

# eGov JAMAICA LIMITED

## Full System Audit

### Internal Audit Report

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

Audit Report: Full System Audit Internal Audit Company Limited	Audit: Report No. 390
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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 Excellence (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 Excellence (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 - Elwecrrtical Power Infrastructure	8

	(DCE - OSS)	
16	Infrastructure Management - Structured Cableing - Power (DCE - OSS)	2
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

### Summary of Opportunities for Improvement Identified in The Internal Audit Process

Process #	Process Names	Conformances
1	Agile Training - Agile Center of Excellence (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 - BSS)	2
	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	1645483726	Audit of:	Full System Audit
Date Scheduled	June 20, 2022 - October 25, 2022	Locations	235 B. Old Hope Rd. Kgn. 6. 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,		Process Owner(s):	Fern Townsend -HOD, Administration Devon Sterling-Divisional Director Jerome A. McKenzie -HOD Phillip Freckleton -HOD Sophia Williams -Divisional Director Grant McNab -HOD

<p>Alexis Gayle, Stacey Earle , Yanique Walker, Rodrick Ingram, Moya Staple, TresAnn Williams</p> <p>Audit Team Leader: Angela M. Smith</p>	<p>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 Gilroy Julal-HOD Toussaint Derrett-HOD Cassandra Duricka-hod Marion Lim-chong-hod</p>
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**Purpose:**

To evaluate the QMS to ensure that the processes are implemented and effective and conforms to the requirement of ISO 9001:2015. And to seek opportunities 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 9001:2015, Documented Information of the organization, Customer and Legislative 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

# 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 Lattibaudiere, Romano Willis, O'Brian Stewart, Adoree Mathews, Alexis Gayle, Stacey Earle , Yanique 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 Lattibaudiere, 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 Provisioning (DCE - OSS)	Romano Willis		June 22, 2022 10:18 AM - FJune 22, 2022 12:18 PM
Staffing (HRM)	Kevin Senior		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Shared Services Infrastructure Support (CSS - OSS)	Romano Willis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Strategic Planning Process - Development of org. Strat Plan( Planning - FPEP)	Rodrick Ingram		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Agile Training - Agile Center of Excellence (ACOE - Exec Mgmt.)	Latrechia Fletcher		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Software Development and Integration - Software Engineering (AE-BSS)	Mark A. Campbell		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Software Application Implementation - Software Engineering (AE - BSS)	Mark A. Campbell		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Software Requirements Management - Software Engineering (BA - BSS)	Mark A. Campbell		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Software Quality Control - Software Engineering (QA - BSS)	Mark A. Campbell		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
ICT Project/Programme	Melville McIntosh		June 22, 2022 10:00 AM - FJune

Management (PMO - PRMD)			22, 2022 12:00 PM
Business Process Design and Re-engineering (BA - BSS)	James Lattibeaudiere		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Network & Communication - Wireless Implementation (NS - OSS)	Zavion Mattis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
2 Client Relationship Management - (CRM PRMD)	Melville McIntosh		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Asset Management (OSS, Administration)	Romano Willis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
1 Client Relationship Management - (CRM PRMD)	Melville McIntosh		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
1 Security Assessment (SITRM - OSS)	Sophia Taylor		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
1 Internal Audit -Exec Mgmt (IAD)	Alexis Gayle		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
HRM & Admin Supporting Services (HRM&A)	Rodrick Ingram		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Client Relationship Management - (CRM PRMD)	Melville McIntosh		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Internal Audit -Exec Mgmt (IAD)	Anderson Andrea		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Vendor Management - Enterprise procurement (FPEP)	Rodrick Ingram		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Management Review - Exec Management and Snr. Management (HODs)	Williams Tresann		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM

Research and Innovation ( Exec Mgmt (Innovation Hub), BSS, OSS)	Latrechia Fletcher		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Nonconformity and Corective Action (BSS, OSS)	Andre Harding		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Change Management - Change Advisory Board (TS OSS)	Romano Willis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Network & Communication - Structured Cabling (Data) (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
Network & Communication - PBX Implementation (NS - OSS)	Zavion Mattis		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Governance - ICT Proposal Appraisal (EPM - PRMD)	O'Brian Stewart		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Governance - ICT Procurement No Objection (EPM - PRMD)	Melville McIntosh		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Governance ICT Concept Appraisal (EPM - PRMD)	Shanelle Rhoden		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Disaster Recovery & Backup2 ( NOC - OSS)	Stacey Earle		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Disaster Recovery & Backup1 ( NOC - OSS)	Stacey Earle		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Disaster Recovery & Backup ( NOC - OSS)	Stacey Earle		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Application Engineering	Mark A. Campbell		June 22, 2022 10:00 AM - FJune 22, 2022 12:00 PM
Enterprise Procurement	Rodrick Ingram		June 22, 2022 10:00 AM - FJune



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

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

Audit of: Security Assessment (SITRM - OSS)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 4.1(a)	Auditees:
Audit Evidence:			
Strategic Plan Department Work plan Information Security Policies			
Evaluation:			
Evidence Received and view in Organization's policy repository based ISO 27001:2013 Clause A.5.1.1 which states that A set policies for information security shall be defined, approved by management, published and communicated to employees and relevant external parties. Also based ISO 27001:2013 Clause A.5.1.2 which states The policies for information security shall be reviewed at planned intervals or if significant changes occur to ensure their continuing suitability, adequacy and effectiveness.			
Effectiveness:			

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

Audit of: Security Assessment (SITRM - OSS)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 4.1(a)	Auditees:
Audit Evidence:			

OSS Monthly Report and List of services word document
Evaluation:
Monthly Report and list of services document received
Effectiveness:

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

Audit of: Security Assessment (SITRM - OSS)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 6.1.1(d)	Auditees:
Audit Evidence:			
Risk Assessment / Risk Register Document and eGov Information Security Incident Management Policy December 2021			
Evaluation:			
eGov Information Security Incident Management Policy December 2021 which states that the scope of the document is aimed at providing a structured approach to: 1. Detect, report, and assess information security incidents 2. Respond to and manage information security incidents 3. Detect, assess, and manage information security vulnerabilities			
Effectiveness:			

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

Audit of: Security Assessment (SITRM - OSS)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a)	Auditees:
Audit Evidence:			
Security Incident Report Form, Incident report #: SECINC/2020/002. April, 23, 2020			
Evaluation:			
I have received a completed security incident form, incident report number SECINC/2020/002 dated April 23, 2020.			
Effectiveness:			

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

Audit of: Security Assessment (SITRM - OSS)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
<p>Audit Evidence:</p> <p>Job Description I saw the security training platform terranovasite on June 1, 2022 with assigned course(s) for staff members and how it work.</p>			
<p>Evaluation:</p> <p>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 policies 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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Security Assessment (SITRM - OSS)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a)	Auditees:
<p>Audit Evidence:</p> <p>Incident Management &amp; Request Fulfillment Standard Operating Procedures 2018</p>			
<p>Evaluation:</p> <p>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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Security Assessment (SITRM - OSS)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause	Auditees:
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- 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 Security Policy Manual and Information Security Management System (ISMS) Policy based on the ISO 9001:2015 Clause 6.1.1(a)		
Effectiveness:		

### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.1.1 - General	Auditees: Norma Winkle
Audit Evidence:			
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 of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 9.1.2	Auditees: Norma Winkle
Audit Evidence:			
1. Tickets are successfully closed after client agree of satisfactory job. Several			

closed AMS tickets observed via System Aid
<p>Evaluation:</p> <p>Based on the evaluation of process step: Assessment &amp; 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.</p> <p>Effectiveness:</p>

### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 9.1.3	Auditees: Norma Winkle
<p>Audit Evidence:</p> <p>The SOP 'SEC-PRO-14-02 Software Maintenance Procedure' was provided.</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Assessment &amp; 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.</p> <p>Effectiveness:</p>			

### CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 9.1.3	Auditees: Norma Winkle
<p>Audit Evidence:</p> <p>SEC-PRO-14-02 Software Maintenance Procedure seen</p>			
<p>Evaluation:</p>			

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:

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.2.3	Auditees: Norma Winkle
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 Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.2.3.2	Auditees: Norma Winkle
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:

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.5.1(c)	Auditees: Norma Winkle
<p>Audit Evidence:</p> <p>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</p>			
<p>Evaluation:</p> <p>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.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: SEC-PRO-14-02 Software Maintenance Procedure	Auditees: Norma Winkle
<p>Audit Evidence:</p> <p>1. SEC-PRO-14-02 Software Maintenance Procedure 2. CAB change management procedure 3. CAB Operating Guidelines</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Testing It was determined that the organization was Meeting the requirements of ('SEC-PRO-14-02 Software</p>			



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 Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 9.1.1 (b)	Auditees: Norma Winkle
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.			
Effectiveness:			

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.1.1 - General	Auditees: Norma Winkle
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 REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: SEC-PRO-14-02 Software Maintenance Procedure	Auditees: Norma Winkle
Audit Evidence:			
SEC-PRO-14-02 Software Maintenance Procedure			
Evaluation:			
Based on the evaluation of process step: Software Maintenance Procedure It was determined that the organization was not Meeting the requirements of ('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 Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees: Norma Winkle
Audit Evidence:			
AMS SOP outlines the various roles and responsibilities.			
Evaluation:			
Based on the evaluation of process step: Head of Department It was determined that the organization was not 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 Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.5.1(c)	Auditees: Norma Winkle
<p>Audit Evidence:</p> <p>Email from client verifying post-implementation checks were satisfactory seen (email to Ashley Davis Re LMIS and TTMS)</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Completed software/application modification It was determined that the organization was Meeting the requirements of ('ISO 9001:2015 Clause 8.5.1(c)') 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.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.2 - Competency	Auditees: Norma Winkle
<p>Audit Evidence:</p> <p>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</p>			
<p>Evaluation:</p> <p>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.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – APPLICATION MAINTENANCE AND SUPPORT (AMS - BSS)

Audit of: Application Maintenance and Support (AMS - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.5 - Documented Information	Auditees: Norma Winkle
<p>Audit Evidence:</p> <p>1. A report of completed tickets can be generated by the ticketing system 2. Sample of 3 completed tickets provided</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Completed Ticket It was determined that the organization was Meeting the requirements of ('ISO 9001:2015 Clause 7.5') 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.</p>			
<p>Effectiveness:</p>			

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00001		
Non-Conformity Report #: 1	Auditor (s): Mark A. Campbell	Date: June 22, 2022
Audit of : Application Maintenance and Support (AMS - BSS)	Audit Criteria: ISO 9001:2015 Clause 10.2-Conformity and Corrective Action	
<p>Statement of Nonconformity:</p> <p>Based on the evaluation of process step: Control of Non-conformity It was determined that the organization was not Meeting the requirements of ('ISO 90001:2015 Clause 10.2 &amp; 8.2) 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.</p>		
Responsible Party: Norma Winkle		
Auditor Signature:		Signature:

OPPORTUNITY REPORT		
Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): Mark A. Campbell	Date: June 22, 2022
Audit of : Application Maintenance and Support (AMS - BSS)	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a)	
<p>Statement of Opportunity:</p> <p>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.</p> <p>Responsible Party: Norma Winkle</p>		
Auditor Signature:		Signature:

### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001 2015 clause – 8.2.2	Auditees:
<p>Audit Evidence:</p> <p>eGovJa Procurement procedure v7.pdf eGovJa Procurement procedure brochure</p>			
<p>Evaluation:</p> <p>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 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.</p>			
<p>Effectiveness:</p>			

### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

Audit of: Enterprise	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
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Procurement	Ingram	9001:2015 Clause 7.5	
Audit Evidence:			
eGovJa Procurement 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:			

### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: Procurement Guideline – A2.4	Auditees:
Audit Evidence:			
Public Procurement Act 2015 Public Procurement Regulation 2018.pdf			
Evaluation:			
Based on the evaluation of process step: Procurement Request 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

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001 2015 clause 7.2a, 7.2b	Auditees:
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

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.1.1 (a) - Resources	Auditees:
Audit Evidence:			
Department work plan.			
Evaluation:			
Based on the evaluation of process step: Resource availability 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

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001 2015 clause 4.4.1c	Auditees:
Audit Evidence:			
Defined individual procurement plan.			
Evaluation:			
Based on the evaluation of process step: Efficiency 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:			

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## CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.5	Auditees:
<p>Audit Evidence:</p> <p>eGovJa Procurement Procedure v7.pdf, The Public Procurement Act 2015, The Public Procurement Handbooks.</p>			
<p>Evaluation:</p> <p>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.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 8.2.3	Auditees:
<p>Audit Evidence:</p> <p>Purchase Order, Requirements Specifications, Customer receipt/Acceptance Sign-off.</p>			
<p>Evaluation:</p> <p>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 the department [X ] Which is listed in the evidence column of the report.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – ENTERPRISE PROCUREMENT



Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001 2015 clause – 8.2.2	Auditees:
<p>Audit Evidence:</p> <p>eGovJa Procurement procedure v7.pdf eGovJa Procurement procedure brochure evidence of signoffs</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Standard Operating Procedures 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.</p>			
<p>Effectiveness:</p>			

### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

Audit of: Enterprise Procurement	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.5	Auditees:
<p>Audit Evidence:</p> <p>Procurement Process eGovJa Procurement Processes-1.pdf</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Procurement Request Channel 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.</p>			
<p>Effectiveness:</p>			

### CONFORMITY REPORTS – ENTERPRISE PROCUREMENT

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

Evaluation:

Based on the evaluation of process step: Procurement Procedure 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 – APPLICATION ENGINEERING

Audit of: Application Engineering	Auditor: Mark A. Campbell	Audit Criteria: Application Architecture and Design Unit Standard Operating Procedures	Auditees:
Audit Evidence:			
Resource request for developer seen			
Evaluation:			
Based on the evaluation of process step: Request for Application Engineer Staff 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 Engineering	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 evaluation of process step: Coding 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 Engineering	Auditor: Mark A. Campbell	Audit Criteria: Application Architecture and Design Unit Standard Operating Procedures	Auditees:
Audit Evidence:			
Report from the code repository seen ( Sonarqubelicensingweb). The Sonarqube code repository has the capability to generate reports showing which developer modify the software program			
Evaluation:			
Based on the evaluation of process step: Track code changes 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 Engineering	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.3.4	Auditees:
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 Engineering	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.3.4	Auditees:
Audit Evidence:			
SOP for each department (QA, Programmers, UX, Appl. Architecture and Design). Internal standards (Coding, Versioning, Unit Testing) seen			
Evaluation:			
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) 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 Engineering	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.4 Communication	Auditees:
Audit Evidence:			
More recent agile health report seen			
Evaluation:			
Based on the evaluation of process step: Team Feedback 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:			

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### CONFORMITY REPORTS – APPLICATION ENGINEERING

Audit of: Application Engineering	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
<p>Audit Evidence:</p> <p>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.</p>			
<p>Evaluation:</p> <p>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.</p>			
<p>Effectiveness:</p>			

### CONFORMITY REPORTS – APPLICATION ENGINEERING

Audit of: Application Engineering	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
<p>Audit Evidence:</p> <p>Training register seen training course outline seen</p>			
<p>Evaluation:</p> <p>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.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – APPLICATION ENGINEERING

Audit of: Application Engineering	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.3.4	Auditees:
Audit Evidence:  unit has a copy of procedures			
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

Audit of: Application Engineering	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.3.5	Auditees:
Audit Evidence:  TA_1.png seen LSA_1.png seen			
Evaluation:  Based on the evaluation of process step: Deployment 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:			

## NONCONFORMITY REPORT

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

Statement of Nonconformity:	
Based on the evaluation of process step: Testing It was determined that the organization was not 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 [] Which is listed in the evidence column of the report.	
Responsible Party: Shernette Barham	
Auditor Signature:	Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00003		
Non-Conformity Report #: 2	Auditor (s): Mark A. Campbell	Date: June 22, 2022
Audit of : Application Engineering	Audit Criteria: ISO 9001:2015 Clause 7.1.2 - People	
Statement of Nonconformity:		
Based on the evaluation of process step: Resource Assignment It was determined that the organization was not 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.		
Responsible Party: Shernette Barham		
Auditor Signature:	Signature:	

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

Audit of: Disaster Recovery & Backup (NOC - OSS)	Auditor: Stacey Earle	Audit Criteria: ISO 9001 6.2 (6.2.1)	Auditees:
Audit Evidence:			
Business Management Continuity Policy -December 2021			

<p>Evaluation:</p> <p>Based on the Disaster Recovery Plan I can conclude that there is an updated document in place. According to the requirement of the ISO 9001 Standard which states: The organization shall plan: a) actions to address these risks and opportunities; b) how to: 1) integrate and implement the actions into its quality management system processes (see 4.4); 2) evaluate the effectiveness of these actions.</p>
<p>Effectiveness:</p>

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

Audit of: Disaster Recovery & Backup (NOC - OSS)	Auditor: Stacey Earle	Audit Criteria: ISO 9001:2015 Clause 8.5.4 - Preservation	Auditees:
<p>Audit Evidence:</p> <p>Backup Daily Status Report</p>			
<p>Evaluation:</p> <p>Based on the ISO Standard 9001: 2015 which stipulates: "The organization shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements". NOTE Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.</p>			
<p>Effectiveness:</p>			

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

Audit of: Disaster Recovery & Backup (NOC - OSS)	Auditor: Stacey Earle	Audit Criteria: NOC Operational Procedure Manual - Backup and Recovery Strategies Schedule Section 2.16.2	Auditees:
<p>Audit Evidence:</p> <p>Backup Log Status Report</p>			



<p>Evaluation:</p> <p>Based on the ISO 9001 Standards which stipulates..The organization shall identify, review and control changes made during, or subsequent to, the design and development of products and services, to the extent necessary to ensure that there is no adverse impact on conformity to requirements and the assessment of the NOC Policy document it can be concluded that the organization is in conformance</p>
<p>Effectiveness:</p>

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

Audit of: Disaster Recovery & Backup (NOC - OSS)	Auditor: Stacey Earle	Audit Criteria: IT Disaster Recovery Plan - Communicating a Disruptive Event Section:10 (10.1-10.2)	Auditees:
<p>Audit Evidence:</p> <p>IT Disaster Recovery Plan</p>			
<p>Evaluation:</p> <p>Based on the IT Disaster Recovery Plan stipulates the flow of communication among stakeholders.</p>			
<p>Effectiveness:</p>			

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

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

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?

Effectiveness:

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00004

Non-Conformity Report #: 1	Auditor (s): Stacey Earle	Date: June 22, 2022
Audit of : Disaster Recovery & Backup (NOC - OSS)	Audit Criteria: ISO 22301:2019 Clause 3.4 Business Continuity Plan	
Statement of Nonconformity:		
<p>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</p>		
Responsible Party: Devon Sterling		
Auditor Signature:		Signature:

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

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

Based on the clients need, CRM agrees that is a project is requires and the client then completed a request form. (See project request form).

Effectiveness:

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

Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: ISO 9001 2015 clause – 8.2.1	Auditees:
Audit Evidence:			
Completed Process intake form for five (5) completed projects.			
Evaluation:			
After submission by CRM, I will then submit form to the Portfolio Advisory Committee at PACT@egovja.com, a meeting is held, tentative approval is given by the committee and final approval is granted by the CEO.			
Effectiveness:			

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

Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: Project Portfolio Management Standard Operating Procedures	Auditees:
Audit Evidence:			
Copy of PPM SOP			
Evaluation:			
The PPM Standard Operating Procedures			
Effectiveness:			

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

Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
<p>Audit Evidence:</p> <p>Job Description Copy of Qualifications Certified Project Management Professional Certificate BSC-Management Studies Certificate of Training in Project Management/Portfolio Management</p>			
<p>Evaluation:</p> <p>As per the Job description, the Director PMO is qualified for the post and to carry out the requisite duties and functions.</p>			
<p>Effectiveness:</p>			

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

Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: ISO 9001:2015 Clause 7.5.3- Control and Documented Information	Auditees:
<p>Audit Evidence:</p> <p>Records are maintained by a drive on the company's common area.</p>			
<p>Evaluation:</p> <p>Some criteria's include strategic rationale and alignment, Strategic Operational Planning, Urgency/Own Priority, Operational 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.</p>			
<p>Effectiveness:</p>			

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

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

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

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

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

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

Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: eGovJa-Project Management Methodology	Auditees:
Audit Evidence:			
Copy of PPM SOP			
Evaluation:			
The PPM Standard Operating Procedures			
Effectiveness:			

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

Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: ISO 9001:2015 Clause 10.2-Non-Conformity and Corrective Action	Auditees:
Audit Evidence:			
PPM SOP			
Evaluation:			
Control of Non-Conformity			
Effectiveness:			

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

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

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

Audit of: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: ISO 9001:2015 Clause 7.5.3- Control and Documented Information	Auditees:
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: Governance ICT Concept Appraisal (EPM - PRMD)	Auditor: Shanelle Rhoden	Audit Criteria: ISO 9001:2015 Clause 8.2-Operational Planning and Control	Auditees:
Audit Evidence:			

eGov Project Prioritization Log Master
Evaluation:
My role is to ensure that projects are prioritized accordingly
Effectiveness:

OPPORTUNITY REPORT		
Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): O'Brian Stewart	Date: June 22, 2022
Audit of : Governance - ICT Proposal Appraisal (EPM - PRMD)	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	
Statement of Opportunity:		
Responsible Party: Kay-Maureen Shim		
Auditor Signature:		Signature:

CONFORMITY REPORTS – HARDWARE MAINTENANCE			
Audit of: Hardware Maintenance	Auditor: Howard McCalla	Audit Criteria: Hardware Maintenance (ISO 9001 2015 clause 7.1.3)	Auditees:
Audit Evidence:			
Schedule, documentation, requests, customer service request,			
Evaluation:			
Egovja Hardware process.doc: Computer Engineering Unit Process Documentation,			
Effectiveness:			

## CONFORMITY REPORTS – HARDWARE MAINTENANCE



Audit of: Hardware Maintenance	Auditor: Howard McCalla	Audit Criteria: (ISO Macroflow Process & Process Architecture February 2022 clause 6.39	Auditees:
Audit Evidence:			
change management approval, approval from stakeholders, email trail. evidence of customer approval or sample email			
Evaluation:			
It was determined that the organization was Meeting the requirements of (section of the general plan ) And the relevant ISO 90001 -2015 standard based on: A. interview with requisite managers [ ] and officers [ ] B. documented information 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 February 2022 clause 6.39	Auditees:
Audit Evidence:			
email of work done, stakeholder verification , engineers log if remote			
Evaluation:			
it varies on type of maintenance . vendor provides documentation for certain maintenance			
Effectiveness:			

### CONFORMITY REPORTS – HARDWARE MAINTENANCE

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

Change management document for maintenance
Evaluation:
Lines of communication established for all affected parties. to be provided documentation
Effectiveness:

### CONFORMITY REPORTS – HARDWARE MAINTENANCE

Audit of: Hardware Maintenance	Auditor: Howard McCalla	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
Audit Evidence:			
org chart of hardware personnel to be presented. authorized personnel from manufacturers.			
Evaluation:			
maintenance is sometimes internally done but is mostly supervising contractors. end of life and end of support is tracked. by end of support replacement is in place.			
Effectiveness:			

### CONFORMITY REPORTS – HARDWARE MAINTENANCE

Audit of: Hardware Maintenance	Auditor: Howard McCalla	Audit Criteria: ISO 9001 2015 Clause 7.1.3b - Infrastructure	Auditees:
Audit Evidence:			
they are usually tied to Contracts			
Evaluation:			
These are available and to be presented			
Effectiveness:			

### CONFORMITY REPORTS – HARDWARE PROVISIONING (DCE - OSS)

Audit of: Hardware Provisioning (DCE - OSS)	Auditor: Romano Willis	Audit Criteria: ISO 9001:2015 Clause 8.5.1(a)	Auditees:
Audit Evidence:			
Evaluation:			
Effectiveness:			

### CONFORMITY REPORTS – HARDWARE PROVISIONING (DCE - OSS)

Audit of: Hardware Provisioning (DCE - OSS)	Auditor: Romano Willis	Audit Criteria: ISO 9001:2015 Clause 8.5.1(a)	Auditees:
Audit Evidence:			
Evaluation:			
Effectiveness:			

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

Audit of: Infrastructure Management - Elwecrtrical Power Infrastructure (DCE - OSS)	Auditor: Howard McCalla	Audit Criteria: ISO 9001 2015 Clause 7.1.3 - Infrastructure	Auditees:
Audit Evidence:			
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:			
Mature process. Documentation of request is available. both internal and from MDA			
Effectiveness:			

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

Audit of: Infrastructure Management - Elwecrtical Power Infrastructure (DCE - OSS)	Auditor: Howard McCalla	Audit Criteria: ISO 9001:2015 Clause 8.1	Auditees:
Audit Evidence:			
Request from SMS/MDA and site visit finding in documentation agreement			
Evaluation:			
for external customer request: Investigation in tandem with other OSS teams ITSECOPS, SMS and documented in report showing findings. It was determined that the DCE was Meeting the requirements of (ISO 9001 Clause 8.1 ) and their own internal procedures And the relevant ISO 90001 -2015 standard based on: A. interview with the manager [ Y ] and officers [ ] B. documented information retained by the department [ Y ]			
Effectiveness:			

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

Audit of: Infrastructure Management - Elwecrtical Power Infrastructure (DCE - OSS)	Auditor: Howard McCalla	Audit Criteria: ISO 9001 2015 Clause 7.1.3 - Infrastructure	Auditees:
Audit Evidence:			
Technical Specification Document associated with tendering document			
Evaluation:			
a report is produced . a more technical document is provided for tendering usage. scope has to be significant			
Effectiveness:			

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

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

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

Audit of: Infrastructure Management - Elwecrtrical Power Infrastructure (DCE - OSS)	Auditor: Howard McCalla	Audit Criteria: ISO 9001:2015 Clause 8.1	Auditees:
<p>Audit Evidence:</p> <p>Engineers test report to be presented.</p>			
<p>Evaluation:</p> <p>Verification tools used to measure but documentation not available.for all such tasks. available for some.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – INFRASTRUCTURE MANAGEMENT -

### ELWECTRICAL POWER INFRASTRUCTURE (DCE - OSS)

Audit of: Infrastructure Management - Elwecrtical Power Infrastructure (DCE - OSS)	Auditor: Howard McCalla	Audit Criteria: ISO 9001:2015 Clause 7.4 Communication	Auditees:
Audit Evidence:			
Monthly report of tasks undertaken by the department.			
Evaluation:			
if it is internal low voltage work at egov may be done by team. For external MDA work or high voltage it is done by contractors Monthly report of tasks undertaken by the department.			
Effectiveness:			

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

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

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

Audit of: Infrastructure Management -	Auditor: Howard McCalla	Audit Criteria: ISO 9001 2015 CLAUSE 9.1.3 - Analysis and	Auditees:
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Elwecrtical Power Infrastructure (DCE - OSS)		Evaluation	
Audit Evidence:			
contract SLA and KPI			
Evaluation:			
contracts are the sole source			
Effectiveness:			

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

Audit of: Infrastructure Management - Structured Cableing - Power (DCE - OSS)	Auditor: Howard McCalla	Audit Criteria: ISO 9001 2015 Clause 7.1.3 - Infrastructure	Auditees:
Audit Evidence:			
Email from SMS/MDA for Structured cabling			
Evaluation:			
Effectiveness:			

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

Audit of: Infrastructure Management - Structured Cableing - Power (DCE - OSS)	Auditor: Howard McCalla	Audit Criteria: ISO 9001:2015 Clause 7.5.3- Control and Documented Information	Auditees:
Audit Evidence:			
Worker distribution Checklist			
Evaluation:			

Effectiveness:

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

Audit of: Firewall configuration and Implementation (SITRM - OSS)	Auditor: Adoree Mathews	Audit Criteria: ISO 9001:2015 Clause 9.1.1(a)	Auditees:
Audit Evidence:  We observe the team using the PRTG Application where they showed us how the firewall is monitored			
Evaluation:  Based on my observation of the PRTG Application relating to firewall management I can conclude that the application was working according to the requirement ( req doc ) and the requirements of ISO 9001:2015 Clause 9.1.1(a) which states that the organization shall determine what needs to be monitored and measured;			
Effectiveness:			

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

Audit of: Firewall configuration and Implementation (SITRM - OSS)	Auditor: Adoree Mathews	Audit Criteria: N/A	Auditees:
Audit Evidence:  We observe the team using the PRTG Application where they showed us how the firewall is monitored			
Evaluation:  Based on my observation of the PRTG Application relating to firewall management I can conclude that the application was working according to the requirement ( req doc ) and the requirements of ISO 9001:2015 Clause 9.1.1(b) which states that The organization shall determine the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;			
Effectiveness:			



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

Audit of: Firewall configuration and Implementation (SITRM - OSS)	Auditor: Adoree Mathews	Audit Criteria: N/A	Auditees:
<p>Audit Evidence:</p> <p>We observe the team using the PRTG Application where they showed us how the firewall is monitored</p>			
<p>Evaluation:</p> <p>Based on my observation of the PRTG Application relating to firewall management I can conclude that the application was working according to the requirement ( req doc ) and the requirements of ISO 9001:2015 Clause 9.1.1(c) The organization shall determine when the monitoring and measuring shall be performed; We observe that all devices were in the application and being monitored .</p>			
<p>Effectiveness:</p>			

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

Audit of: Firewall configuration and Implementation (SITRM - OSS)	Auditor: Adoree Mathews	Audit Criteria: N/A	Auditees:
<p>Audit Evidence:</p> <p>The OSS monthly report</p>			
<p>Evaluation:</p> <p>Monthly reported was received</p>			
<p>Effectiveness:</p>			

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

Audit of: Firewall	Auditor: Adoree	Audit Criteria: ISO	Auditees:
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configuration and Implementation (SITRM - OSS)	Mathews	9001:2015 Clause 9.1.1(f)	
Audit Evidence:			
OSS Monthly Report			
Evaluation:			
KPIs tracked in the monthly report			
Effectiveness:			

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

Audit of: Firewall configuration and Implementation (SITRM - OSS)	Auditor: Adoree Mathews	Audit Criteria: ISO 9001:2015 Clause 8.1.1(a)	Auditees:
Audit Evidence:			
We saw the firewall upgrade notification in the SysAid Application			
Evaluation:			
Based on my observation of the SysAid Application relating to firewall upgrades I can conclude that notifications are sent for upgrades of services for stakeholders t according to the requirement ( req doc ) and the requirements of ISO 9001:2015 Clause 8.1.1(a) which states that the organization shall plan, implement and control the processes (see 4.4) 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; ;			
Effectiveness:			

### CONFORMITY REPORTS – BUSINESS PROCESS DESIGN AND RE-ENGINEERING (BA - BSS)

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

Approach plan is used to define a BA's involvement in the activity, setting expectations and agreeing on deliverables for the activity/task. Effort estimate used to forecast cost & effort pursuing a course of action.

Evaluation:

Based on the evaluation of process step: Business analysis approach 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 Process Design and Re-engineering (BA - BSS)	Auditor: James Lattibeaudiere	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
Audit Evidence:			
Elicitation activities seen within approach plan			
Evaluation:			
Based on the evaluation of process step: Elicitation 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 Process Design and Re-engineering (BA - BSS)	Auditor: James Lattibeaudiere	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
Audit Evidence:			
SOP seen			

<p>Evaluation:</p> <p>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.</p>
<p>Effectiveness:</p>

### CONFORMITY REPORTS – BUSINESS PROCESS DESIGN AND RE-ENGINEERING (BA - BSS)

Audit of: Business Process Design and Re-engineering (BA - BSS)	Auditor: James Lattibeaudiere	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
<p>Audit Evidence:</p> <p>Document updated with revision history seen.</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Business Analysis Standard Operating Procedures 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.</p>			
<p>Effectiveness:</p>			

### CONFORMITY REPORTS – BUSINESS PROCESS DESIGN AND RE-ENGINEERING (BA - BSS)

Audit of: Business Process Design and Re-engineering (BA - BSS)	Auditor: James Lattibeaudiere	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
<p>Audit Evidence:</p> <p>The SOP highlights activities done to retain accuracy and consistency of requirements. 5.18</p>			
<p>Evaluation:</p>			

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 Process Design and Re-engineering (BA - BSS)	Auditor: James Lattibeaudiere	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
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		
Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): James Lattibeaudiere	Date: June 22, 2022
Audit of : Business Process Design and Re-engineering (BA - BSS)	Audit Criteria: ISO 9001:2015 Clause 7.2 - Competency	
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:

### CONFORMITY REPORTS – SOFTWARE QUALITY CONTROL - SOFTWARE ENGINEERING (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 section 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 Quality Control - Software Engineering (QA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
Audit Evidence:			
SOP seen with roles			
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 Quality Control - Software Engineering (QA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Quality Assurance Unit SOP v1	Auditees:
Audit Evidence:			
onboarding directory seen			
Evaluation:			
Based on the evaluation of process step: Onboarding staff 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 Quality Control - Software Engineering (QA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: N/A	Auditees:
Audit Evidence:			
LSA & TA png images seen			
Evaluation:			
Based on the evaluation of process step: Testing It was determined that the organization was Meeting the requirements of ('eGov Jamaica Limited Quality			

Assurance Unit Standard Operating Procedures v1) 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 REQUIREMENTS MANAGEMENT - SOFTWARE ENGINEERING (BA - BSS)

Audit of: Software Requirements Management - Software Engineering (BA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
<p>Audit Evidence:</p> <p>Intake form/requisition form supplied. An Intake Form / requisition form outlines the scope of the activity, the sponsor, what is required of the business Analysts, and other relevant information.</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Intake Form or requisition form 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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Software Requirements Management - Software Engineering (BA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
<p>Audit Evidence:</p> <p>Approach Plan Effort Estimate supplied. 1. Approach Plan is used to define the</p>			



business analysts involvement in the activity 2. Effort Estimate is used to forecast the cost and effort pursuing an activity.

Evaluation:

Based on the evaluation of process step: Identification of business analysis tasks 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 – SOFTWARE REQUIREMENTS MANAGEMENT - SOFTWARE ENGINEERING (BA - BSS)

Audit of: Software Requirements Management - Software Engineering (BA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
Audit Evidence:			
Email of communication to relevant stakeholder of the requirements. Auditee expressed that clients' expectations are controlled during meetings with the client. For example in cases of delays, this is expressed to client.			
Evaluation:			
Based on the evaluation of process step: Requirement gathering 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 – SOFTWARE REQUIREMENTS MANAGEMENT - SOFTWARE ENGINEERING (BA - BSS)

Audit of: Software Requirements Management - Software	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.4 Communication	Auditees:
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Engineering (BA - BSS)			
<p>Audit Evidence:</p> <p>sample of communication of requirements to client via various communication channels. Approach plan &amp; Email seen</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Communicate 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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Software Requirements Management - Software Engineering (BA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.4 Communication	Auditees:
<p>Audit Evidence:</p> <p>Approach Plan seen. It was highlighted in the BA SOP that the Approach plan consist of a communication plan, however this plan did not include all details, such as when with whom and how information is communicated.</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Communicate 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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Software Requirements Management - Software Engineering (BA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.6	Auditees:
<p>Audit Evidence:</p> <p>Communication from client to verify solution works as expected or a signoff document. Auditee expressed that in project type engagements the BA team works with the client to ensure the solution works satisfactory . See Section 5.25 (Page 30).</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Recommended Solution 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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Software Requirements Management - Software Engineering (BA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
<p>Audit Evidence:</p> <p>Revision History section of the BA SOP seen and changes to the document observed.</p>			
<p>Evaluation:</p> <p>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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Software Requirements Management - Software Engineering (BA - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Business Analysis SOP Ver 2.0	Auditees:
<b>Audit Evidence:</b>  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			
<b>Evaluation:</b>  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.			
<b>Effectiveness:</b>			

OPPORTUNITY REPORT		
Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): Mark A. Campbell	Date: June 22, 2022
Audit of : Software Requirements Management - Software Engineering (BA - BSS)	Audit Criteria: ISO 9001:2015 Clause 10.2-Conformity and Corrective Action	
<b>Statement of Opportunity:</b>  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:
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OPPORTUNITY REPORT		
Incident Identification Number: 000000.00002		
Opportunity Report #: 2	Auditor (s): Mark A. Campbell	Date: June 22, 2022
Audit of : Software Requirements Management - Software Engineering (BA - BSS)	Audit Criteria: ISO 9001:2015 - Cause 7.2 Competence	
<p>Statement of Opportunity:</p> <p>Based on the evaluation of process step: Manager It was determined that the organization was 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 [N/A] Which is listed in the evidence column of the report.</p> <p>Responsible Party: Kay-Maureen Shim</p>		
Auditor Signature:		Signature:

## CONFORMITY REPORTS – SOFTWARE APPLICATION IMPLEMENTATION - SOFTWARE ENGINEERING (AE - BSS)

Audit of: Software Application Implementation - Software Engineering (AE - BSS)	Auditor: Mark A. Campbell	Audit Criteria: DEV-STD-02-01v01 Unit Testing Standards	Auditees:
<p>Audit Evidence:</p> <p>merge requests seen</p>			
<p>Evaluation:</p> <p>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</p>			

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

### CONFORMITY REPORTS – SOFTWARE APPLICATION IMPLEMENTATION - SOFTWARE ENGINEERING (AE - BSS)

Audit of: Software Application Implementation - Software Engineering (AE - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
Audit Evidence:			
sample of signed Job Description seen			
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 APPLICATION IMPLEMENTATION - SOFTWARE ENGINEERING (AE - BSS)

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

[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 APPLICATION IMPLEMENTATION - SOFTWARE ENGINEERING (AE - BSS)

Audit of: Software Application Implementation - Software Engineering (AE - BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.5.1(c)	Auditees:
Audit Evidence:			
Email from client verifying post-implementation checks were satisfactory			
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 APPLICATION IMPLEMENTATION - SOFTWARE ENGINEERING (AE - BSS)

Audit of: Software Application Implementation - Software Engineering (AE - BSS)	Auditor: Mark A. Campbell	Audit Criteria: Programming Unit Standard Operating Procedure	Auditees:
Audit Evidence:			
SOP seen			
Evaluation:			
Based on the evaluation of process step: Programming Unit SOP It was determined			

that the organization was Meeting the requirements of (' Programming Unit SOP) 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:

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00005

Non-Conformity Report #: 1	Auditor (s): Mark A. Campbell	Date: June 22, 2022
Audit of : Software Application Implementation - Software Engineering (AE - BSS)	Audit Criteria: Quality Assurance Unit SOP v1	
<p>Statement of Nonconformity:</p> <p>Based on the evaluation of process step: Testing 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 department [X] Which is listed in the evidence column of the report.</p> <p>Responsible Party: Shernette Barham</p>		
Auditor Signature:		Signature:

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

Audit of: Software Development and Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 7.1.1 - General	Auditees:
<p>Audit Evidence:</p> <p>AE Request for Resource Form</p> <p>Evaluation:</p>			



Based on the evaluation of process step: Request for AE Staff It was determined that the organization was Meeting the requirements of ('ISO 9001:2015 Clause 7.1.1 & 7.1.2) 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)

Audit of: Software Development and Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001:2015 Clause 8.3.4 Design and development controls	Auditees:
<p>Audit Evidence:</p> <p>Merge Request 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.</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Coding It was determined that the organization was Meeting the requirements of ('Coding Standards v1.1) 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.</p>			
Effectiveness:			

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

Audit of: Software Development and Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: Application Architecture and Design Unit Standard Operating Procedures	Auditees:
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<p>Audit Evidence:</p> <p>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 standards</p>
<p>Evaluation:</p> <p>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.</p>
<p>Effectiveness:</p>

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

Audit of: Software Development and Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
<p>Audit Evidence:</p> <p>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.</p>			
<p>Evaluation:</p> <p>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 &amp; 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.</p>			
<p>Effectiveness:</p>			

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

Audit of: Software Development and Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: ISO 9001 2015 clause 7.2 & 7.3	Auditees:
Audit Evidence:			
Training register seen training course outline seen			
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)

Audit of: Software Development and Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: Source Code Version Control Standard 01v02	Auditees:
Audit Evidence:			
AE-Std-03-01v02 Source Code Version Control Standard seen			
Evaluation:			
Based on the evaluation of process step: Testing It was determined that the organization was Meeting the requirements of ('Source Code Version Control Standard 01v02) 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 Development and Integration - Software Engineering (AE- BSS)	Auditor: Mark A. Campbell	Audit Criteria: User Interface / User Experience Unit SOP	Auditees:
Audit Evidence:  unit has a copy of procedures			
Evaluation:  Based on the evaluation of process step: User Interface / User Experience Unit Standard Operating Procedures It was determined that the organization was Meeting the requirements of (User Interface / User Experience 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:			

<b>NONCONFORMITY REPORT</b>		
Incident Identification Number: 000000.00006		
Non-Conformity Report #: 1	Auditor (s): Mark A. Campbell	Date: June 22, 2022
Audit of : Software Development and Integration - Software Engineering (AE- BSS)	Audit Criteria: ISO 9001 2015 Clause 6.3 Planning for changes	
Statement of Nonconformity:  Based on the evaluation of process step: Resource Assignment It was determined that the organization was not Meeting the requirements of ('ISO 9001:2015 Clause 6.3) 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.		
Responsible Party: Shernette Barham		
Auditor Signature:	Signature:	

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

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

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

Audit of: Agile Training - Agile Center of Excellence (ACOE - Exec Mgmt.)	Auditor: Latrecia Fletcher	Audit Criteria: Agile Metric	Auditees:
Audit Evidence:			
Agile Metric			
Evaluation:			
Trainings are conducted with the project team at the beginning of each project, when there is a new manager and, other Agile staff.			
Effectiveness:			

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

Audit of: Agile Training - Agile	Auditor: Latrecia Fletcher	Audit Criteria: Agile Guide	Auditees:
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Center of Excellence (ACOE - Exec Mgmt.)			
Audit Evidence:			
PowerPoint Presentation			
Evaluation:			
The following documents and best practices are used in the preparation of training material: - Agile Standards Guide - Scrum Book of Knowledge - Industry Best Practice - Agile Manifesto,			
Effectiveness:			

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

Audit of: Agile Training - Agile Center of Excellence (ACOE - Exec Mgmt.)	Auditor: Latrecia Fletcher	Audit Criteria: ISO 9001:2015 Clause 7.5 - Documented Information	Auditees:
Audit Evidence:			
Agile Standards Guide, Industry Best Practice - Agile Manifesto, Scrum Book of Knowledge and Scrum Guide Internal Templates			
Evaluation:			
The following are policies and procedures which guide the operations at the Agile Centre of Excellence - Agile Standards Guide - developed using industry best practices and Industry Best Practices - Agile Manifesto, Scrum Guide, ScrumBOK (Scrum.org) There are no Standard Operating Procedure, however templates (Agile Health Checks) have been developed to guide the different processes with the ACOE.			
Effectiveness:			

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

Audit of: Agile Training - Agile Center of Excellence	Auditor: Latrecia Fletcher	Audit Criteria: ISO 9001:2015 Clause 7.5 - Documented	Auditees:
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(ACOE - Exec Mgmt.)		Information	
Audit Evidence:			
Course Outline PowerPoint Presentation			
Evaluation:			
The following documents are made available for each training session: - Copy of Course Outline - Copy of PowerPoint Presentation - Registers			
Effectiveness:			

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

Audit of: Agile Training - Agile Center of Excellence (ACOE - Exec Mgmt.)	Auditor: Latrecia Fletcher	Audit Criteria: ISO 9001:2015 Clause 10.1 - Improvement (General)	Auditees:
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 #: 1	Auditor (s): Latrecia Fletcher	Date: June 22, 2022
Audit of : Agile Training - Agile Center of Excellence (ACOE - Exec Mgmt.)	Audit Criteria: ISO 9001:2015 Clause 7.1.1 (a) - Resources	
Statement of Nonconformity:		
The Agile Department is not recognized on the current organizational chart. They		

form a part of the Project Management Office. The Department requires three (3) Agile Coaches to adequately carry out the functions; however, there are only two (2) Coaches assigned.

Responsible Party: Cassandra Duricka

Auditor Signature:

Signature:

## OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1	Auditor (s): Latrecia Fletcher	Date: June 22, 2022
Audit of : Agile Training - Agile Center of Excellence (ACOE - Exec Mgmt.)	Audit Criteria: ISO 9001:2015 Clause 7.2 - Competence	
<p>Statement of Opportunity:</p> <p>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.</p> <p>Responsible Party: Cassandra Duricka</p>		
Auditor Signature:		Signature:

## CONFORMITY REPORTS – STRATEGIC PLANNING PROCESS - DEVELOPMENT OF ORG. STRAT PLAN( PLANNING - FPEP)

Audit of: Strategic Planning Process - Development of org. Strat Plan( Planning - FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 4.1a	Auditees:
<p>Audit Evidence:</p> <p>Use of the scan tool PESTEL, SWAT and stakeholder analysis</p>			
<p>Evaluation:</p> <p>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</p>			



90001 - 2015 standard based on: A. interview with requisite managers [ ] and officers [ X ] B. documented information retained by the department [ ] Which is listed in the evidence column of the report.

Effectiveness:

## CONFORMITY REPORTS – STRATEGIC PLANNING PROCESS - DEVELOPMENT OF ORG. STRAT PLAN( PLANNING - FPEP)

Audit of: Strategic Planning Process - Development of org. Strat Plan( Planning - FPEP)	Auditor: Rodrick Ingram	Audit Criteria: N/A	Auditees:
Audit Evidence:			
Risk management matrix every 5yrs, monitoring and evaluation plan			
Evaluation:			
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 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 – STRATEGIC PLANNING PROCESS - DEVELOPMENT OF ORG. STRAT PLAN( PLANNING - FPEP)

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:			
Operational plan and annual reports.			
Evaluation:			
Based on the evaluation of process step: Communication 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 evidence column of the report.

Effectiveness:

## CONFORMITY REPORTS – STRATEGIC PLANNING PROCESS - DEVELOPMENT OF ORG. STRAT PLAN( PLANNING - FPEP)

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, Quarterly plan, Operational plan			
Evaluation:			
Based on the evaluation of process step: Communication 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 evidence column of the report.			
Effectiveness:			

## CONFORMITY REPORTS – STRATEGIC PLANNING PROCESS - DEVELOPMENT OF ORG. STRAT PLAN( PLANNING - FPEP)

Audit of: Strategic Planning Process - Development of org. Strat Plan( Planning - FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 9.1.1a	Auditees:
Audit Evidence:			
Monthly Senior Management Report.			
Evaluation:			
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			

evidence column of the report.

Effectiveness:

### CONFORMITY REPORTS – STRATEGIC PLANNING PROCESS - DEVELOPMENT OF ORG. STRAT PLAN( PLANNING - FPEP)

Audit of: Strategic Planning Process - Development of org. Strat Plan( Planning - FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.2 - Competence	Auditees:
Audit Evidence:			
Organization Chart			
Evaluation:			
Based on the evaluation of process step: Human resource 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 evidence column of the report.			
Effectiveness:			

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

Audit of: Vendor Management - Enterprise procurement (FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 4.1a	Auditees:
Audit Evidence:			
Org structure for the department			
Evaluation:			
Based on the evaluation of process step: Understanding the organization and its context It was determined that the organization 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:			

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

Audit of: Vendor Management - Enterprise procurement (FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 4.2a	Auditees:
Audit Evidence:			
Reistration of vendor with the PPC and also tax compliance.			
Evaluation:			
Based on the evaluation of process step: Understanding the needs and expectations of interested parties It was determined that the Vendor Management 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 [ ] Which is listed in the evidence column of the report.			
Effectiveness:			

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

Audit of: Vendor Management - Enterprise procurement (FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.5	Auditees:
Audit Evidence:			
Bidders conference			
Evaluation:			
Based on the evaluation of process step: Communication and awareness It was determined that the Vendor Management 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 [ ] Which is listed in the evidence column of the report.			
Effectiveness:			

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

Audit of: Vendor Management - Enterprise procurement (FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.2 - Competency	Auditees:
Audit Evidence:			
Organization Chart			
Evaluation:			
<p>Based on the evaluation of process step: Human resource It was determined that the Vendor Management 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.</p>			
Effectiveness:			

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

Audit of: Vendor Management - Enterprise procurement (FPEP)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 8.2	Auditees:
Audit Evidence:			
Vendor Risk Assessment Procedure 1.0.pdf			
Evaluation:			
<p>Based on the evaluation of process step: Vendor Management It was determined that the Vendor Management process was meeting the requirements of HRM Procedure Manual 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.</p>			
Effectiveness:			

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

Audit of: Internal	Auditor: Anderson	Audit Criteria: ISO	Auditees:
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Audit -Exec Mgmt (IAD)	Andrea	9001:2015 Clause 9.2.2 INTERNAL AUDIT	
Audit Evidence:			
Audit Schedule seen 06/28/2022			
Evaluation:			
Copy of Audit Schedule was received and viewed.			
Effectiveness:			

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

Audit of: Internal Audit -Exec Mgmt (IAD)	Auditor: Anderson Andrea	Audit Criteria: ISO 9001:2015 Clause 10.2-Conformity and Corrective Action	Auditees:
Audit Evidence:			
06/28/2022 Seen			
Evaluation:			
This is in the form of a Questionnaire given to the Auditee for feedback based on Audit interview.			
Effectiveness:			

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

Audit of: Internal Audit -Exec Mgmt (IAD)	Auditor: Anderson Andrea	Audit Criteria: N/A	Auditees:
Audit Evidence:			
06/28/2022 Question answered in parts and explanations of the various resources given.			
Evaluation:			
As part of the Department KPI's all Audit staff are in the possession and have working knowledge of the requisites for the work of the Department.			
Effectiveness:			

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

Audit of: Internal Audit -Exec Mgmt (IAD)	Auditor: Anderson Andrea	Audit Criteria: ISO 9001:2015 Clause 9.2.1	Auditees:
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 of: Internal Audit -Exec Mgmt (IAD)	Auditor: Anderson Andrea	Audit Criteria: ISO 9001:2015 Clause 9.2.2 INTERNAL AUDIT	Auditees:
Audit Evidence:			
06/28/2022 seen			
Evaluation:			
Report received and viewed.			
Effectiveness:			

### CONFORMITY REPORTS – CLIENT RELATIONSHIP MANAGEMENT - (CRM PRMD)

Audit of: Client Relationship Management - (CRM PRMD)	Auditor: Melville McIntosh	Audit Criteria: BPD Processess Documentation	Auditees:
Audit Evidence:			
Copy of proposal, business cases & Department Work-plans			
Evaluation:			

Effectiveness:

## CONFORMITY REPORTS – CLIENT RELATIONSHIP MANAGEMENT - (CRM PRMD)

Audit of: Client Relationship Management - (CRM PRMD)	Auditor: Melville McIntosh	Audit Criteria: BPD Processes Documentation	Auditees:
Audit Evidence:			
Copy of Contracts, Status in pipeline & client Listing showing associated managers			
Evaluation:			
Effectiveness:			

## CONFORMITY REPORTS – CLIENT RELATIONSHIP MANAGEMENT - (CRM PRMD)

Audit of: Client Relationship Management - (CRM PRMD)	Auditor: Melville McIntosh	Audit Criteria: BPD Processes Documentation	Auditees:
Audit Evidence:			
Service catalogue and Customer survey results			
Evaluation:			
Effectiveness:			

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

Audit of: HRM &	Auditor: Rodrick	Audit Criteria: ISO	Auditees:
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Admin Supporting Services (HRM&A)	Ingram	9001:2015 Clause 8.1	
<p>Audit Evidence:</p> <p>Job description &amp; approved post number from MoFPs. Permission to operate post from MoFPs. Approved organizational structure. Extract HRM Procedure Manual - Recruitment.docx</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Recruitment 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 [ ] and officers [ X ] B. documented information retained by the department [X ] Which is listed in the evidence column of the report.</p>			
<p>Effectiveness:</p>			

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

Audit of: HRM & Admin Supporting Services (HRM&A)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 9.1.1a	Auditees:
<p>Audit Evidence:</p> <p>Divisional, Departmental and Individual workplan HRM procedure manual</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Monitoring, measurement, analysis and evaluation It was determined that the HRM &amp; Admin Supporting Services process was meeting the requirements of HRM Procedure Manual 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.</p>			
<p>Effectiveness:</p>			

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

Audit of: HRM & Admin Supporting Services (HRM&A)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001:2015 Clause 7.4 Communication	Auditees:
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<p>Audit Evidence:</p> <p>Staff meetings and direct engagement.</p>
<p>Evaluation:</p> <p>Based on the evaluation of process step:Communication It was determined that the HRM &amp; Admin Supporting Services 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 evidence column of the report.</p>
<p>Effectiveness:</p>

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

Audit of: HRM & Admin Supporting Services (HRM&A)	Auditor: Rodrick Ingram	Audit Criteria: N/A	Auditees:
<p>Audit Evidence:</p> <p>Six months and annual performance appraisal (PMS).</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Understanding the needs and expectations of interested parties It was determined that the HRM &amp; Admin Supporting Services 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 evidence column of the report.</p>			
<p>Effectiveness:</p>			

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

Audit of: HRM & Admin Supporting Services (HRM&A)	Auditor: Rodrick Ingram	Audit Criteria: N/A	Auditees:
<p>Audit Evidence:</p> <p>Each position has a defined job description and there is also a defined recruitment process</p>			

<p>Evaluation:</p> <p>Based on the evaluation of process step: Determine Organizational Resources It was determined that the HRM &amp; 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.</p>
<p>Effectiveness:</p>

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

Audit of: HRM & Admin Supporting Services (HRM&A)	Auditor: Rodrick Ingram	Audit Criteria: ISO 9001 2015 clause 7.1.1a	Auditees:
<p>Audit Evidence:</p> <p>MOF approved organization structure (permanent and temporary positions).</p>			
<p>Evaluation:</p> <p>Based on the evaluation of process step: Staffing It was determined that the HRM &amp; Admin Supporting Services 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 evidence column of the report.</p>			
<p>Effectiveness:</p>			

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

Audit of: 1 Internal Audit -Exec Mgmt (IAD)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause 8.1.1(a)	Auditees:
<p>Audit Evidence:</p> <p>Strategic Business Plan 2022-2026</p>			
<p>Evaluation:</p> <p>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</p>			

meet the requirements for the provision of products and services.
Effectiveness:

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

Audit of: 1 Internal Audit -Exec Mgmt (IAD)	Auditor: Alexis Gayle	Audit Criteria: ISO 9001 2015 Clause 6.3 Planning for changes	Auditees:
Audit Evidence:			
eGov Jamaica Limited New Classification Schedule Structure - MOFP cover letter - May 4, 2015			
Evaluation:			
I have received and reviewed the eGov Jamaica Limited New Classification Schedule Structure - MOFP cover letter - May 4, 2015 and deemed there is conformance according to the requirement ISO 9001:2015 Clause 6.3 which speaks to the planning of changes and ISO 9001:2015 Clause 8.2.4 which speaks to changes to requirements for products and services.			
Effectiveness:			

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

Audit of: 1 Internal Audit -Exec Mgmt (IAD)	Auditor: Alexis Gayle	Audit Criteria: N/A	Auditees:
Audit Evidence:			
Company Overview of eGov Jamaica Ltd Strategic Business Plan 2022-2026			
Evaluation:			
I have received and reviewed the company overview in eGov's Jamaica Ltd 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 have reviewed the organisation chart and conclude roles are clearly defined and in accordance with the requirements of iso9001:2015 clause 5.3			
Effectiveness:			

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

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

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

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

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

Audit of: 1 Internal Audit -Exec Mgmt	Auditor: Alexis Gayle	Audit Criteria: ISO 9001:2015 Clause	Auditees:
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(IAD)	5.1.2	
<p>Audit Evidence:</p> <p>- eGovJa Customer Experience Steering Committee Terms of Reference (2018) - eGovja Customer Experience Strategy 2021 - CX Success and Challenge - 2021-2022 Results and Analysis of eGovja External Customer Satisfaction Survey - Technical Services Ticket Performance - May 18, 2022 - CESComm Kanban</p>		
<p>Evaluation:</p> <p>I have received and reviewed eGovJa Customer Experience Steering Committee Terms of Reference (2018), eGovja Customer Experience Strategy 2021, CX Success and Challenge, 2021-2022 Results and Analysis of eGovja External Customer Satisfaction Survey, Technical Services Ticket Performance - May 18, 2022, CESComm Kanban which ensure the company embarked on a Customer Experience strategy to achieve a culture of customer centricity. I conclude they conform with the requirements under ISO9001 Clause 5.1.2</p>		
<p>Effectiveness:</p>		

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

Audit of: 1 Security Assessment (SITRM - OSS)	Auditor: Sophia Taylor	Audit Criteria: ISO 9001:2015 Clause 6.1.1(a)	Auditees:
<p>Audit Evidence:</p> <p>The vulnerability tracking sheet 2019</p>			
<p>Evaluation:</p> <p>Based on the findings from the tracking sheet 2019 I can conclude that they do in fact track vulnerabilities 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).</p>			
<p>Effectiveness:</p>			

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

Audit of: 1 Security	Auditor: Sophia	Audit Criteria: ISO	Auditees:
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Assessment (SITRM - OSS)	Taylor	9001:2015 Clause 5.3	
Audit Evidence:			
Job descriptions for all roles provided			
Evaluation:			
Based on the findings from the Job Descriptions which is given to each staff upon entry into the organization according to the requirements of ISO9001:2015 clause 5.3 which states that Top management shall ensure that the responsibilities and authorities for relevant roles are assigned, communicated and understood within the organization.			
Effectiveness:			

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

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

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

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

Risk Assessment Document 2021
<p>Evaluation:</p> <p>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.</p>
Effectiveness:

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

Audit of: 1 Security Assessment (SITRM - OSS)	Auditor: Sophia Taylor	Audit Criteria: ISO 9001:2015 Clause 6.1.1(d)	Auditees:
Audit Evidence:			
Risk Assessment Document 2021			
<p>Evaluation:</p> <p>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.</p>			
Effectiveness:			

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

Audit of: 1 Security Assessment (SITRM - OSS)	Auditor: Sophia Taylor	Audit Criteria: ISO 9001:2015 Clause 6.2.1 (f)	Auditees:
Audit Evidence:			
Operation Support Services Monthly Report December 2021			
Evaluation:			



Based on the findings from the Operation Support Services Monthly Report December 2021 I see where Key performance indicators are tracked on a monthly basis and are captured according to the requirements of ISO9001:2015 clause 6.2.1 (f) which states that The organization shall maintain documented information on the quality objectives.

Effectiveness:

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00008

Non-Conformity Report #: 1	Auditor (s): Sophia Taylor	Date: June 22, 2022
Audit of : 1 Security Assessment (SITRM - OSS)	Audit Criteria: ISO 9001:2015 Clause 5.1.1 (g)	
<p>Statement of Nonconformity:</p> <p>There is a shortage of human resources manage vulnerabilities within the department. Due to the shortage of human resource, the unit can find themselves in a situation of not being able to deliver effectively on requests. Based on the clause: 5.1.1 (g) Top management shall demonstrate leadership and commitment with respect to the quality management system by: e) ensuring that the resources needed for the quality management system are available; 6.3 (d) When the organization determines the need for changes to the quality management system, the changes shall be carried out in a planned manner. The organization shall consider: • The availability of resources.</p>		
Responsible Party: Devon Sterling		
Auditor Signature:		Signature:

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00009

Non-Conformity Report #: 1	Auditor (s): Melville McIntosh	Date: June 22, 2022
Audit of : 2 Client Relationship Management - (CRM PRMD)	Audit Criteria: N/A	
Statement of Nonconformity:		

The mentioned document does not contain the actual steps used to intake proposals and requests into the department. the document is also old and hasn't been updated in six [6] years. It is only a single version which has not been reviewed.

Responsible Party: Bryan Mowatt

Auditor Signature:

Signature:

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00010

Non-Conformity Report #: 2	Auditor (s): Melville McIntosh	Date: June 22, 2022
Audit of : 2 Client Relationship Management - (CRM PRMD)	Audit Criteria: ISO 9001:2015 Clause 7.5.3- Control and Documented Information	
<p>Statement of Nonconformity:</p> <p>Service request forms are not properly documented in the process control document. Not mentioned in the Business and Product Development Processes Documentation</p> <p>Responsible Party: Bryan Mowatt</p>		
Auditor Signature:		Signature: