

St. Andrew RSC

Scheduled QMS Audit

Internal Audit Report

CONFORMITY REPORTS – E-SERVICES REGISTRATION

Audit of: e-Services Registration	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 Clause 7.5.3.1 & 7.5.3.2	Auditees: Dorret Lopez
<p>Audit Evidence:</p> <p>A sample of 15 eServices Inline application forms were selected from two files seen kept inside a drawer, and an examination of the files revealed that the supporting documents were properly filed.</p>			
<p>Evaluation:</p> <p>During the audit of Registration for eServices (Inline) for the period August 2021 - November 2021, the required supporting documentation for Registration for eServices Inline was seen retained and kept for future use. This conforms with ISO:9001:2015, Clause 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. Section 7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable: (d) retention and disposition</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – E-SERVICES REGISTRATION

Audit of: e-Services Registration	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 Clause 8.5.2	Auditees: Dorret Lopez
<p>Audit Evidence:</p> <p>From the sample size of 15 inline application forms examined, the tax portal logins which gives taxpayers access to the eServices platform were seen recorded in Section C, Box 15 on all the forms examined.</p>			
<p>Evaluation:</p> <p>During the audit of Registration for eService Inline for the period August 2021 - November 2021, it was determined that taxpayers had access to eService platform. This conforms with ISO:9001:2015, 8.5.2, Clause 3 which states: The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services. The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability.</p>			
<p>Effectiveness:</p>			

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CONFORMITY REPORTS – E-SERVICES REGISTRATION

Audit of: e-Services Registration	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 Clause 8.1 (a, b & d)	Auditees: Dorret Lopez
<p>Audit Evidence:</p> <p>An examination of authorization letters from the sample selected revealed that representatives were named in the letters to managed individuals' accounts. Also, the accompanying identification for representatives were seen.</p>			
<p>Evaluation:</p> <p>During the audit of Registration for eService (Inline) for the period August 2021 - November 2021, it was determined that the necessary control was in place to guide the processes. This conforms with ISO 9001:2015 Clause 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 in Clause 6 by: a) determining the requirements for the products and services; b) establishing criteria for: 1) the processes; 2) the acceptance of products and services; d) implementing control of the processes in accordance with the criteria.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – E-SERVICES REGISTRATION

Audit of: e-Services Registration	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 Clause 7.1.2	Auditees: Dorret Lopez
<p>Audit Evidence:</p> <p>A staff listing obtained from the auditee confirmed that all the taxpayer service positions listed on the staff structure have been filled.</p>			
<p>Evaluation:</p> <p>During the audit of Registration for eService Inline for the period August 2021 to November 2021, it was established that there was adequate personnel to effectively implement its quality system. This conforms with ISO 9001:2015, Clause 7.1.2 which states: The organization shall determine, provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.</p>			

Effectiveness:

CONFORMITY REPORTS – E-SERVICES REGISTRATION

Audit of: e-Services Registration	Auditor: Phercia Thompson-Campbell	Audit Criteria: Registration for eService Online SOP, steps 7, 8 & 9	Auditees: Dorret Lopez
Audit Evidence: In an interview with the auditee, it was disclosed that upon taxpayer service officers verifying the correctness of information entered by taxpayers, an approval tab is ticked in RAIS that generate webmail approvals and sends to taxpayers. From the sample examined, webmail approvals were seen for all the online applications.			
Evaluation: During the audit of Registration for eService Online for the period August 2021 to November 2021, it was determined that information entered in RAIS for online applications have been verified correct prior to approvals. This confirms with SOP steps 7, 8 & 9 which states: Taxpayer Education Officer/Client Relationship Manager RECEIVES assigned application through task queue in RAIS. ENTERS the taxpayer's TRN to retrieve the taxpayer's information. VERIFIES the correctness of the information.			
Effectiveness:			

CONFORMITY REPORTS – E-SERVICES REGISTRATION

Audit of: e-Services Registration	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO: 9001:2015 8.5.2 Clause 3	Auditees: Dorret Lopez
Audit Evidence: The customer springboard in RAIS was examined for webmail generated emails approvals, and approvals were seen for the sample size selected.			
Evaluation: During the audit of Registration for eService Online for the period August 2021 to November 2021, it was determined that web generated emails were stored in RAIS that enabled traceability. This conforms with ISO:9001:2015 8.5.2, clause 3 which states: The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary			

to enable traceability.

Effectiveness:

CONFORMITY REPORTS – E-SERVICES REGISTRATION

Audit of: e-Services Registration	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 Clause 7.1.3(b)	Auditees: Dorret Lopez
<p>Audit Evidence:</p> <p>A physical count of the equipment assigned to the Taxpayer Service Unit revealed that a total of five computers, one scanner and one printer were assigned to the unit. Though the computers and scanner were deemed adequate to facilitate the processes, the auditee advised that the printer frequently malfunctions.</p> <p>Evaluation:</p> <p>During the audit of Registration for eService Online for the period August 2021 to November 2021, it was established that there was adequate infrastructure to facilitates the operations. This conforms with ISO 9001:2015, Clause 7.1.3 which states: The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. Infrastructure can include: b) equipment, including hardware and software.</p> <p>Effectiveness:</p>			

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Phercia Thompson-Campbell	Date: November 30, 2021
Audit of : e-Services Registration	Audit Criteria: Registration for eService Inline SOP, steps 9 & 15(a)	
<p>Statement of Nonconformity:</p> <p>During the audit of Registration for eService (Inline) for the period August 2021 - November 2021, it was established that 3 of 15 application forms examined were not ticked in the relevant section of the FOR OFFICIAL USE ONLY section of the form. This contradicts SOP steps 15 (a) which states, "Taxpayer Service Officer/Taxpayer Education Officer COMPLETES the 'For Official Use Only' section of the application form as follows: a) IDENTIFICATION PRESENTED - Indicate ID received with the</p>		

application form by placing a tick in the box beside the listed item. In addition, it was established that 1 of 15 forms did not have the applicant's signature affixed. This contradicts with SOP, step 9 which states in part, "Taxpayer COMPLETES and signs form.."

Responsible Party: Denise McLean-Powell

Auditor Signature:	Signature:
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NONCONFORMITY REPORT

Incident Identification Number: 000000.00002

Non-Conformity Report #: 2	Auditor (s): Phercia Thompson-Campbell	Date: November 30, 2021
Audit of : e-Services Registration	Audit Criteria: Registration for eService Online SOP, step 4	

Statement of Nonconformity:

During the audit of Registration for eService Online during the period August 2021 - November 2021, the required identification for an Account Manager was not seen uploaded in RAIS. This contradicts step 4 of the SOP which states: Taxpayer UPLOADS all supporting documents. a) Supporting documents include ID (Driver's Licence, Passport or National ID for individuals and a stamped letter naming the Account Manager and the identification for those individuals and organization having a representative.

Responsible Party: Denise McLean-Powell

Auditor Signature:	Signature:
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