers [	] B. do	cumented	
information retained by	equisite managers [X	] and officers [	] B. do	cumented	
information retained by the report.	equisite managers [X y the department [X]	] and officers [	] B. do	cumented	
information retained by the report.  Responsible Party: N	equisite managers [X y the department [X]	] and officers [ Which is listed	] B. do	cumented	
information retained by the report.	equisite managers [X y the department [X]	] and officers [	] B. do	cumented	

OPPORTUNITY REPORT				
Incid	ent Identification N	lumber: 000	000.00001	
Opportunity Report #: 1	Auditor (s): Mark	Α.	Date: June 22, 2022	
	Campbell			
Audit of : Application	Audit Criteria: IS	0		
Maintenance and	9001:2015 Clause	e 6.1.1(a)		
Support (AMS - BSS)				
Statement of Opportunity	y:			
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:		
·				

### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

Audit of: Enterprise	Auditor: Rodrick	Audit Criteria: ISO	Auditees:	
Procurement	Ingram	9001 2015 clause -		
		8.2.2		
Audit Evidence:				
eGovjJa Procureme	nt procedure v7.pdf e	eGovJa Procurement p	rocedure brochure	
Evaluation:				
		Procurement Request		
•	• •	uirements of eGovJa P		
procedure brochure A	And the relevant ISO	90001 -2015 standard	based on: A.	
interview with requisit	te managers [ X ] and	l officers [] B. docume	nted information	
retained by the department [X ] Which is listed in the evidence column of the report.				
Effectiveness:				

### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

	Audit of: Enterprise	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
١	•			

Procurement	Ingram	9001:2015 Clause 7.5			
Audit Evidence:	1	J. 7-5			
eGovjJa Procureme	nt procedure v7.pdf				
Evaluation:					
Based on the evaluation of process step: Procurement Request It was determined that the organization was Meeting the requirements of eGovJa Procurement procedure brochure and the Public Procurement Act 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:					
CONFORMIT	Y REPORTS – EN	ITERPRISE PROC	CUREMENT		
Audit of: Enterprise		Audit Criteria:	Auditees:		
Procurement	Ingram	Procurement			
Audit Evidence:		Guideline – A2.4			
Addit Evidence.					
Public Procurement	Act 2015 Public Proc	curement Regulation 2	018.pdf		
Evaluation:		<u> </u>	•		
		Procurement Reques			
· •		vas meeting the requir 101 -2015 standard ba			
		B. documented infor			
-		vidence column of the	_		
Effectiveness:			'		
CONEODMITY	√ DEDODTS EN	ITEDDDISE DDAG	NIDEMENT		
Audit of: Enterprise		ITERPRISE PROC Audit Criteria: ISO	Auditees:		
•	Ingram	9001 2015 clause	Auditees.		
l roodromone	Ingram	7.2a, 7.2b			
Audit Evidence:		,			
	Organizational Chart.				
Evaluation:					

Based on the evaluation of process step: Competence It was determined that the
Enterprise Procurement Process was Meeting the requirements of 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 - ENTERPRISE PROCUREMENT

OCIVI CINIVII	INLIGITIO		CINEINE
Audit of: Enterprise	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
Procurement	Ingram	9001:2015 Clause	
		7.1.1 (a) - Resources	
Audit Evidence:			
Department work pla	an.		
Evaluation:			
Based on the evalua	ation of process ste	ep: Resource availability	t was determined
that the Enterprise Pr	ocurement Proces	ss was Meeting the requir	ements of the Public
Procurement Act And	the relevant ISO $9$	90001 -2015 standard ba	sed on: A. interview
with requisite manage	ers [ X ] and officer	rs [] B. documented infor	mation retained by
the department [X] W	hich is listed in the	e evidence column of the	report.
Effectiveness:			

# CONFORMITY REPORTS – ENTERPRISE PROCUREMENT Audit of: Enterprise | Auditor: Rodrick | Audit Criteria: ISO | Auditees:

Procurement	Ingram	9001 2015 clause	
		4.4.1c	
Audit Evidence:			
Defined individual pr	rocurement plan.		
Evaluation:			
Based on the evalua	ation of process step	: Efficiency It was dete	rmined that the
Enterprise Procureme	ent Process was Me	eting the requirements	of the relevant ISO
90001 - 2015 standar	d based on: A. inter	view with requisite man	agers [ X ] and
officers [] B. docume	nted information reta	ained by the departmen	t [X] Which is listed
in the evidence colum	nn of the report.	,	
Effectiveness:	·		

#### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT Audit of: Enterprise Auditor: Rodrick Audit Criteria: ISO Auditees: Procurement Ingram 9001:2015 Clause 7.5 Audit Evidence: eGovJa Procurement Procedure v7.pdf, The Public Procurement Act 2015, The Public Procurement Handbooks. Evaluation: Based on the evaluation of process step: Methodologies It was determined that the Enterprise Procurement Process was meeting the requirements of the Public Procurement Act 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 – ENTERPRISE PROCUREMENT Auditor: Rodrick Audit Criteria: ISO Audit of: Enterprise Auditees: Procurement Ingram 9001:2015 Clause 8.2.3 Audit Evidence: Purchase Order, Requirements Specifications, Customer receival/Acceptance Signoff. Evaluation: Based on the evaluation of process step: Procurement Output It was determined that the Enterprise Procurement Process was meeting the requirements of the Public Procurement Act And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [ X ] and officers [ ] B. documented information retained by

#### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

the department [X ] Which is listed in the evidence column of the report.

Effectiveness:

Audit of: Enterprise	Auditor: Rodrick	Audit Criteria: ISO	Auditees:	
Procurement	Ingram	9001 2015 clause -		
		8.2.2		
Audit Evidence:				
eGovjJa Procureme	nt procedure v7.pdf	eGovJa Procurement p	procedure brochure	
evidence of signoffs				
Evaluation:				
Based on the evalua	ation of process step	o: Standard Operating F	Procedures It was	
determined that the E	interprise Procurem	ent Process was meetii	ng the requirements	
of the Public Procure	ment Act And the re	levant 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 – ENTERPRISE PROCUREMENT

Audit of: Enterprise	Auditor: Rodrick	Audit Criteria: ISO	Auditees:	
Procurement	Ingram	9001:2015 Clause		
		7.5		
Audit Evidence:				
Procurement Proces	ss eGovJa Procurem	ent Processes-1.pdf		
Evaluation:				
Based on the evalua	ation of process step:	Procurement Reques	t Channel It was	
determined that the E	Interprise Procureme	nt Process was Meetir	ng the requirements	
of the Public Procure	ment Act And the rele	evant 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 – ENTERPRISE PROCUREMENT

Audit of: Enterprise	Auditor: Rodrick	Audit Criteria: ISO	Auditees:	
Procurement	Ingram	9001:2015 Clause		
		5.2		
Audit Evidence:				
Procurement procedure/Public Procurement Act 2015				

Evaluation:			
Based on the evalua that the Enterprise Pro Procurement Act And with requisite manage the department [X] W	ocurement Process we the relevant ISO 900 Frs [ X ] and officers [	001 -2015 standard ba ] B. documented infor	ements of the Public sed on: A. interview mation retained by
Effectiveness:			
CONFORMIT	Y REPORTS – AI	PPLICATION ENG	INEERING
Audit of: Application Engineering	Auditor: Mark A. Campbell	Audit Criteria: Application Architecture and Design Unit Standard Operating Procedures	Auditees:
Audit Evidence:			
Resource request for	r developer seen		
Evaluation:			
Based on the evalua was determined that the Architecture and Designated on: A. interview information retained but the report.	he organization was gn unit standard) And with requisite mana	d the relevant ISO 900 gers [X] and officers [	ents of (Application 01 -2015 standard B. documented
Effectiveness:			
CONFORMIT	Y REPORTS – AI	PPLICATION ENG	INEERING
	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 8.3.6. Control of Changes	Auditees:
Audit Evidence:			

Merge Request File seen. The merge request is a function a pushes software code to the Github repository. A request would be made by a developer and a Senior Developer would perform the merge request which serves the function of a review of the code.

Evaluation:			
Based on the evalua	ation of process step:	Coding It was determ	ined that the
	· ·	s of (Business Analysi	
relevant ISO 90001 -2	2015 standard based	on: A. interview with r	equisite managers
[X] and officers [] B.	documented informati	ion retained by the de	partment [X] Which is
listed in the evidence	column of the report.		
Effectiveness:			
CONFORMIT	Y REPORTS – AI	PPLICATION ENG	INFERING
Audit of: Application	1	Audit Criteria:	Auditees:
1	Campbell	Application	ridditooo.
		Architecture and	
		Design Unit	
		Standard Operating	
		Procedures	
Audit Evidence:			
1 '	• • •	onarqubelicensingweb	•
1		ate reports showing w	hich developer
modify the software p	rogram		
Evaluation:			
Based on the evalua	ation of process step:	Track code changes I	t was determined
		irements of (Business	
	•	d based on: A. intervi	•
		ed information retained	•
[X] Which is listed in t	• •		, ,
Effectiveness:		•	
CONFORMIT	Y REPORTS – AI	PPLICATION ENG	INEERING
Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees:
Engineering	Campbell	9001:2015 Clause	
		8.3.4	
Audit Evidence:			
SOP seen			
Evaluation:			

Based on the evaluation of process step: Testing It was determined that the organization was Meeting the requirements of (Business Analysis SOP v2.0) 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 ENGINEERING			
Audit of: Application		Audit Criteria: ISO	Auditees:
Engineering	Campbell	9001:2015 Clause 8.3.4	
Audit Evidence:			
SOP for each department (QA, Programmers, UX, Appl. Architecture and Design). Internal standards (Coding, Versioning, Unit Testing) seen			
Evaluation:			
	•	Governance It was de	
1 -		s of (Application Archit	_
1		<ul> <li>-2015 standard based ocumented information</li> </ul>	
		nce column of the repo	
Effectiveness:			

### CONFORMITY REPORTS – APPLICATION ENGINEERING Audit of: Application Auditor: Mark A. Audit Criteria: ISO Auditees:

Audit of. Application	Auditor. Mark A.	Audit Chiena. 180	Auditees.	
Engineering	Campbell	9001:2015 Clause		
		7.4 Communication		
Audit Evidence:				
More recent agile he	ealth report seen			
Evaluation:				
	·	: Team Feedback It wa		
organization was Meeting the requirements of (Application Architecture and Design				
unit standard) 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	n is listed in the evide	ence column of the rep	ort.	
Effectiveness:				
1				

### CONFORMITY REPORTS – APPLICATION ENGINEERING

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees:	
Engineering	Campbell	9001 2015 clause		
		7.2 & 7.3		
Audit Evidence:				
Various SOP seen (	Main AE SOP, QM, L	JI-UX, Unit Test, Codir	ng ) Auditee	
expressed that staff a	re made aware of rol	es and responsibilities	through the staff	
orientation sessions,	job description that th	ney are given, their wo	rk plans and the	
various standard oper	rating procedures.		•	
Evaluation:				
Based on the evalua	ation of process step:	Head of Department I	t was determined	
that the organization was Meeting the requirements of (Application Architecture and				
Design unit standard) And the relevant ISO 90001 -2015 standard based on: A.				
interview with requisite managers [X] and officers [] B. documented information				
retained by the depar	tment [X] Which is lis	ted in the evidence co	lumn of the report.	
Effectiveness:			•	

### CONFORMITY REPORTS – APPLICATION ENGINEERING Audit of: Application Auditor: Mark A Audit Criteria: ISO Auditees:

Audit of: Application	Auditor: Mark A.	Audit Chiena: 150	Auditees:	
Engineering	Campbell	9001 2015 clause		
		7.2 & 7.3		
Audit Evidence:				
Training register see	en training course ou	utline seen		
Evaluation:				
Based on the evaluation of process step: Head of Department It was determined				
that the organization was Meeting the requirements of (Application Architecture and				
Design unit standard) 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 ENGINEERING**

Audit of: Application	Auditor: Mark A.	Audit Criteria: ISO	Auditees:	
Engineering	Campbell	9001:2015 Clause		
		8.3.4		
Audit Evidence:				
unit has a copy of pi	ocedures			
Evaluation:				
Based on the evaluation of process step: Application Architecture and Design Unit Standard Operating Procedures It was determined that the organization was Meeting the requirements of (Application Architecture and Design unit standard) 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 ENGINEERING**

Auditor: Mark A.	Audit Criteria: ISO	Auditees:			
Campbell	9001:2015 Clause				
	8.3.5				
A_1.png seen					
. •					
ation of process step	: Deployment It was de	termined that the			
organization was Meeting the requirements of (Application Architecture and Design					
unit standard) And the relevant ISO 90001 -2015 standard based on: A. interview with					
requisite managers [X] and officers [] B. documented information retained by the					
h is listed in the evide	ence column of the rep	ort.			
	Campbell  A_1.png seen  ation of process step eting the requirement e relevant ISO 9000 X] and officers [] B. 6	Campbell 9001:2015 Clause 8.3.5  A_1.png seen  ation of process step: Deployment It was detering the requirements of (Application Archive relevant ISO 90001 -2015 standard based			

NONCONFORMITY REPORT			
Incident Identification Number: 000000.00002			
Non-Conformity Report	Auditor (s): Mark A.	Date: June 22, 2022	
#: 1	Campbell		
Audit of : Application	Audit Criteria: ISO		
Engineering	9001:2015 Clause 8.3.4		

Signature:  MITY REPORT  umber: 000000.00003 A. Date: June 22, 2022  7.1.2 -
MITY REPORT  umber: 000000.00003 A. Date: June 22, 2022  7.1.2 -
umber: 000000.00003 A. Date: June 22, 2022 7.1.2 -
A. Date: June 22, 2022 7.1.2 -
A. Date: June 22, 2022 7.1.2 -
7.1.2 -
esource Assignment It was determined quirements of (Application Architecture SO 90001 -2015 standard based on: A. icers [] B. documented information d in the evidence column of the report.
Signature:
R RECOVERY & BACKUP ( NOC Audit Criteria: ISO Auditees: 001 6.2 (6.2.1)
<b>λ</b> ι

	Evaluation:			
	document in place. A states: The organizat opportunities; b) how	ccording to the requition shall plan: a) actition 1) integrate and i	an conclude that there rement of the ISO 900 ons to address these rimplement the actions it is evaluate the effections.	Standard which sks and nto its quality
	Effectiveness:			
CC	ONFORMITY REP	PORTS – DISAST OS	ER RECOVERY &	BACKUP ( NOC -
	Audit of: Disaster	Auditor: Stacey	Audit Criteria: ISO	Auditees:
	Recovery & Backup (	Earle	9001:2015 Clause	
	NOC - OSS)		8.5.4 - Preservation	
	Audit Evidence:			
	Backup Daily Status	s Report		
	Evaluation:			
	preserve the outputs	during production an	which stipulates: "The of d service provision, to DTE Preservation can in	the extent necessary
	=		g, storage, transmissio	
	and protection.	ion control, packaging	g, storage, transmissio	ir or transportation,
	Effectiveness:			
CC	ONFORMITY REP	ORTS – DISAST OS	ER RECOVERY & S)	BACKUP ( NOC -
	Audit of: Disaster	Auditor: Stacey	Audit Criteria: NOC	Auditees:
	Recovery & Backup (	1	Operational	
	NOC - OSS)	,	Procedure Manual -	
	,		Backup and	
			Recovery Strategies	
			Schedule Section	
			2.16.2	

Audit Evidence:

Backup Log Status Report

	Evaluation:			
	review and control ch development of produ no adverse impact on	anges made during, ucts and services, to a conformity to require	or stipulatesThe organi or subsequent to, the of the extent necessary to ements and the assess the organization is in c	design and one of the consure that there is sment of the NOC
	Effectiveness:			
CC	NFORMITY REP	ORTS – DISAST OS	ER RECOVERY & S)	BACKUP ( NOC -
	Audit of: Disaster	Auditor: Stacey	Audit Criteria: IT	Auditees:
	Recovery & Backup (	Earle	Disaster Recovery	
	NOC - OSS)		Plan -	
			Communicating a	
			Disruptive Event	

Section:10 (10.1-10.2)

Audit Evidence:

IT Disaster Recovery Plan

Evaluation:

Based on the IT Disaster Recovery Plan stipulates the flow of communication among stakeholders.

Effectiveness:

# CONFORMITY REPORTS – DISASTER RECOVERY & BACKUP ( NOC - OSS)

Audit of: Disaster	Auditor: Stacey	Audit Criteria: ISO	Auditees:	
Recovery & Backup (	Earle	22301:2019 Clause		
NOC - OSS)		8.2.2 Business		
		Impact Analysis		
Audit Evidence:				
IT Security Policies and Risk Assessment Methodology dtd Dec 9, 2011, was				
assessed.				
Evaluation:				

In keeping with the ISO 9001 standard. IT Security Policies were seen and interviewed with the process owner who stated that as part of the establishment of eGov's Information Security Management System (ISMS), undertook a comprehensive assessment of the information security risks facing the organization. That risk assessment is refreshed periodically and includes a re-examination of the risks, updated risk evaluations, and updated risk treatment plans. Therefore it can be concluded that the organization has a strategy in place to manage and address risks and opportunities proportionate to the potential impact on the conformity of the organization's services delivery?

organización o convicco acinvo	71 <b>y</b> 1	
Effectiveness:		

NONCONFORMITY REPORT				
Incident Identification Number: 000000.00004				
· ·	Auditor (s): Stacey Earle		Date: June 22, 2022	
#: 1				
Audit of : Disaster	Audit Criteria: ISO			
Recovery & Backup (	22301:2019 Clause 3.4			
NOC - OSS)	Business Continuity Plan			
Statement of Nonconformity:				
The Process owner has stated that they are in the process of finalizing the organization's business continuity plan. The document is still in draft and cannot be shared at this time				
Responsible Party: Devon Sterling				
Auditor Signature: Sign		Signature:		

# CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD)

Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:	
Governance ICT	Rhoden	9001:2015 Clause		
Concept Appraisal		7.5.1		
(EPM - PRMD)				
Audit Evidence:				
Project Portfolio Management Standard Operating Procedures.				
Evaluation:				

ONFORMITY REF	PORTS – GOVER (EPM -	NANCE ICT CONO	CEPT APPRAIS
Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: ISO 9001 2015 clause – 8.2.1	Auditees:
Audit Evidence:	intoka form for five	5) completed projects.	
	@egovja.com, a mee nal approval is grante	ting is held, tentative a ed by the CEO.	pproval is given by
	PORTS – GOVER	NANCE ICT CONC	CEPT APPRAIS
	PORTS – GOVER (EPM - Auditor: Shanelle Rhoden	PRMD) Audit Criteria: Project Portfolio Management Standard Operating	CEPT APPRAIS Auditees:
ONFORMITY REF  Audit of: Governance ICT Concept Appraisal	(EPM - Auditor: Shanelle	PRMD) Audit Criteria: Project Portfolio Management	

# CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD) Auditor: Shanelle | Audit Criteria: ISO | Auditees:

	`		
Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:
Governance ICT	Rhoden	9001 2015 clause	
Concept Appraisal		7.2 & 7.3	
(EPM - PRMD)			
Audit Evidence:			
Job Description Cop	y of Qualifications C	ertified Project Manage	ement Professional
Certificate BSC-Mana	agement Studies Cer	tificate of Training in P	roject
Management/Portfolio	o Management		
Evaluation:			
As per the Job desc	ription, the Director F	PMO is qualified for the	post and to carry out
the requisite duties a	nd functions.	·	
Effectiveness:			

# CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD)

Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:	
Governance ICT	Rhoden	9001:2015 Clause		
Concept Appraisal		7.5.3- Control and		
(EPM - PRMD)		Documented		
,		Information		
Audit Evidence:				
Records are maintained by a drive on the company's common area.				
Evaluation:				
Some criteria's inclu	de strategic rational	e and alignment, Strate	egic Operational	
Planning, Urgency/Ov	wn Priority, Operation	nal Issue, Compliance	Issue, Ability to	
Utilized Resources, Risk Management, Pre-Planning Requirements, Financing and				
Types of Contracts Records are maintained by a drive on the company's common				
area.				
Effectiveness:				

CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD)

Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:	
Governance ICT	Rhoden	9001:2015 Clause		
Concept Appraisal		7.5.3- Control and		
(EPM - PRMD)		Documented		
		Information		
Audit Evidence:				
Project Portfolio Ma	nagement Standard	Operating Procedures		
Evaluation:				
This is done by usir	ng a project intake do	cument process Docur	nent that outlines	
attributes and descriptions. This includes duration, effort and complexity				
Effectiveness:				

### CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD)

Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:		
Governance ICT	Rhoden	9001:2015 Clause			
Concept Appraisal		8.2-Operational			
(EPM - PRMD)		Planning and Control			
Audit Evidence:					
Copies of project int	ake forms				
Evaluation:					
After submission by	After submission by CRM, I will then submit form to the Portfolio Advisory				
Committee at PACT@	<sup>®</sup> egovja.com, a meet	ting is held, tentative ap	oproval is given by		
the committee and final approval is granted by the CEO.					
Effectiveness:					

### CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD)

Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:
Governance ICT	Rhoden	9001:2015 Clause	
Concept Appraisal		7.5.3- Control and	
(EPM - PRMD)		Documented	
		Information	
Audit Evidence:			

Copies of Approved PACT project intake forms					
Evaluation:					
•	The requested form is submitted to the PACT committee for discussion and final approval is given by the company's CEO.				
Effectiveness:					
CONFORMITY REF	PORTS – GOVER	NANCE ICT CONC	EPT APPRAISAL		
	(EPM -				
Audit of:	Auditor: Shanelle	Audit Criteria:	Auditees:		
Governance ICT	Rhoden	eGovJa-Project			
Concept Appraisal		Management			
(EPM - PRMD)		Methodology			
Audit Evidence:					
Copy of PPM SOP					
Evaluation:					
	Operating Procedure	es .			
Effectiveness:	Effectiveness:				
CONFORMITY REF	PORTS – GOVER	NANCE ICT CONC	EPT APPRAISAL		
	(EPM -	PRMD)			
Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:		
Governance ICT	Rhoden	9001:2015 Clause			
Concept Appraisal		10.2-Non-Conformity			
(EPM - PRMD)		and Corrective			
		Action			
Audit Evidence:					
PPM SOP					
Evaluation:					
Control of Non-Cor	oformity				
Effectiveness:	попппц				
Encouveriess.					
l					

#### CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD)

Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:	
Governance ICT	Rhoden	9001:2015 Clause		
Concept Appraisal		7.5.3- Control and		
(EPM - PRMD)		Documented		
		Information		
Audit Evidence:				
eGov Project Priorit	ization Log Master			
Evaluation:				
Once the request fo	Once the request form has been accepted, the project is ranked by using the project			
date and prioritization	ı log. A project criteria	a listing is also used.		
Effectiveness:				

# CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD) Audit of: Auditor: Shapelle Audit Criteria: ISO Auditees:

Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:	
Governance ICT	Rhoden	9001:2015 Clause		
Concept Appraisal		7.5.3- Control and		
(EPM - PRMD)		Documented		
		Information		
Audit Evidence:				
Screenshot of PPM common area.				
Evaluation:				
Records are maintained by a drive on the company's common area.				
Effectiveness:				

## CONFORMITY REPORTS – GOVERNANCE ICT CONCEPT APPRAISAL (EPM - PRMD)

Audit of	Auditor Chanalla	Audit Critoria ICO	Auditopo
Audit of:	Auditor: Shanelle	Audit Criteria: ISO	Auditees:
Governance ICT	Rhoden	9001:2015 Clause	
Concept Appraisal		8.2-Operational	
(EPM - PRMD)		Planning and Control	
Audit Evidence:			

eGov	Project Prioritization Log Master
Evalua	ation:
	le is to ensure that projects are prioritized accordingly
Effecti	iveness:

OPPORTUNITY REPORT				
Incid	ent Identification Number: 000	000.00001		
Opportunity Report #: 1	Auditor (s): O'Brian Stewart	Date: June 22, 2022		
Audit of : Governance -	Audit Criteria: ISO 9001			
ICT Proposal Appraisal	2015 clause 7.2 & 7.3			
(EPM - PRMD)				
Statement of Opportunity:				
Responsible Party: Kay-Maureen Shim				
Auditor Signature: Signature:				

#### CONFORMITY REPORTS – HARDWARE MAINTENANCE

	Audit of: Hardware	Auditor: Howard	Audit Criteria:	Auditees:
	Maintenance	McCalla	Hardware	
			Maintenance (ISO	
			9001 2015 clause	
			7.1.3)	
Ī	Audit Evidence:			
	Schedule, documen	tation, requests, cust	omer service request,	
	Evaluation:			
	Egovja Hardware pr	ocess.doc: Compute	r Engineering Unit Pro	cess Documentation,
	Effectiveness:			

#### CONFORMITY REPORTS – HARDWARE MAINTENANCE

Audit of: Hardware	Auditor: Howard	Audit Criteria: (ISO	Auditees:	
Maintenance	McCalla	Macroflow Process &		
		Process Architecture		
		February 2022		
		clause 6.39		
Audit Evidence:				
change managemer	nt approval, approval	from stakeholders, em	ail trail. evidence of	
customer approval or	sample email			
Evaluation:	-			
It was determined th	nat the organization v	vas Meeting the require	ements of (section of	
the general plan ) And	d the relevant ISO 90	0001 -2015 standard ba	ased on: A. interview	
with requisite manage	ers [] and officers []	B. documented information	ation retained by the	
department [] Which is listed in the evidence column of the report.				
Effectiveness:				

#### CONFORMITY REPORTS – HARDWARE MAINTENANCE

Audit of: Hardware Maintenance	Auditor: Howard McCalla	Audit Criteria: (ISO Macroflow Process & Process Architecture	Auditees:		
		February 2022			
		clause 6.39			
Audit Evidence:					
_					
email of work done,	stakeholder verificat	tion, engineers log if re	mote		
Evaluation:					
it varies on type of maintenance . vendor provides documentation for certain					
maintenance					
Effectiveness:					

#### CONFORMITY REPORTS – HARDWARE MAINTENANCE

Audit of: Hardware	Auditor: Howard	Audit Criteria:	Auditees:
Maintenance	McCalla	EGOV Hardware	
		processes - Control	
		Measures - 3.8	
		Maintain System	
Audit Evidence:			

Change manageme	nt document for mair	ntenance		
Evaluation:				
Lines of communica documentation Effectiveness:	tion established for a	all affected parties. to b	e provided	
CONFORMIT	TY REPORTS – H	HARDWARE MAIN	TENANCE	
Audit of: Hardware Maintenance	Auditor: Howard McCalla	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:	
Audit Evidence:		J. 12 0. 1.12		
manufacturers.	re personnel to be pro	esented. authorized pe	ersonnel from	
Evaluation:				
maintenance is som	etimes internally don	e but is mostly supervi	sing contractors. end	
	port is tracked. by en	d of support replaceme	ent is in place.	
Effectiveness:				
CONFORMIT	TY REPORTS – H	HARDWARE MAIN	TENANCE	
Audit of: Hardware	Auditor: Howard	Audit Criteria: ISO	Auditees:	
Maintenance	McCalla	9001 2015 Clause 7.1.3b - Infrastructure		
Audit Evidence:				
they are usually tied	to Contracts			
Evaluation:	10 Contracto			
Effectiveness:	and to be presented			

CONFORMITY REPORTS – HARDWARE PROVISIONING (DCE - OSS)

Audit of: Hardware	Auditor: Romano	Audit Criteria: ISO	Auditees:			
Provisioning (DCE -	Willis	9001:2015 Clause				
OSS)		8.5.1(a)				
Audit Evidence:	, <b>I</b>	J51511 (5.)				
, tadit Evidence.						
Evaluation:						
Evaluation.						
E# a three and a						
Effectiveness:						
<b>CONFORMITY REI</b>	PORTS – HARDW	VARE PROVISION	ING (DCE - OSS)			
		Audit Criteria: ISO	· · · · · · · · · · · · · · · · · · ·			
Provisioning (DCE -		9001:2015 Clause	, taditooo.			
OSS)	VVIIIIS	8.5.1(a)				
Audit Evidence:		ρ.σ. τ(α)				
Addit Evidence.						
Fralvetian						
Evaluation:						
Effectiveness:						
CONFORMITY F	PEPORTS - INFR	ASTRUCTURE MA	ANAGEMENT -			
		RASTRUCTURE (I				
Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:			
Infrastructure	McCalla	9001 2015 Clause				
Management -		7.1.3 - Infrastructure				
Elwecrtrical Power						
Infrastructure (DCE -						
OSS)						
Audit Evidence:						
Request Document	ation Presented dene	ends on where its com	ing from email from			
Request Documentation Presented, depends on where its coming from email from						
CRM acting for a MDA or a department in EGOV.to be presented						
		Evaluation:				
Evaluation:	-					
Evaluation:	oumontation of rosus	net is available, both int	tornal and from MDA			
Evaluation:	cumentation of reque	est is available. both int	ternal and from MDA			

#### CONFORMITY REPORTS – INFRASTRUCTURE MANAGEMENT - ELWECRTRICAL POWER INFRASTRUCTURE (DCE - OSS)

	THE TOTAL TRAINING	(1011001011 <u>)</u>	302 333
Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:
Infrastructure	McCalla	9001:2015 Clause	
Management -		8.1	
Elwecrtrical Power			
Infrastructure (DCE -			
OSS)			
Audit Evidence:			
Request from SMS/N	MDA and site visit find	ding in documentation	agreement
Evaluation:			
for external custome	r request: Investigation	on in tandem with othe	er OSS teams
ITSECOPS, SMS and	d documented in repo	rt showing findings. It	was determined that
the DCE was Meeting	the requirements of	(ISO 9001 Clause 8.1	) and their own
internal procedures A	nd the relevant ISO 9	0001 -2015 standard	based on: A.
interview with the mar	nager [ Y ] and officer	s [] B. documented in	formation retained
by the department [ Y	1		
Effectiveness:			

#### CONFORMITY REPORTS – INFRASTRUCTURE MANAGEMENT - ELWECRTRICAL POWER INFRASTRUCTURE (DCE - OSS)

Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:
Infrastructure	McCalla	9001 2015 Clause	
Management -		7.1.3 - Infrastructure	
Elwecrtrical Power			
Infrastructure (DCE -			
OSS)			
Audit Evidence:			
Technical Specificat	ion Document associ	ated with tendering do	cument
Evaluation:			
a report is produced	. a more technical do	ocument is provided fo	r tendering usage.
scope has to be signi	ficant		
Effectiveness:			

### CONFORMITY REPORTS – INFRASTRUCTURE MANAGEMENT - ELWECRTRICAL POWER INFRASTRUCTURE (DCE - OSS)

Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:			
Infrastructure	McCalla	9001:2015 Clause				
Management -		7.4 Communication				
Elwecrtrical Power						
Infrastructure (DCE -						
OSS)						
Audit Evidence:						
Transmission of report of the findings and recommendations to CRM that initiated the request to help develop the detail technical document for tendering process Evaluation:						
the technical report	is transmitted to CRM	I to help in develop tha	at detailed			
requirement specifica	ition.					
Effectiveness:						

## CONFORMITY REPORTS – INFRASTRUCTURE MANAGEMENT - ELWECRTRICAL POWER INFRASTRUCTURE (DCE - OSS)

Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:
Infrastructure	McCalla	9001:2015 Clause	
Management -		8.1	
Elwecrtrical Power			
Infrastructure (DCE -			
OSS)			
Audit Evidence:			
Engineers test report	rt to be presented.		
Evaluation:			
Verification tools use	ed to measure but do	cumentation not availa	able.for all such
tasks. available for so	ome.		
Effectiveness:			

CONFORMITY REPORTS - INFRASTRUCTURE MANAGEMENT -

ELWECRTRICAL POWER INFRASTRUCTURE (DCE - OSS)

Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:
Infrastructure	McCalla	9001:2015 Clause	
Management -		7.4 Communication	
Elwecrtrical Power			
Infrastructure (DCE -			
OSS)			
Audit Evidence:			
Monthly report of tas	sks undertaken by the	department.	
Evaluation:			
	•	ay be done by team. F	
work or high voltage i	t is done by contracto	ors Monthly report of ta	asks undertaken by
the department.			
Effectiveness:			

CONFORMITY REPORTS – INFRASTRUCTURE MANAGEMENT - ELWECRTRICAL POWER INFRASTRUCTURE (DCE - OSS)

Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:	
Infrastructure	McCalla	9001 2015 Clause		
Management -		7.1.3 - Infrastructure		
Elwecrtrical Power				
Infrastructure (DCE -				
OSS)				
Audit Evidence:				
reference to JS21 a	nd EGOV's distributio	n guidelines made.		
Evaluation:				
The standards are known and adhered to by the Infrastructure maintenance team.				
Effectiveness:				

#### CONFORMITY REPORTS – INFRASTRUCTURE MANAGEMENT - ELWECRTRICAL POWER INFRASTRUCTURE (DCE - OSS)

Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:
Infrastructure	McCalla	9001 2015 CLAUSE	
Management -		9.1.3 - Analysis and	

Elwecrtrical Power Infrastructure (DCE - OSS)		Evaluation	
Audit Evidence:			
contract SLA and KF	PI		
Evaluation:	·		
contracts are the sol	le source		
Effectiveness:			
CONFORMITY R	FPORTS - INFR	ASTRUCTURE MA	NAGEMENT -
		B - POWER (DCE	
Audit of:	Auditor: Howard	Audit Criteria: ISO	
7 10.0.1.1 01.1	/	9001 2015 Clause	Additions.
Management -	i i i i i i i i i i i i i i i i i i i	7.1.3 - Infrastructure	
Structured Cableing -		i i i i i i i i i i i i i i i i i i i	
Power (DCE - OSS)			
Audit Evidence:			
Email from SMS/MD	A for Structured cabli	ing	
Evaluation:			
Effectiveness:			
OONEODMITY D		A OTDUOTUDE AAA	ANIAOENAENIE
		ASTRUCTURE MA	
		- POWER (DCE	
Audit of:	Auditor: Howard	Audit Criteria: ISO	Auditees:
Infrastructure	McCalla	9001:2015 Clause	
Management -		7.5.3- Control and	
Structured Cableing -		Documented	
Power (DCE - OSS)		Information	
Audit Evidence:			
Worker distribution (	Checklist		
Evaluation:			

Effectiveness:			
CONFORMITY	REPORTS – FIRE	WALL CONFIGU	RATION AND
	MPLEMENTATION		
Audit of: Firewall	Auditor: Adoree	Audit Criteria: ISO	Auditees:
	Mathews	9001:2015 Clause	Additees.
Implementation	iviatifews	9.1.1(a)	
(SITRM - OSS)		σ. τ. τ(α)	
Audit Evidence:			
/ taak = viaariaari			
We observe the tear	m using the PRTG Ap	plication where they s	showed us how the
firewall is monitored			
Evaluation:			
	•	oplication relating to find	•
I .	• •	king according to the re	
r ·		Clause 9.1.1(a) which	
	termine what needs to	be monitored and me	easured;
Effectiveness:			
OONEODMITY	DEDODTO FIDE	NAME OONEIOU	
		WALL CONFIGU	RATION AND
	<u>MPLEMENTATION</u>	,	
Audit of: Firewall	Auditor: Adoree	Audit Criteria: N/A	Auditees:
1 2	Mathews		
Implementation			
(SITRM - OSS)			
Audit Evidence:			
M. J		.P C L	
1	m using the PRIG Ap	plication where they s	howed us how the
firewall is monitored			
Evaluation:			
Based on my observ	vation of the DDTC Ar	onligation relating to fi	rowall management I
	•	oplication relating to fill king according to the re	•
		Clause 9.1.1(b) which	
r ·		or monitoring, measu	
evaluation needed to		or mornioning, measur	ement, analysis and
Effectiveness:	erisure valid results,		
Ellectiveriess.			

#### CONFORMITY REPORTS – FIREWALL CONFIGURATION AND IMPLEMENTATION (SITRM - OSS)

Audit of: Firewall	Auditor: Adoree	Audit Criteria: N/A	Auditees:
configuration and	Mathews		
Implementation			
(SITRM - OSS)			
Audit Evidence:			
We observe the teal	m using the PRTG Ap	plication where they s	showed us how the
firewall is monitored			
Evaluation:			
Based on my observ	vation of the PRTG Ap	oplication relating to fi	rewall management I
can conclude that the	application was work	ing according to the r	equirement ( req doc
) and the requiremen	ts of ISO 9001:2015 C	Clause 9.1.1(c) The or	ganization shall
determine when the r	monitoring and measu	ring shall be performe	ed; We observe that
all devices were in the	e application and bein	g monitored.	
Effectiveness:			

### CONFORMITY REPORTS – FIREWALL CONFIGURATION AND IMPLEMENTATION (SITRM - OSS)

Audit of: Firewall	Auditor: Adoree	Audit Criteria: N/A	Auditees:
configuration and	Mathews		
Implementation			
(SITRM - OSS)			
Audit Evidence:			
The OSS monthly re	port		
Evaluation:			
Monthly reported wa	as received		
Effectiveness:			

#### CONFORMITY REPORTS – FIREWALL CONFIGURATION AND IMPLEMENTATION (SITRM - OSS)

Audit of: Firewall	Auditor: Adoree	Audit Criteria: ISO	Auditees:

configuration and	Mathews	9001:2015 Clause	
Implementation		9.1.1(f)	
(SITRM - OSS)			
Audit Evidence:			
OSS Monthly Repor	rt		
Evaluation:			
KPIs tracked in the	monthly report		
Effectiveness:	monany roport		
CONFORMITY	REPORTS – FIRE	EWALL CONFIGU	RATION AND
II	MPLEMENTATIO	N (SITRM - OSS)	
Audit of: Firewall	Auditor: Adoree	Audit Criteria: ISO	Auditees:
configuration and	Mathews	9001:2015 Clause	
Implementation		8.1.1(a)	
(SITRM - OSS)			
Audit Evidence:			
Mo saw the firewall	ungrado notification i	n the SysAid Application	on
Evaluation:	upgrade notification i	ii tile SysAlu Applicati	UII
L valuation.			
Based on my obser	vation of the SysAid A	application relating to f	irewall upgrades I
_	<del>_</del>	upgrades of services f	
		nd the requirements of	
Clause 8.1.1(a) which	n states that the organ	nization shall plan, imp	element and control
the processes (see 4	.4) needed to meet th	e requirements for the	provision of
products and service	s, and to implement th	ne actions determined	in Clause 6, by: a)
	irements for the produ	ıcts and services; ;	
Effectiveness:			
	DODTO DUOINI		
CONFORMITY RE		ESS PROCESS D	ESIGN AND RE-
	ENGINEERING		
Audit of: Business	Auditor: James	Audit Criteria:	Auditees:
Process Design and	Lattibeaudiere	Business Analysis	
Re-engineering (BA - BSS)		SOP Ver 2.0	
Audit Evidence:		<u> </u>	

expectations and agre forecast cost & effort	eeing on deliverables	volvement in the activ for the activity/task. E action.	•
determined that the o SOP v2.0) And the re requisite managers [X	rganization was Meet elevant ISO 90001 -20 (] and officers [] B. do	Business analysis applying the requirements of the standard based of the column of the reported to the standard the reported to the standard the sta	of (Business Analysis n: A. interview with n retained by the
Effectiveness:			
CONFORMITY RE	PORTS – BUSINE ENGINEERINO		ESIGN AND RE-
Audit of: Business Process Design and Re-engineering (BA - BSS)	Auditor: James	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
Audit Evidence:  Elicitation activities seen within approach plan			
organization was Meerelevant ISO 90001 -2	eting the requirements 2015 standard based documented informati	on: A. interview with ron retained by the de	s SOP v2.0 ) And the equisite managers
CONFORMITY RE	PORTS – BUSINE ENGINEERING		ESIGN AND RE-
Audit of: Business Process Design and Re-engineering (BA - BSS)	Auditor: James	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
Audit Evidence: SOP seen			

Evaluation:				
Based on the evaluation of process step: Roles It was determined that the organization was Meeting the requirements of (Business Analysis SOP v2.0) 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 RE	PORTS – BUSINI	ESS PROCESS D	ESIGN AND RE-	
	ENGINEERING			
Audit of: Business	Auditor: James	Audit Criteria:	Auditees:	
1	Lattibeaudiere	Business Analysis	Additees.	
Re-engineering (BA -		SOP Ver 2.0		
1 0 0 1		SOP VEI 2.0		
BSS)				
Audit Evidence:				
Document undated	with revision history s	aan		
Evaluation:	WILLI TEVISION MISLOTY S	<u></u>		
Evaluation.				
Posed on the evalue	ation of process stop:	Business Analysis St	andard Operating	
	·	<u>₹</u>	. •	
Procedures It was de			-	
(Business Analysis SOP v2.0 ) 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 RE	PORTS - BUSINI	ESS PROCESS D	ESIGN AND RE-	
	ENGINEERING	G (BA - BSS)		
Audit of: Business	Auditor: James	Audit Criteria:	Auditees:	
	Lattibeaudiere		Additees.	
		Business Analysis		
Re-engineering (BA -		SOP Ver 2.0		
BSS)				
Audit Evidence:				
The SOP highlights activities done to retain accuracy and consistency of				
The SOP highlights activities done to retain accuracy and consistency of				
requirements. 5.18 Evaluation:				
Evaluation.				

Based on the evaluation of process step: Manage requirement It was determined
that the organization was Meeting the requirements of (Business Analysis SOP v2.0)
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 – BUSINESS PROCESS DESIGN AND RE-ENGINEERING (BA - BSS)

Audit of: Business	Auditor: James	Audit Criteria:	Auditees:
Process Design and	Lattibeaudiere	Business Analysis	
Re-engineering (BA -		SOP Ver 2.0	
BSS)			

Audit Evidence:

Email - JCF Technical Support Process Flow with the NEC Process Incorporated Evaluation:

Based on the evaluation of process step: Solution evaluation It was determined that the organization was Meeting the requirements of (Business Analysis SOP v2.0) 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:

OPPORTUNITY REPORT				
ent Identification Number: 000	000.00001			
Opportunity Report #: 1 Auditor (s): James Date: June 22, 2022				
Lattibeaudiere				
Audit Criteria: ISO				
9001:2015 Clause 7.2 -				
engineering (BA - BSS) Competency				
	ent Identification Number: 000 Auditor (s): James Lattibeaudiere Audit Criteria: ISO 9001:2015 Clause 7.2 -			

Statement of Opportunity:

Based on the evaluation of process step: Training It was determined that the organization was Meeting the requirements of (Business Analysis SOP v2.0) 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:	Shernette Barham		
Auditor Signature:		Signature:	
		TWARE QUALITY ERING (QA - BSS	
Audit of: Software Quality Control - Software Engineering (QA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Quality Assurance Unit SOP v1	Auditees:
Audit Evidence:  Revision History sec	ction of the SOP seen		
Evaluation:  Based on the evaluation of process step: Implemented software/application It was determined that the organization was Meeting the requirements of ('Quality Assurance Unit Standard Operating Procedures) 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 – SOFTWARE QUALITY CONTROL - SOFTWARE ENGINEERING (QA - BSS)  Audit of: Software   Auditor: Mark A   Audit Criteria: ISO   Auditees:			
L Alidit of: Software	L Auditor: Nark A	L Alidit Critoria: ISO	ι Διιαιτάρος.

Audit of: Software	Auditor: Mark A.	Audit Criteria: ISO	Auditees:
Quality Control -	Campbell	9001 2015 clause	
Software		7.2 & 7.3	
Engineering (QA -			
BSS)			
Audit Evidence:			
SOP seen with roles	3		
Evaluation:			
Board on the evolut	ation of process stop	. Implemented coffwar	o/application It was

Based on the evaluation of process step: Implemented software/application It was determined that the organization was Meeting the requirements of ('Quality

	. •	site managers [X] and	
	<del>-</del>	partment [X] Which is	
evidence column of the	he report.		
Effectiveness:			
			_
OON FORMITY	DEBORTO COE	TIALADE OLIALIEN	/ OONTDOI
		TWARE QUALITY	
		ERING (QA - BSS	
Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:
Quality Control -	Campbell	Quality Assurance Unit SOP v1	
Software		Unit SOP VI	
Engineering (QA - BSS)			
Audit Evidence:			
onboarding directory	y seen		
Evaluation:			
December 11 and 12		0.1	and the control of the control
		Onboarding staff It was	
		ents of ('Quality Assu	
	•	O 90001 -2015 standa officers [] B. documen	
1		ted in the evidence co	
Effectiveness:	unchi [X] Willon 13 ii3	ica in the evidence co	idiliii oi tiic report.
CONFORMITY	REPORTS - SOF	TWARE QUALITY	CONTROL -
SOI	FTWARE ENGINE	ERING (QA - BSS	S)
Audit of: Software	Auditor: Mark A.	Audit Criteria: N/A	Auditees:
Quality Control -	Campbell		
Software			
Engineering (QA -			
BSS)			
Audit Evidence:			
ISA & TA ppg imag	00.000		
LSA & TA png imag Evaluation:	G3 3GGH		
Based on the evalua	ation of process step:	Testing It was determ	ined that the
organization was Mee	eting the requirements	s of ('eGov Jamaica Li	mited Quality

Assurance Unit Stan	dard Operating Proce	dures v1) And the rele	evant ISO 90001
-2015 standard base	d on: A. interview with	requisite managers [2	X] and officers [] B.
documented informa	tion retained by the de	epartment [X] Which is	listed in the
evidence column of t	he report.		
Effectiveness:			
CONFORMIT	Y REPORTS – S	OFTWARE REQU	IREMENTS
MANAGEME	ENT - SOFTWARE	ENGINEERING (	(BA - BSS)
Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:
Requirements	Campbell	Business Analysis	
Management -	'	SOP Ver 2.0	
Software			
Engineering (BA -			
BSS)			
Audit Evidence:	•	•	
Intake form/requisit	ion form supplied. An	Intake Form / requisiti	on form outlines the
· ·	• •	required of the busines	
other relevant inform	-	•	•
Evaluation:			
Based on the evalu	ation of process step:	Intake Form or requis	ition form It was
determined that the d	organization was Mee	ting the requirements	of (Business Analysis
	_	015 standard based o	
requisite managers [	X] and officers [] B. d	ocumented information	n retained by the
department [X] Which	h is listed in the evide	nce column of the rep	ort.
Effectiveness:		·	
CONFORMIT	Y REPORTS – So	OFTWARE REQU	IREMENTS
			_
	T	ENGINEERING (	,
Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:
Requirements	Campbell	Business Analysis	
Management -		SOP Ver 2.0	
Software			
Engineering (BA -			
BSS)			

Approach Plan Effort Estimate supplied. 1. Approach Plan is used to define the

Audit Evidence:

business analysts inv cost and effort pursui Evaluation:		ity 2. Effort Estimate is	s used to forecast the
was determined that	the organization was	Identification of busin Meeting the requirement 90001 -2015 standard	ents of (Business
1		officers [] B. documen	
	rtment [X] Which is lis	ted in the evidence co	lumn of the report.
Effectiveness:			
CONFORMIT	Y REPORTS – S	OFTWARE REQU	IREMENTS
	1	E ENGINEERING (	· /
Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:
Requirements	Campbell	Business Analysis	
Management - Software		SOP Ver 2.0	
Engineering (BA -			
BSS)			
Audit Evidence:	<u> </u>	<u> </u>	
Email of communication	ation to relevant stake	holder of the requirem	nents. Auditee
		ontrolled during meetin	gs with the client. For
	delays, this is express	sed to client.	
Evaluation:			
Rased on the evalue	ation of process step:	Requirement gathering	na It was determined
		uirements of (Business	•
_		rd based on: A. intervi	-
		ed information retained	•
[X] Which is listed in	the evidence column	of the report.	
Effectiveness:			
CONFORMIT	V DEDODTS S	OFTWARE REQU	IDEMENTO
Audit of: Software	Auditor: Mark A.	ENGINEERING ( Audit Criteria: ISO	Auditees:
Requirements	Campbell	9001:2015 Clause	Auditees.
Management -	Campbell	7.4 Communication	
Software			

Engineering (BA - BSS)			
Audit Evidence:			
sample of communi	cation of requirements	s to client via various o	communication
channels. Approach i	olan & Email seen		
Evaluation:			
Based on the evalua	ation of process step:	Communicate Require	ement It was
	•	ting the requirements	
	•	015 standard based o	`
1		ocumented information	
' -		nce column of the repo	<u>•</u>
Effectiveness:		<u> </u>	
CONFORMIT	Y REPORTS - SO	OFTWARE REQU	IREMENTS
MANAGEME	NT - SOFTWARE	ENGINEERING (	BA - BSS)
Audit of: Software	Auditor: Mark A.	Audit Criteria: ISO	Auditees:
Requirements	Campbell	9001:2015 Clause	
Management -		7.4 Communication	
Software			
Engineering (BA -			
BSS)			
Audit Evidence:	•		
Approach Plan seer	n. It was highlighted in	the BA SOP that the	Approach plan
consist of a communi	ication plan, however	this plan did not include	de all details, such as
when with whom and	how information is co	ommunicated.	
Evaluation:			
Based on the evalua	ation of process step:	Communicate Require	ement It was

CONFORMITY REPORTS – SOFTWARE REQUIREMENTS MANAGEMENT - SOFTWARE ENGINEERING (BA - BSS)

determined that the organization was Meeting the requirements of (Business Analysis SOP v2.0) 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:

Audit of: Software	Auditor: Mark A.	Audit Criteria: ISO	Auditees:
Requirements	Campbell	9001:2015 Clause	
Management -		8.6	
Software			
Engineering (BA -			
BSS)			
Audit Evidence:			
Communication fron	n client to verify soluti	on works as expected	or a signoff
document. Auditee ex	xpressed that in proje	ct type engagements t	the BA team works
with the client to ensu	re the solution works	satisfactory . See Sec	ction 5.25 (Page 30).
Evaluation:			
	·	Recommended Soluti	
_		irements of (Business	
		d based on: A. intervie	•
		ed information retained	by the department
[X] Which is listed in t	the evidence column	of the report.	
Effectiveness:			
CONFORMIT	Y REPORTS - SO	OFTWARE REQU	REMENTS
MANAGEME	NT - SOFTWARE	ENGINEERING (	BA - BSS)
Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:
Requirements	Campbell	Business Analysis	
Management -	'	SOP Ver 2.0	
Software			
Engineering (BA -			
BSS)			
Audit Evidence:			
Revision History sed	ction of the BA SOP s	een and changes to th	ne document
Revision History secondserved.	ction of the BA SOP s	een and changes to th	ne document
1	ction of the BA SOP s	een and changes to th	ne document
observed.	ction of the BA SOP s	een and changes to th	ne document
observed. Evaluation:		een and changes to the	
observed.  Evaluation:  Based on the evaluation	ation of process step:	Business Analysis SC	P v2.0 It was
observed.  Evaluation:  Based on the evaluate determined that the o	ation of process step:	Business Analysis SC	P v2.0 It was of (Business Analysis
observed.  Evaluation:  Based on the evaluation of the evaluation	ation of process step: rganization was Meet elevant ISO 90001 -2	Business Analysis SC ting the requirements of	OP v2.0 It was of (Business Analysis n: A. interview with
observed.  Evaluation:  Based on the evaluation of the evaluation	ation of process step: organization was Meet elevant ISO 90001 -2 (] and officers [] B. do	Business Analysis SC ting the requirements of 015 standard based of ocumented information	OP v2.0 It was of (Business Analysis n: A. interview with n retained by the
observed. Evaluation:  Based on the evaluation of the evaluation o	ation of process step: organization was Meet elevant ISO 90001 -2 (] and officers [] B. do	Business Analysis SC ting the requirements of	OP v2.0 It was of (Business Analysis n: A. interview with n retained by the

#### CONFORMITY REPORTS – SOFTWARE REQUIREMENTS MANAGEMENT - SOFTWARE ENGINEERING (BA - BSS)

Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:
Requirements	Campbell	Business Analysis	
Management -		SOP Ver 2.0	
Software			
Engineering (BA -			
BSS)			

Audit Evidence:

1. Proof of email reply to peer-review (not yet seen) 2. Peer review document (not yet see) 3. Business Analysis SOP Ver 2.0 seen

Evaluation:

Based on the evaluation of process step: Business Analysis SOP v2.0 It was determined that the organization was Meeting the requirements of (Business Analysis SOP v2.0) 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:

OPPORTUNITY REPORT					
Incident Identification Number: 000000.00001					
Opportunity Report #: 1	Auditor (s): Mark A.	Date: June 22, 2022			
	Campbell				
Audit of : Software	Audit Criteria: ISO				
Requirements	9001:2015 Clause				
Management - Software	10.2-Conformity and				
Engineering (BA - BSS)	Corrective Action				

Statement of Opportunity:

Based on the evaluation of process step: Control of Non-conformity It was determined that the organization was not Meeting the requirements of (ISO 9001:2015 Clauses 8.7 & 10.2) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the department [N/A] Which is listed in the evidence column of the report.

Responsible Party: Kay-Maureen Shim

Auditor Signature:		Signature:		
	OPPORTUN	IITY RFPO	RT	
		III I IXEI O		
li	ncident Identification	Number: 000	000.000	)2
Opportunity Report #	t: 2 Auditor (s): Mar Campbell	k A.	Date: J	une 22, 2022
Audit of : Software	Audit Criteria: IS			
Requirements	9001:2015 - Cau	se 7.2		
Management - Softwa	· ·			
Engineering (BA - BS	•			
Statement of Opport	unity:			
organization was Mee relevant ISO 90001 -2 [X] and officers [] B. dis listed in the evidence Responsible Party: k	2015 standard based documented informati se column of the repo	of (ISO 900 <sup>o</sup> on: A. intervie on retained b	1:2015 C w with r	lause 7.2 ) And the equisite managers
IMPLEMENTA	TY REPORTS – S			
Audit of: Software	Auditor: Mark A.	Audit Criteri	a: DEV-	Auditees:
Application	Campbell	STD-02-01v0	1 Unit	
Implementation -		Testing Stand	dards	
Software				
Engineering (AE - BSS)				
Audit Evidence:				
merge requests seer	<b>1</b>			

Based on the evaluation of process step: Verification It was determined that the organization was Meeting the requirements of ('DEV-STD-02-01v01 Unit Testing Standards) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [X] and officers [] B. documented information retained by the

Evaluation:

department [X] Which	n is listed in the evide	nce column of the repo	ort.
Effectiveness:			
CONFORM	ITY REPORTS -	SOFTWARE APPL	ICATION
		RE ENGINEERING	
Audit of: Software Application Implementation -	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
Software Engineering (AE -			
BSS)			
Audit Evidence:			
sample of signed Jo	b Description seen		
Evaluation:			
Based on the evalua	ation of process step:	Head of Department I	t was determined
	•	uirements of ('ISO 900	
1		andard based on: A. in	
,	ricers [ ] B. documente the evidence column	ed information retained of the report	I by the department
Effectiveness:	the evidence column	or the report.	
CONFORM	ITY REPORTS -	SOFTWARE APPL	LICATION
IMPLEMENTA	TION - SOFTWAI	RE ENGINEERING	G (AE - BSS)
Audit of: Software	Auditor: Mark A.	Audit Criteria: DEV- STD-02-01v01 Unit	Auditees:

Audit of: Software	Auditor: Mark A.	Audit Criteria: DEV-	Auditees:
Application	Campbell	STD-02-01v01 Unit	
Implementation -		Testing Standards	
Software			
Engineering (AE -			
BSS)			

Audit Evidence:

DEV-STD-02-01v01 Unit Testing Standards seen

Evaluation:

Based on the evaluation of process step: Unit Testing It was determined that the organization was Meeting the requirements of (' Unit Testing Standards) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers

F -	column of the report.	,	partment [X] which is
Effectiveness:			
CONFORM	ITV DEDODTO (		ICATIONI
		SOFTWARE APPL	
		RE ENGINEERING	
Audit of: Software	Auditor: Mark A.	Audit Criteria: ISO	Auditees:
Application	Campbell	9001:2015 Clause	
Implementation - Software		8.5.1(c)	
Engineering (AE -			
BSS)			
Audit Evidence:			
100011 = 110011001			
Email from client ve	rifying post-implemen	tation checks were sa	tisfactory
Evaluation:			-
		Implemented software	• •
	_	ting the requirements of	•
		dures) And the relevar	
	•	site managers [X] and	
	· ·	epartment [X] Which is	listed in the
evidence column of the	ne report.		
Effectiveness:			
CONEODM	ITV DEDODTO	SOFTWARE APPL	ICATION
	_	RE ENGINEERING	·
Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:
Application	Campbell	Programming Unit	
Implementation -		Standard Operating	
Software		Procedure	
Engineering (AE - BSS)			
Audit Evidence:			
Addit Eviderice.			

Based on the evaluation of process step: Programming Unit SOP It was determined

SOP seen

that the organization was	s Meeting the requ	irements of ('	Progran	nming Unit SOP) And
the relevant ISO 90001 -	2015 standard bas	sed on: A. inte	erview w	ith requisite
managers [X] and officer				
[X] Which is listed in the	evidence column	of the report.		•
Effectiveness:		•		
	NONCONFOR	MITY REP	ORT	
	dent Identification			
Non-Conformity Report	` '	k A.	Date: J	une 22, 2022
#: 1	Campbell			
Audit of : Software	Audit Criteria: C	,		
Application	Assurance Unit S	SOP v1		
Implementation -				
Software Engineering				
(AE - BSS)				
Statement of Nonconfo	rmity:			
Deced on the evelvation		Taatiaa Ita		:
Based on the evaluatio	•	•		
organization was Meetin	•	•		
Standards) And the relev				
requisite managers [X] a				= = = = = = = = = = = = = = = = = = = =
department [X] Which is	listed in the evider	ice column of	tne repo	ort.
Poeponeible Porty: She	rnotto Barbam			
Responsible Party: She Auditor Signature:	melle Damam	Signature:		
Additor Signature.		Signature.		
	-DODTO 00F	TWADE D	-	DMENT AND
CONFORMITY RE			_	
	N - SOFTWARE	ENGINEE	RING (	(AE- BSS)
Audit of: Software A	uditor: Mark A.	Audit Criteri		Auditees:
Development and Ca	mpbell	9001:2015 C	lause	
Integration -		7.1.1 - Gener	al	
Software				
Engineering (AE-				
BSS)				
Audit Evidence:				
AE Request for Resour	ce Form			
Evaluation:				

that the organization to the the color that the organization to the relevent to the color that t	was Meeting the requivant ISO 90001 -2015 (and officers [] B. do	Request for AE Staff I lirements of ('ISO 900' s standard based on: A ocumented information nce column of the repo	1:2015 Clause 7.1.1 A. interview with n retained by the
Effectiveness:			
		TWARE DEVELO ENGINEERING (	
Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.3.4 Design and development controls	Auditees:
the Github repository.	. A request would be	is a function a pushes made by a developer a st which serves the fu	and a Senior
organization was Meerelevant ISO 90001 -2	eting the requirements 2015 standard based documented informati	Coding It was determines of ('Coding Standard on: A. interview with refer to retained by the de	ls v1.1) And the equisite managers
Effectiveness:	,		
		TWARE DEVELO E ENGINEERING (	
Audit of: Software	Auditor: Mark A. Campbell	Audit Criteria: Application Architecture and Design Unit Standard Operating Procedures	Auditees:

/ tuan _ trashoon
Auditee reported that there are several internal and International standards used by
the Department. SOP for each department (QA, Programmers, UX, Appl. Architecture
and Design). Internal standards (Coding, Versioning, Unit Testing). International

Evaluation:

standards

Audit Evidence:

Based on the evaluation of process step: Governance It was determined that the organization was Meeting the requirements of ('Application Architecture and Design Unit Standard Operating Procedures) 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 – SOFTWARE DEVELOPMENT AND INTEGRATION - SOFTWARE ENGINEERING (AE- BSS)

		`	
Audit of: Software	Auditor: Mark A.	Audit Criteria: ISO	Auditees:
Development and	Campbell	9001 2015 clause	
Integration -		7.2 & 7.3	
Software			
Engineering (AE-			
BSS)			

#### Audit Evidence:

Various SOP seen (Main AE SOP, QM, UI-UX, Unit Test, Coding) Auditee expressed that staff are made aware of roles and responsibilities through the staff orientation sessions, job description that they are given, their work plans and the various standard operating procedures.

#### Evaluation:

Based on the evaluation of process step: Head of Department It was determined that the organization was Meeting the requirements of ('ISO 9001:2015 Clause 7.3 & 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 the evidence column of the report.

Effectiveness:

#### CONFORMITY REPORTS – SOFTWARE DEVELOPMENT AND INTEGRATION - SOFTWARE ENGINEERING (AE- BSS)

INTEGRATI	ON - SOFTWARE	LINGHALLINHO	/ (L DOO)		
Audit of: Software	Auditor: Mark A.	Audit Criteria: ISO	Auditees:		
Development and	Campbell	9001 2015 clause			
Integration -	·	7.2 & 7.3			
Software					
Engineering (AE-					
BSS)					
Audit Evidence:					
Addit Evidence.					
Training register as	on training course out	lina agan			
	en training course outl	iiile Seeli			
Evaluation:					
	·	Head of Department I			
_		irements of ('ISO 900			
1 -		ndard based on: A. in			
managers [X] and off	icers [] B. documente	d information retained	by the department		
[X] Which is listed in t	the evidence column o	of the report.			
Effectiveness:					
		TWARE DEVELO			
Audit of: Software	Auditor: Mark A.	Audit Criteria:	Auditees:		
Development and	Campbell	Source Code			
Integration -		Version Control			
Software		Standard 01v02			
Engineering (AE-		Otandara 01V02			
BSS)					
Audit Evidence:					
AE 04-1 00 0400 0-	OIV	) t   Ot			
	AE-Std-03-01v02 Source Code Version Control Standard seen				
Evaluation:					
	·	Testing It was determ			
organization was Med	eting the requirements	s of ('Source Code Ve	rsion Control		
organization was Med	eting the requirements	•	rsion Control		
organization was Mee Standard 01v02) And	eting the requirements I the relevant ISO 900	s of ('Source Code Ve	rsion Control sed on: A. interview		
organization was Mee Standard 01v02) And with requisite manage	eting the requirements I the relevant ISO 900 ers [X] and officers []	s of ('Source Code Ve 01 -2015 standard ba	rsion Control sed on: A. interview nation retained by the		
organization was Mee Standard 01v02) And with requisite manage	eting the requirements I the relevant ISO 900 ers [X] and officers []	s of ('Source Code Ve 01 -2015 standard ba B. documented inform	rsion Control sed on: A. interview nation retained by the		
organization was Mee Standard 01v02) And with requisite manage department [X] Which	eting the requirements I the relevant ISO 900 ers [X] and officers []	s of ('Source Code Ve 01 -2015 standard ba B. documented inform	rsion Control sed on: A. interview nation retained by the		

#### CONFORMITY REPORTS – SOFTWARE DEVELOPMENT AND INTEGRATION - SOFTWARE ENGINEERING (AE- BSS)

INTECION	ON OOI IWAIL	LINOHALL	111110	AL- 000)
Audit of: Software	Auditor: Mark A.	Audit Criteri	a: User	Auditees:
Development and	Campbell	Interface / Us	ser	
Integration -		Experience L	Jnit SOP	
Software		'		
Engineering (AE-				
BSS)				
Audit Evidence:				
unit has a copy of pr	ocedures			
Evaluation:				
Based on the evalua	ation of process step:	User Interfac	e / User	Experience Unit
Standard Operating F	Procedures It was det	ermined that t	he orgar	nization was Meeting
the requirements of (I			_	
relevant ISO 90001 -2		•		,
[X] and officers [ ] B.				
listed in the evidence			,	
Effectiveness:				
	NONCONFOR	MITY REP	ORT	
	MONOOM OF			
	ncident Identification	Number: 000	000 000 <u>0</u>	)6
Non-Conformity Rep				une 22, 2022
#: 1	Campbell	κ / ι.	Date. 0	ario LL, LULL
Audit of : Software	Audit Criteria: IS	SO 9001		
Development and	2015 Clause 6.3			
Integration - Software		i lailing loi		
•	•			
Engineering (AE- BS)	, ·			
Statement of Nonco	mormity.			
Dood on the evalue	otion of propose stop.	December As		t It was determined
	ation of process step:		•	
that the organization		-		
6.3) And the relevant				_
managers [X] and offi			retained	I by the department
[X] Which is listed in t	he evidence column	of the report.		
Responsible Party: \$	Shernette Barham			
Auditor Signature:		Signature:		

CONFORMITY REPORTS – AGILE TRAINING - AGILE CENTER OF EXCELENCE (ACOE - EXEC MGMT.)

Audit of: Agile	Auditor: Latrecia	Audit Criteria: ISO	Auditees:		
Training - Agile	Fletcher	9001:2015 Clause			
Center of Excelence		7.5.3- Control and			
(ACOE - Exec		Documented			
Mgmt.)		Information			
Audit Evidence:					
PowerPoint Present	ation				
Evaluation:					
Training material are	e revised periodically	to ensure that they are	e up-to-date with best		
practices.					
Effectiveness:					

## CONFORMITY REPORTS – AGILE TRAINING - AGILE CENTER OF EXCELENCE (ACOE - EXEC MGMT.)

Audit of: Agile	Auditor: Latrecia	Audit Criteria: Agile	Auditees:
Training - Agile	Fletcher	Metric	
Center of Excelence			
(ACOE - Exec			
Mgmt.)			
Audit Evidence:			
Agile Metric			
Evaluation:			
Trainings are condu	cted with the project t	eam at the beginning	of each project,
when there is a new i	manager and, other A	gile staff.	
Effectiveness:			

#### CONFORMITY REPORTS – AGILE TRAINING - AGILE CENTER OF EXCELENCE (ACOE - EXEC MGMT.)

	<b>'</b>	/	
Audit of: Agile	Auditor: Latrecia	Audit Criteria: Agile	Auditees:
Training - Agile	Fletcher	Guide	

Center of Excelence			
(ACOE - Exec			
Mgmt.)			
Audit Evidence:			
PowerPoint Present	ation		
Evaluation:			
1	'	es are used in the pre	
1		Book of Knowledge - I	Industry Best
Practice - Agile Manif	esto,		
Effectiveness:			
CONFORMITY RE	EDORTS _ ACII E	TRAINING - ACII	E CENTER OF
			_
	· · · · · · · · · · · · · · · · · · ·	<u>E - EXEC MGMT.)</u>	
Audit of: Agile	Auditor: Latrecia	Audit Criteria: ISO	Auditees:
] 3 3	Fletcher	9001:2015 Clause	
Center of Excelence		7.5 - Documented	
(ACOE - Exec		Information	
Mgmt.)			
Audit Evidence:			
   Agile Standards Gui	de, Industry Best Pra	ctice - Agile Manifesto	, Scrum Book of
Knowledge and Scrui	m Guide Internal Tem	plates	
Evaluation:		•	
The following are po	licies and procedures	s which guide the oper	ations at the Agile
Centre of Excellence	- Agile Standards Gu	ide - developed using	industry best
practices and Industr	y Best Practices - Agi	le Manifesto, Scrum G	Guide, ScrumBOK
r '	•	ting Procedure, howev	
Γ,	•	uide the different proc	
ACOE.	boon dovoloped to g	and the amerent press	occo war are
Effectiveness:			

# CONFORMITY REPORTS – AGILE TRAINING - AGILE CENTER OF EXCELENCE (ACOE - EXEC MGMT.)

Audit of: Agile	Auditor: Latrecia	Audit Criteria: ISO	Auditees:	
Training - Agile	Fletcher	9001:2015 Clause		
Center of Excelence		7.5 - Documented		

(ACOE - Exec		Information			
Mgmt.)					
Audit Evidence:					
Course Outline Pow	erPoint Presentation				
Evaluation:					
The following docum	nents are made availa	able for each training s	session: - Copy of		
Course Outline - Copy of PowerPoint Presentation - Registers					
Effectiveness:					

CONFORMITY REPORTS – AGILE TRAINING - AGILE CENTER OF EXCELENCE (ACOE - EXEC MGMT.)

Audit of: Agile	Auditor: Latrecia	Audit Criteria: ISO	Auditees:
Training - Agile	Fletcher	9001:2015 Clause	
Center of Excelence		10.1 - Improvement	
(ACOE - Exec		(General)	
Mgmt.)			

Audit Evidence:

Checklist Recommendations Appraisal

Evaluation:

Some controls implemented to ensure process improvement are: - Follow-ups - Appraisal at the end of sprint - Recommendations - Use of checklist with departments and software teams

Effectiveness:

NONCONFORMITY REPORT						
Incident Identification Number: 000000.00007						
Non-Conformity Report	Auditor (s): Latrecia Fletcher	Date: June 22, 2022				
#: 1						
Audit of : Agile Training	Audit Criteria: ISO					
- Agile Center of	9001:2015 Clause 7.1.1 (a) -					
Excelence (ACOE - Exec	Resources					
Mgmt.)						

Statement of Nonconformity:

The Agile Department is not recognized on the current organizational chart. They

Agile Coaches to adequat	•	•		. ,		
Coaches assigned.						
Responsible Party: Cass	sandra Duricka					
Auditor Signature:		Signature:				
OPPORTUNITY REPORT						
	OI I OILION		1 1			
Incident Identification Number: 000000.00001						
Opportunity Report #: 1						
Audit of : Agile Training	Audit Criteria: IS	80				
1 9	9001:2015 Claus	e 7.2 -				
Excelence (ACOE - Exec	Competence					
Mgmt.)						
Statement of Opportunity	<b>/</b> :					
The Team has the required competencies according to the Job Description.						
Individuals participate in training via Udemy, but live training would allow for hands on						
learning and networking. Not all coaches are Certified Agile Coach.						
			•			
Responsible Party: Cass	andra Duricka					
Auditor Signature:		Signature:				
CONFORMITY REP		TECIC DI	A NINIINIA	C DDOCESS		
DEVELOPMENT C		A I PLAIN( I Audit Criteri				
1	ditor: Rodrick	9001:2015 C		Auditees:		
Planning Process - Ingra Development of org.		9001.2013 C 4.1a	iause			
Strat Plan( Planning		η. ια				
- FPEP)						
Audit Evidence:		ı		<u> </u>		
Use of the scan tool PESTEL, SWAT and stakeholder analysis						

Based on the evaluation of process step: Context of the organization It was

determined that the organization was Meeting the requirements of the relevant ISO

Evaluation:

[ X ] B. documented i	· · · · · · · · · · · · · · · · · · ·	y the department [] W	•
evidence column of the Effectiveness:	ne report.		
2.1.00.1.01.000.			
CONFORMITY F	PEPORTS - STRA	ATEGIC PLANNIN	G PROCESS -
		AT PLAN( PLANN	
Audit of: Strategic	Auditor: Rodrick	Audit Criteria: N/A	Auditees:
Planning Process -	Ingram		
Development of org.			
Strat Plan( Planning			
- FPEP)			
Audit Evidence:			
Risk management n	natrix every 5yrs, mor	nitoring and evaluation	plan
Evaluation:			
Rased on the evalue	ation of process step:	Context of the organiz	zation It was
	· · · · · · · · · · · · · · · · · · ·	ting the requirements	
1	_	iew with requisite man	
		y the department [X]	
evidence column of the			
Effectiveness:			
CONFORMITY F	REPORTS – STRA	ATEGIC PLANNIN	G PROCESS -
DEVELOPMEN	NT OF ORG. STR	AT PLAN( PLANN	ING - FPEP)
Audit of: Strategic	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
Planning Process -	Ingram	9001:2015 Clause	
Development of org.		7.4 Communication	
Strat Plan( Planning			
- FPEP)			
Audit Evidence:			
Operational plan an	d annual reports.		
Evaluation:			
1		Communication It was	
		ne requirements of the n requisite managers l	
- ZUID Standard hase	ra on: A Interview with	n requisite managers l	LI and officers LX LB

evidence column of the	he report.		
Effectiveness:	·		
		ATEGIC PLANNIN AT PLAN( PLANN	
Audit of: Strategic Planning Process - Development of org. Strat Plan( Planning - FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.4 Communication	Auditees:
Audit Evidence:		•	
Annual Report, Qua	rterly plan, Operation	al plan	
Evaluation:			
Strategic Planning Pr - 2015 standard base documented informat evidence column of the	rocess was meeting the ed on: A. interview with ion retained by the de	Communication It was ne requirements of the h requisite managers [ epartment [X] Which is	relevant ISO 90001
Effectiveness:			
		ATEGIC PLANNIN AT PLAN( PLANN	
Audit of: Strategic	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
1	Ingram	9001:2015 Clause	
Development of org.		9.1.1a	
Strat Plan( Planning			
- FPEP)			
Audit Evidence:			
Monthly Senior Man	agement Report.		

Based on the evaluation of process step: Performance Monitoring It was determined that the Strategic Planning Process was meeting the requirements of the relevant ISO 90001 - 2015 standard based on: A. interview with requisite managers [] and officers [X] B. documented information retained by the department [X] Which is listed in the

**Evaluation:** 

documented information retained by the department [X] Which is listed in the

74 / 90

evidence column of the report.				
Effectiveness:				
CONFORMITY R	REPORTS – STRA	ATEGIC PLANNIN	G PROCESS -	
		AT PLAN( PLANN		
Audit of: Strategic	Auditor: Rodrick	Audit Criteria: ISO	Auditees:	
	Ingram	9001:2015 Clause		
Development of org.		7.2 - Competence		
Strat Plan( Planning		·		
- FPEP)				
Audit Evidence:				
Organization Chart				
Evaluation:				
Based on the evalua	ation of process step:	Human resource It wa	s determined that	
I		ng the requirements of		
		iew with requisite man		
l .		y the department [X ] \		
evidence column of the				
Effectiveness:				
CONFORMITY REI	PORTS - VENDO	R MANAGEMENT	- ENTERPRISE	
	PROCUREME	ENT (FPEP)		
Audit of: Vendor	Auditor: Rodrick	Audit Criteria: ISO	Auditees:	
Management -	Ingram	9001:2015 Clause		
Enterprise		4.1a		
procurement (FPEP)				
Audit Evidence:				
Org structure for the department				
Evaluation:				
Based on the evalua	ation of process step:	Understanding the org	ganization and its	
context It was determ	ined that the organiza	ation was meeting the	requirements of the	
relevant ISO 90001 -	2015 standard based	I on: A. interview with	requisite managers [	
		ion retained by the dep	partment [ X ] Which	
is listed in the eviden	ce column of the repo	ort.		
Effectiveness:	Effectiveness:			

### CONFORMITY REPORTS – VENDOR MANAGEMENT - ENTERPRISE PROCUREMENT (FPEP)

		,	
Audit of: Vendor	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
Management -	Ingram	9001:2015 Clause	
Enterprise		4.2a	
procurement (FPEP)			
Audit Evidence:			
Reistration of vendo	r with the PPC and al	so tax compliance.	
Evaluation:			
Based on the evalua	ation of process step:	Understanding the ne	eds and expectations
of interested parties I	t was determined that	the Vendor Managen	nent Process was
meeting the requirem	ents of the relevant IS	SO 90001 - 2015 stand	dard based on: A.
interview with requisit	te managers [ X ] and	officers [] B. docume	nted information
retained by the depar	tment [] Which is liste	ed in the evidence col	umn of the report.
Effectiveness:			

# CONFORMITY REPORTS – VENDOR MANAGEMENT - ENTERPRISE PROCUREMENT (FPEP)

Audit of: Vendor	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
Management -	Ingram	9001:2015 Clause	
Enterprise		7.5	
procurement (FPEP)			
Audit Evidence:			
Bidders conference			
Evaluation:			
Based on the evalua	ation of process step:	Communication and a	awareness It was
determined that the V	endor Management	process was meeting t	he requirements of
the relevant ISO 9000	01 - 2015 standard ba	ased on: A. interview v	vith requisite
managers [ X ] and of	fficers [] B. documen	ited information retaine	ed by the department
[] Which is listed in the	<u>ne evidence column c</u>	of the report.	
Effectiveness:			

## CONFORMITY REPORTS – VENDOR MANAGEMENT - ENTERPRISE PROCUREMENT (FPEP)

Audit of: Vendor	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
Management -	Ingram	9001:2015 Clause	
Enterprise		7.2 - Competency	
procurement (FPEP)			
Audit Evidence:			
Organization Chart			
Evaluation:			
the Vendor Managem 90001 - 2015 standar	nent Process was mee d based on: A. intervi nted information retai	Human resource It was eting the requirements sew with requisite man ned by the departmen	of the relevant ISO agers [ X ] and

## CONFORMITY REPORTS – VENDOR MANAGEMENT - ENTERPRISE PROCUREMENT (FPEP)

Audit of: Vendor	Auditor: Rodrick	Audit Criteria: ISO	Auditees:	
Management -	Ingram	9001:2015 Clause		
Enterprise		8.2		
procurement (FPEP)				
Audit Evidence:				
Vendor Risk Assess	ment Procedure 1.0.	pdf		
Evaluation:				
Based on the evalua	ation of process step:	Vendor Management	It was determined	
that the Vendor Mana	agement process was	meeting the requirem	ents of HRM	
Procedure Manual Ar	nd the relevant ISO 9	0001 - 2015 standard	based on: A.	
Interview with requisite managers [ X ] and officers [ ] B. documented information				
retained by the depar	tment [ X ] Which is I	isted in the evidence c	olumn of the report.	
Effectiveness:				

#### CONFORMITY REPORTS – INTERNAL AUDIT -EXEC MGMT (IAD)

Audit of: Internal	Auditor: Anderson	Audit Criteria: ISO	Auditees:

Audit -Exec Mgmt (IAD)	Andrea	9001:2015 Clause 9.2.2 INTERNAL AUDIT	
Audit Evidence:			
Audit Schedule see	n 06/28/2022		
Evaluation:			
Copy of Audit Scher	dule was received and	t viewed	
Effectiveness:	date was reserved and	<u>. 1101104.</u>	
CONFORMITY R	EPORTS – INTER	RNAL AUDIT -EXE	C MGMT (IAD)
Audit of: Internal	Auditor: Anderson	Audit Criteria: ISO	Auditees:
Audit -Exec Mgmt	Andrea	9001:2015 Clause	
(IAD)		10.2-Conformity and Corrective Action	
Audit Evidence:		Corrective reacti	
00/00/0000			
06/28/2022 Seen Evaluation:			
Evaluation.			
	f a Questionnaire give	en to the Auditee for fe	edback based on
Audit interview.  Effectiveness:			
Lifectiveness.			
CONFORMITY R	EPORTS - INTER	RNAL AUDIT -EXE	C MGMT (IAD)
Audit of: Internal	Auditor: Anderson	Audit Criteria: N/A	Auditees:
Audit -Exec Mgmt	Andrea		
(IAD)			
Audit Evidence:			
06/28/2022 Questio	n answered in parts a	nd explanations of the	various resources
given.			
Evaluation:			
As part of the Depar	rtment KPI's all Audit	staff are in the posses	sion and have
working knowledge o		work of the Departme	
Effectiveness:			

CONFORMITY REPORTS – INTERNAL AUDIT -EXEC MGMT (IAD) Auditor: Anderson Audit Criteria: ISO Auditees: Audit of: Internal Audit -Exec Mamt Andrea 9001:2015 Clause (IAD) 9.2.1 Audit Evidence: 06/28/22 Evaluation: Risk Rating: This is to assess and manage risks both internally and externally for improvement/adjustment going forward. Effectiveness: CONFORMITY REPORTS – INTERNAL AUDIT -EXEC MGMT (IAD) Audit Criteria: ISO Audit of: Internal Auditor: Anderson Auditees: Audit -Exec Mgmt Andrea 9001:2015 Clause (IAD) 9.2.2 INTERNAL AUDIT Audit Evidence: 06/28/2022 seen Evaluation: Report received and viewed. Effectiveness: CONFORMITY REPORTS – CLIENT RELATIONSHIP MANAGEMENT -(CRM PRMD) Auditor: Melville Audit Criteria: BPD Audit of: Client Auditees: Relationship McIntosh Processess Management - (CRM Documentation PRMD) Audit Evidence: Copy of proposal, business cases & Department Work-plans Evaluation:

Effectiveness:			
		DEL ATIONOLUD	
CONFORMITY REI			WANAGEWENI -
	(CRM P	<del> </del>	
Audit of: Client	Auditor: Melville	Audit Criteria: BPD	Auditees:
Relationship	McIntosh	Processess	
Management - (CRM		Documentation	
PRMD) Audit Evidence:			
Addit Evidence.			
Copy of Contracts.	Status in pipeline & cli	ient Listing showing as	ssociated managers
Evaluation:		ioni zionig onomig ad	occiated managere
Effectiveness:			
CONFORMITY REI	PORTS – CLIENT	RELATIONSHIP I	MANAGEMENT -
	(CRM P	RMD)	
Audit of: Client	Auditor: Melville	Audit Criteria: BPD	Auditees:
Relationship		Processess	
Management - (CRM		Documentation	
PRMD)			
Audit Evidence:			
Comitos cotologue o	nd Customor oursey	rooulto	
	nd Customer survey r	results	
Service catalogue a Evaluation:	nd Customer survey r	esults	
	nd Customer survey r	esults	
Evaluation:	nd Customer survey r	results	
	nd Customer survey r	results	
Evaluation:	nd Customer survey r	results	
Evaluation:	nd Customer survey r	results	
Evaluation:	nd Customer survey r	results	
Evaluation:	•		ΓING SERVICES
Evaluation:  Effectiveness:	•	ADMIN SUPPORT	ΓING SERVICES

Admin Supporting	Ingram	9001:2015 Clause		
Services (HRM&A)		8.1		
Audit Evidence:				
Job description & approved post number from MoFPs. Permission to operate post from MoFPs. Approved organizational structure. Extract HRM Procedure Manual - Recruitment.docx				
Evaluation:				
Enterprise Procuremon Procurement Act And with requisite manago	ent Process was Mee I the relevant ISO 900 ers [] and officers [X	Recruitment It was desting the requirements of the control of the	of the Public sed on: A. interview mation retained by	

## CONFORMITY REPORTS – HRM & ADMIN SUPPORTING SERVICES (HRM&A)

Audit of: HRM &	Auditor: Rodrick	Audit Criteria: ISO	Auditees:		
Admin Supporting	Ingram	9001:2015 Clause			
Services (HRM&A)		9.1.1a			
Audit Evidence:					
Divisional, Departme	ental and Individual v	vorkplan HRM procedu	ıre manual		
Evaluation:					
Based on the evalua	ation of process step:	Monitoring, measuren	nent, analysis and		
evaluation It was dete	ermined that the HRN	1 & Admin Supporting	Services process		
was meeting the requ	uirements of HRM Pro	ocedure Manual And th	ne relevant ISO		
90001 -2015 standar	d based on: A. intervi	ew with requisite mana	agers [] and officers		
[X ] B. documented information retained by the department [X ] Which is listed in the					
evidence column of the report.					
Effectiveness:					

# CONFORMITY REPORTS – HRM & ADMIN SUPPORTING SERVICES (HRM&A)

Audit of: HRM &	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
Admin Supporting	Ingram	9001:2015 Clause	
Services (HRM&A)		7.4 Communication	

Audit Evidence:					
Staff meetings and o	direct engagement.				
Evaluation:					
Paged on the avalue	ation of process stop:(	Communication It was	determined that the		
<b>I</b>	ation of process step:0 orting Services proces				
	2015 standard based		-		
<b>I</b>	locumented information				
listed in the evidence		on rotalilou by the dop			
Effectiveness:					
CONFORMITY REI	PORTS – HRM &	ADMIN SUPPOR	TING SERVICES		
COIN CINITI INC.	(HRM		THIC CERTICES		
Audit of: HRM &	Auditor: Rodrick	Audit Criteria: N/A	Auditees:		
	Ingram	Addit Official N/A	Additees.		
Services (HRM&A)	Ingram				
Audit Evidence:					
/ dait Evidence.					
Six months and ann	ual performance appr	aisal (PMS).			
Evaluation:	aar porrormanoo appr	a.ca. (1 111 <b>c</b> ).			
Based on the evalua	ation of process step:	Understanding the ne	eds and expectations		
of interested parties I	t was determined that	the HRM & Admin Su	pporting Services		
process was meeting	the requirements of the	he relevant ISO 9000	1 - 2015 standard		
based on: A. interview	พ with requisite mana(	gers [] and officers [X	] B. documented		
l l	by the department [X]				
the report.					
Effectiveness:					
<b>CONFORMITY REI</b>	PORTS – HRM &	ADMIN SUPPOR	TING SERVICES		
(HRM&A)					
Audit of: HRM &	Auditor: Rodrick	Audit Criteria: N/A	Auditees:		
	Ingram	, todit Official 14/71	, idditoos.		
Services (HRM&A)	914111				
Audit Evidence:	l	<u> </u>	<u> </u>		
, tagit Evidorioo.					

Each position has a defined job description and there is also a defined recruitment

process

Evaluation:
Based on the evaluation of process step: Determine Organizational Resources It was determined that the HRM & Admin Supporting Services process was meeting the requirements of HRM Procedure Manual (Recruitment) And the relevant ISO 90001 - 2015 standard based on: A. interview with requisite managers [] and officers [X] B. documented information retained by the department [X] Which is listed in the evidence column of the report.
Effectiveness:

## CONFORMITY REPORTS – HRM & ADMIN SUPPORTING SERVICES (HRM&A)

Audit of: HRM &	Auditor: Rodrick	Audit Criteria: ISO	Auditees:		
Admin Supporting	Ingram	9001 2015 clause			
Services (HRM&A)		7.1.1a			
Audit Evidence:					
MOF approved orga	nization structure (pe	ermanent and tempora	ry positions).		
Evaluation:					
Based on the evalua	ation of process step:	: Staffing It was determ	nined that the HRM &		
Admin Supporting Se	rvices process was r	meeting the requiremen	nts of the relevant		
ISO 90001 - 2015 sta	ndard based on: A. i	nterview with requisite	managers [] and		
officers [X] B. docum	officers [X ] B. documented information retained by the department [X ] Which is listed				
in the evidence column of the report.					
Effectiveness:					

#### CONFORMITY REPORTS – 1 INTERNAL AUDIT -EXEC MGMT (IAD)

Audit of: 1 Internal	Auditor: Alexis	Audit Criteria: ISO	Auditees:
Audit -Exec Mgmt	Gayle	9001:2015 Clause	
(IAD)		8.1.1(a)	

Audit Evidence:

Strategic Business Plan 2022-2026

Evaluation:

I have received and reviewed the Strategic business plan 2022-2026 and deemed it to comply with the requirement of ISO 9001:2015 Clause 8.1.1(a) which states The organization shall plan, implement and control the processes (see 4.4) needed to

meet the requirement	ts for the provision of	products and services			
Effectiveness:					
CONFORMITY RE	1		, ,		
Audit of: 1 Internal	Auditor: Alexis	Audit Criteria: ISO	Auditees:		
Audit -Exec Mgmt	'	9001 2015 Clause			
(IAD)		6.3 Planning for changes			
Audit Evidence:		3			
_			_		
eGov Jamaica Limit May 4, 2015	ed New Classification	Schedule Structure -	MOFP cover letter -		
Evaluation:					
I have received and	reviewed the eGov Ja	amaica Limited New C	Classification		
1		lay 4, 2015 and deem			
l .	•	ISO 9001:2015 Claus			
· · · · ·	_	2015 Clause 8.2.4 whi	ch speaks to		
	ents for products and	services.			
Effectiveness:					
CONFORMITY RE	•	RNAL AUDIT -EXI	EC MGMT (IAD)		
Audit of: 1 Internal		Audit Criteria: N/A	Auditees:		
1	Gayle				
(IAD) Audit Evidence:					
/ tagit Evidence.					
Company Overview	of eGov Jamaica Ltd	Strategic Business Pl	an 2022-2026		
Evaluation:					
I have received and	ravioused the compan	overview in a Covie	lamaiaa Ltd		
	•	ny overview in eGov's			
Strategic Business Plan 2022-2026 and conclude they are in accordance with the requirement ISO 9001:2015 Clause 5.3 which addresses the organizational role. I					
1 · · · · ·		conclude roles are clea			
accordance with the r	=		any dominod and m		
Effectiveness:					

#### CONFORMITY REPORTS – 1 INTERNAL AUDIT -EXEC MGMT (IAD)

Audit of: 1 Internal	Auditor: Alexis	Audit Criteria: ISO	Auditees:
Audit -Exec Mgmt	Gayle	9001:2015 Clause	
(IAD)		5.1	
Audit Evidonoo:			

Audit Evidence:

eGov Jamaica Limited Annual Report 2019-2020

Evaluation:

I have received and reviewed eGov Jamaica Limited Annual Report 201-2020 according to the requirement ISO 9001:2015 Clause 5.1 which looks at leadership and their commitment. The document supports the leadership commitment required in that the company receives a subvention from the Government as well as they acquire other operating income through services offered which is used to fund customer-centric quality focus products and services.

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#### CONFORMITY REPORTS – 1 INTERNAL AUDIT -EXEC MGMT (IAD)

Audit of: 1 Internal	Auditor: Alexis	Audit Criteria: ISO	Auditees:
Audit -Exec Mgmt	Gayle	9001:2015 Clause	
(IAD)		9.1.1a	

Audit Evidence:

CEO Monthly Report for Board of Directors (April – May 2022) Third Quarter Performance Report Scorecard – FY 2021/2022

Evaluation:

I have received and reviewed the CEO Monthly Report for Board of Directors (April -May 2022) and Third Quarter Performance Report Scorecard – FY 2021/2022 and conclude conformance according to the requirement of ISO 9001:2015 Clause 9.1.1(a) which states the organization shall determine what needs to be monitored and measured and ISO 9001:2015 Clause 9.1.1(b) which states The organization shall determine the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results.

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#### CONFORMITY REPORTS – 1 INTERNAL AUDIT -EXEC MGMT (IAD)

Audit of: 1 Internal	Auditor: Alexis	Audit Criteria: ISO	Auditees:
Audit -Exec Mgmt	Gayle	9001:2015 Clause	

(IAD)	5.1.2						
Audit Evidence:	Audit Evidence:						
	Experience Steering Committee Terms of F	,					
, ,	perience Strategy 2021 - CX Success and (	•					
	nd Analysis of eGovja External Customer S	•					
	cket Performance - May 18, 2022 - CESCo	mm Kanban					
Evaluation:							
Terms of Reference ( Success and Challen Customer Satisfaction 2022, CESComm Kar Experience strategy to	reviewed eGovJa Customer Experience St 2018), eGovja Customer Experience Strate ge, 2021-2022 Results and Analysis of eGo n Survey, Technical Services Ticket Perform than which ensure the company embarked to achieve a culture of customer centricity. I direments under ISO9001 Clause 5.1.2	egy 2021, CX ovja External nance - May 18, on a Customer					

# CONFORMITY REPORTS – 1 SECURITY ASSESSMENT (SITRM - OSS) Audit of: 1 Security | Auditor: Sophia | Audit Criteria: ISO | Auditees:

Assessment (SITRM	Taylor	9001:2015 Clause	
- OSS)		6.1.1(a)	
Audit Evidence:			
The vulnerability trad	cking sheet 2019		
Evaluation:			
fact track vulnerabilition (a) which states that Norganization shall cor	es according to the re When planning for the nsider the issues and ed to be addressed to	heet 2019 I can conclued the control of the control	01:2015 clause 6.1.1 system, the ermine the risks and
Effectiveness:			

# CONFORMITY REPORTS – 1 SECURITY ASSESSMENT (SITRM - OSS)

Audit of: 1 Security   Auditor: Sophia	Audit Criteria: ISO	Auditees:
--	---------------------	-----------

Assessment (SITRM)	I aylor	9001:2015 Clause	
- OSS)		5.3	
Audit Evidence:			
Job descriptions for	all roles provided		
Evaluation:			
entry into the organization	ation according to the management shall e	riptions which is given e requirements of ISOS nsure that the respons communicated and ur	9001:2015 clause 5.3 sibilities and

# CONFORMITY REPORTS – 1 SECURITY ASSESSMENT (SITRM - OSS)

Audit of: 1 Security	Auditor: Sophia	Audit Criteria: ISO	Auditees:		
Assessment (SITRM	Taylor	9001:2015 Clause			
- OSS)		6.1.1(a)			
Audit Evidence:					
Risk Assessment Do	ocument 2021				
Evaluation:					
Based on the finding	gs from the Risk Ass	sessment Document 20	21 I can conclude		
that they do in fact tra	ack risks according t	to the requirements of IS	SO9001:2015 clause		
6.1.1 (a) which states that When planning for the quality management system, the					
organization shall consider the issues and requirements and determine the risks and					
opportunities that need to be addressed to: • Give assurance that the quality					
management system can achieve its intended result(s).					
Effectiveness:					

# CONFORMITY REPORTS – 1 SECURITY ASSESSMENT (SITRM - OSS)

Audit of: 1 Security	Auditor: Sophia	Audit Criteria: ISO	Auditees:
Assessment (SITRM	Taylor	9001:2015 Clause	
- OSS)	-	6.1.1(a)	
Audit Evidence:			

Risk Assessment Document 2021				
Evaluation:				
Based on the findings from the Risk Assessment Document 2021 I can conclude that they do in fact identify mitigating controls for risks identified within the organization according to the requirements of ISO9001:2015 clause 6.1.1 (a) which states that When planning for the quality management system, the organization shall consider the issues and requirements and determine the risks and opportunities that need to be addressed to: • Give assurance that the quality management system can achieve its intended result(s). • Enhance desirable effects. • Prevent, or reduce, undesired effects.				
Effectiveness:				
	OSS	, ′	<u> </u>	
Audit of: 1 Security Assessment (SITRM - OSS)	<u>-</u>	Audit Criteria: ISO 9001:2015 Clause 6.1.1(d)	Auditees:	
Audit Evidence:  Risk Assessment Document 2021				
Evaluation:				
Based on the findings from the Risk Assessment Document 2021 I see where mitigating controls are captured according to the requirements of ISO9001:2015 clause 6.1.1 (d) which states that The organization shall monitor and review the information about these external and internal issues.  Effectiveness:				
CONFORMITY REPORTS – 1 SECURITY ASSESSMENT (SITRM - OSS)				
Audit of: 1 Security Assessment (SITRM - OSS)	· •	Audit Criteria: ISO 9001:2015 Clause 6.2.1 (f)	Auditees:	
Audit Evidence:				
Operation Support S Evaluation:	Services Monthly Repo	ort December 2021		

Based on the findings from			
I	• •		s are tracked on a monthly
•			f ISO9001:2015 clause 6.2.1
1	organization shall main	tain doc	cumented information on the
quality objectives.			
Effectiveness:			
	NONCONFORMIT	Y REF	PORT
	ent Identification Numb		
Non-Conformity Report #: 1	Auditor (s): Sophia T	aylor 	Date: June 22, 2022
Audit of : 1 Security	Audit Criteria: ISO		
Assessment (SITRM - OSS)	9001:2015 Clause 5.1	.1 (g)	
Statement of Nonconform	nity:		
There is a shortage of hi	uman resources mana	ge vulne	erabilities within the
	•		e unit can find themselves in a
_		-	ests. Based on the clause:
5.1.1 (g) Top managemer			
1 .		•	ing that the resources needed
for the quality manageme	•	•	,
		_	ment system, the changes
shall be carried out in a pl	anned manner. The or	ganizat	ion snail consider: • The
availability of resources.			
Responsible Party: Devo	on Sterling		
Auditor Signature:		nature:	
Tradition Organization	9		
	•		
	NONCONFORMIT	Y REF	PORT
	ent Identification Number	oer: 000	000.00009
Non-Conformity Report	Auditor (s): Melville		Date: June 22, 2022
	McIntosh		
Audit of: 2 Client	Audit Criteria: N/A		
Relationship			
Management - (CRM			
PRMD)			
Statement of Nonconform	nıty:		

	artment. the docu	ment is also	steps used to intake proposals old and hasn't been updated been reviewed.
Responsible Party: Brya	n Mowatt		
Auditor Signature:		Signature:	
	NONCONFOR	MITY REP	ORT
	ent Identification	Number: 000	
Non-Conformity Report	Auditor (s): Mel	/ille	Date: June 22, 2022
#: 2	McIntosh		
Audit of: 2 Client	Audit Criteria: ISO		
Relationship	9001:2015 Claus	e 7.5.3-	
Management - (CRM	Control and Docu	ımented	
PRMD)	Information		
Statement of Nonconford	mity:		
Service request forms and document. Not mentioned Documentation			•
Responsible Party: Brya	n Mowatt		
Auditor Signature:		Signature:	