

May Pen Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – PROCESSING E-SERVICES REGISTRATION ONLINE

Audit of: Processing e-Services Registration Online	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 7.5.3.2	Auditees: Yulanda Henry
<p>Audit Evidence:</p> <p>The Call log is maintained electronically and stored in a Customer Care Centre (CCC) in a Shared folder on the network, accessible only to Customer Care Centre Agents and ICT staff. The Call log for 3 CCC Agents were checked against a report generated from the Avaya telephone system. for periods in May, June & July 2021. It was verified that all calls that came through the system were captured. The report showed the duration of the call, time call came in and whether it was answered or not, it also showed the CCC Agent who took the call Officers</p>			
<p>Evaluation:</p> <p>During the audit of the E-Service Registration Online, the Share Folder on the Network was viewed and the Call log for three Customer Care Agents were checked against an Avaya report for periods in May, June and July 2021. it was established that the process was in conformity with ISO 9001-2015 7.5.3.2 which states 'For the control of documented information, the organization shall address the following activities (a) distribution, access, retrieval and use; (b) storage and preservation, including preservation of legibility; (c) control of changes; (d) retention and disposition.</p>			
<p>Effectiveness:</p>			

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Audit of: Processing e-Services Registration Online	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 7.5.3.2	Auditees: Yulanda Henry
<p>Audit Evidence:</p> <p>The list of Registered Applicants for 2021/2022 was received, and a sample of 10 taxpayers listed as applying for E-Service was verified on RAIS to checked to see if the application form and supporting documents were retained. No application form is stored on RAIS, however the taxpayer would visit www.jamaicatax@gov.jm and create an account with a username and password to register for E-Service, when the taxpayer creates an account he/she has to upload supporting documents for verification process. The following taxpayer were verified as having uploaded</p>			

supporting in the form of a national identification card such as drivers license, passport or voters id: (1) Sydenham Mini Mart; Drivers Licensee; (2) Jodiane Streete, - National Voters ID (3) Garfield Wint - Drivers License;(4) Lennon Searchwell- Drivers License; (5) Christian Sale - Drivers License; (6) Yollande Street

Evaluation:

During the audit of the E-Service Registration Online a sample of 10 taxpayers were selected and posted on RAIS , All ten were verified to have supporting documents affixed and had completed the registration form in RAIS. It was established that the process was in conformity with ISO 9001-2015 7.5.3.2 which states 'For the control of documented information, the organization shall address the following activities (a) distribution, access, retrieval and use; (b) storage and preservation, including preservation of legibility; (d) retention and disposition.

Effectiveness:

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Audit of: Processing e-Services Registration Online	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 7.2 a,b	Auditees: Yulanda Henry
<p>Audit Evidence:</p> <p>The TRN of 5 taxpayers listed on the Registered Applicants for E-service for the month of April 2021 were posted to RAIS and it was ascertained that on RAIS showed evidence of who created the case, who reviewed it and who approved it. The following taxpayers were reviewed (1) Garfield Wint (2) Jennifer Hutchinson (3) John Jackson - (3) Gillian Giwa; Sue Ann Brown - (4) Jillian Lewis; (5) Jason Williams</p>			
<p>Evaluation:</p> <p>During the audit of the E-Service Registration Online the TRN of five Taxpayers were posted to RAIS and evidence for checks was verified for the period April 2021. it was established that the process was in conformity with ISO 9001-2015 7.2 a,b which states ' the organization shall determine the necessary competence of persons doing work under its control that affects the performance and effectiveness of the quality management systems</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PROCESSING E-SERVICES REGISTRATION ONLINE

Audit of: Processing e-Services Registration Online	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 7.5	Auditees: Yulanda Henry
<p>Audit Evidence:</p> <p>The list of Registered Applicants Report is maintained on the Share Folder on the Network, a copy of the report was downloaded for financial year 2021/2022</p>			
<p>Evaluation:</p> <p>During the audit it was established that the process was in conformity with ISO 9001-2015 7.5 Documented Information ; which states 'The organization's quality management system shall include (b) documented information determined by the organization as being necessary for the effectiveness of the quality management system\.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PROCESSING E-SERVICES REGISTRATION ONLINE

Audit of: Processing e-Services Registration Online	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 7.4	Auditees: Yulanda Henry
<p>Audit Evidence:</p> <p>The list of approved applicant was retrieved from the Share Folder for 2021/2022, Five taxpayer TRN from the listing was posted to RAIS and it showed Taxpayer name, TRN, Approval letter , the taxpayers verified were John Jackson, Yollande Street, Paul Dixon, Christian Sales and Jennifer Hutchinson</p>			
<p>Evaluation:</p> <p>During the audit of the E-Service Application Online, it was established that the process was in conformity with ISO 9001-2015 7.4 Requirements for products and services; which states 'Communication with customers shall include providing information relating to goods and services.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PROCESSING E-SERVICES REGISTRATION ONLINE

Audit of: Processing e-Services	Auditor: Carol Gray	Audit Criteria: SOP #28	Auditees: Yulanda Henry
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Registration Online			
<p>Audit Evidence:</p> <p>The list of applicant was retrieved from the Share Folder for 2021/2022, Five taxpayer TRN from the listing was posted to RAIS, however no evidence was seen on RAIS to indicate that a rejection letter was sent to taxpayer. the audit however received evidence of system generated mails sent to taxpayers whose eservices application were rejected. The Units SOP stated that a system generated email would be sent to rejected taxpayers. Five selected were (1) Tawah Catering Services - (2) Next Incorporated (3) Arjun McPherson (4) Evan Andre Powell and a copy of the email sent out was provided by the ICT Unit</p>			
<p>Evaluation:</p> <p>During the audit of the E-Services Application Online, the audit received evidence that system generated rejected email was sent to taxpayers whose eservice application was rejected. This is in conformity with SOP section 28 which states in part that 'Customer will receive an approval or rejection email notification generated by RAIS</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PROCESSING E-SERVICES REGISTRATION ONLINE

Audit of: Processing e-Services Registration Online	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 8.1	Auditees: Yulanda Henry
<p>Audit Evidence:</p> <p>Four E-Customer Service Agents names were selected from the May Pen Staff listing and posted to E-service transactions in RAIS, all 4 were verified as having active logins for the review period. The officers tested were (1) Yulanda Henry - Manager; Claudia Facey; Tanneka Newell and Cliff White</p>			
<p>Evaluation:</p> <p>During the of the E-Service Application Online audit it was established that the process was In Conformity with ISO 9001-2015 8.1 which states 'The organization shall plan, implement and control the processes needed to meet the requirements for the provision of products and services and to implement the actions determined by (c) determine the resources needed to achieve conformity to the products and service requirements .</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PROCESSING E-SERVICES REGISTRATION ONLINE

Audit of: Processing e-Services Registration Online	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 7.1.3 (b)	Auditees: Yulanda Henry
<p>Audit Evidence:</p> <p>The Assistant General Manager reported that the system seldom breaks down but the process is to contact E-Gov who manages the system. Evidence of e-mail correspondence sent to E-Gov from the CCC AGM was presented and verified to show that the Unit did make all attempts to get the system up and running. Follow Up mails were seen sent by the AGM when the problem was not speedily rectified</p>			
<p>Evaluation:</p> <p>During the audit of the E-Services Registration Online , emails were produced which showed the Manager had reported to the relevant stakeholder incidents when the Avaya System went down . It was established that the process was In Conformity with ISO 9001-2015 7.1.3 which dealt with Resources- Infrastructure and stated, 'The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services .</p>			
<p>Effectiveness:</p>			