

# May Pen Tax Office

## ISO 9001:2015 Quality Management System Audit

### Internal Audit Report

## CONFORMITY REPORTS – PROCUREMENT

Audit of: Procurement	Auditor: Everton Bonner	Audit Criteria: SOP (Draft) Procurement 1	Auditees: Stacy Ivey
<p>Audit Evidence:</p> <p>An examination of data base of TAJ requisitions processed for the period April 1, 2021 - July 9, 2021 revealed that seven (7) requisition memorandum dated February 9, 2021, March 29, 2021, April 6, 2021, May 10, 2021, May 13, 2021, June 9, 2021 and June 23, 2021 and one (1) requisition email (invitation to tender) were submitted the May Pen Tax office. All seven requisitions were submitted to the procurement unit via the Chief Administration, Property and Security Officer.</p>			
<p>Evaluation:</p> <p>During the review of the Procurement process for the period April 1, 2021 - July 9, 2021, seven requisition memorandum and a requisition email for the May Pen Tax Office were submitted to the procurement unit via the Chief Administration, Property and Security Officer. This is in conformity with SOP Procurement Step 1 which states that... requisition must be submitted to the Chief, Administration, Property and Security Officer. Documentation also complies with ISO 9001: 2015 8.4.3.a which states... the organization shall communicate to external providers its requirements for... the processes, products and services to be provided</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – PROCUREMENT

Audit of: Procurement	Auditor: Everton Bonner	Audit Criteria: ISO 9001:2015 clause 7.5.3.1(a) (b)	Auditees: Stacy Ivey
<p>Audit Evidence:</p> <p>Following a request for documentation related to seven (7) requisition memorandum dated February 9, 2021, March 29, 2021, April 6, 2021, May 10, 2021, May 13, 2021, June 9, 2021 and June 23, 2021 and a requisition email, the Director of Procurement was observed pulled these document from the cabinet in her office. These along with supporting documentation were also seen stored in shared folder which is feed into Excel document- Purchase Order Registry and Report.</p>			
<p>Evaluation:</p> <p>During the review of the Procurement process for the period April 1, 2021 - July 9, 2021, seven requisition memorandum and a requisition email were requested for</p>			

audit review. These documents were pulled from a filing cabinet in the Procurement Directors office. Electronic copies are also stored in shared folder on a computer system. This satisfies the requirement of ISO 9001: 2015 7.5.3.1 which states... Documented information required by the quality management system and by this International Standard shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

Effectiveness:

## CONFORMITY REPORTS – PROCUREMENT

Audit of: Procurement	Auditor: Everton Bonner	Audit Criteria: Procurement Handbook Vol. 2: 1.3.1 & 1.3.3	Auditees: Stacy Ivey
<p>Audit Evidence:</p> <p>File folder for the procurement of minor works for May Pen Tax Office contained TCC#21012489 Exp. November 28, 2021; NCC#AL-1 83/03-22/13-1 Exp: March 21, 2022 for Alcar Construction. TCC#21011889 Exp. May 20, 2022; NCC#522 Exp. January 8, 2023 for General Painting Ltd. TCC#21001640 Exp. July 21, 2021; NCC#NF-37/07-21/10-1 Exp. July 21, 2021 for N.F. Barnes Construction.</p>			
<p>Evaluation:</p> <p>During the review of the Procurement process for the procurement of minor works for the internal and external painting of the May Pen Tax Office, valid copy of NCC registration and TCC were presented for three (3) bidders that participated in the tender process for the renovation works. This conforms with Procurement Hand Book Volume 2 (1.3.1) which states... Contractors and named sub-contractors participating in Public Sector procurement opportunities shall provide a valid NCC Registration Letter at the time of bid submission and (1.3.3) which states... Contractors and named sub-contractors participating in Public Sector procurement opportunities shall provide proof of being tax-compliant by presenting a valid Tax Compliance Certificate... This also satisfies SOP 13.36.0 which states... Public procurement officer... Ensures that as far as possible, that documents relating to a particular procurement are stored in the same folder for completeness of the procurement process.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – PROCUREMENT

Audit of: Procurement	Auditor: Everton Bonner	Audit Criteria: SOP Procurement (Draft) 12.29.0	Auditees: Stacy Ivey
<p>Audit Evidence:</p> <p>Six of seven purchase orders for goods/services were received for audit examination: 200563111039, 200563111220, 200563111135, 200563111193. 200563111249 and 200563111027. The seventh, RPGS 21-22/0306 for Geddes Refrigeration was not prepared at the time of audit.</p>			
<p>Evaluation:</p> <p>During the review of the Procurement process for the period April 1, 2021 - July 9, 2021, of the seven (7) requisitions examined, six (6) Purchase Orders were presented for audit examination. All six (6) were prepared by and signed by a Procurement Officers. They were then authorized by the Director of Procurement or a Senior Procurement Officer who was delegated this function by the Procurement Director. This is in keeping with Procurement SOP Step 12.29.0 which states that... the Procurement Officer prints the Purchase Order, attach supporting documents and submit to Director of Procurement for signing.</p>			
<p>Effectiveness:</p>			

### CONFORMITY REPORTS – PROCUREMENT

Audit of: Procurement	Auditor: Everton Bonner	Audit Criteria: ISO 9001:2015 8.4.1	Auditees: Stacy Ivey
<p>Audit Evidence:</p> <p>Invoices and related documentation for three suppliers were received however information relating to only one supplier was recorded. This was Memo dated June 7, 2021 and June 14, 2021, PO 200563111135, commitment voucher CO3111500 and invoice No. 1237 for Hardware, Household &amp; Dec Suppliers Ltd.</p>			
<p>Evaluation:</p> <p>During the review of the Procurement process for the period April 1, 2021 - July 9, 2021, of the sample of three (3) invoices received were stamped/signed satisfaction with goods/services received. This is in accordance with the requirements of ISO 9001:2015 8.4.1 which states... The organization shall ensure that externally provided processes, products and services conform to requirements. The organization shall determine the controls to be applied to externally provided processes, products and services... and ISO 8.4.2d which states, The organization shall... determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.</p>			
<p>Effectiveness:</p>			

