

Spanish Town Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 7.5.3.1	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>Twenty processed applications done in the period April 2021- July 2021 were examined, all had the relevant supporting document affixed, the following are listed by Taxpayer Name and Vehicle MVID; Hugh Jones 355110, D. Beckford 3689458, R. Holme 9492290, C. Muir 520220, Eric Dixon 724482, R. Silpot 8964310, Johvon Williams 1564651, J. Haughton 9966093, T. Brown 99631, Wisynco Group 9962814, Wisynco Group 9962813, Andersons Commerce Vehicles Ltd 9964427,, N. Simpson 996314, Ms. Tech Solutions Ltd 4626012, K. Minott 6115098, O. Morgan 9746058, S. Burg 7124513, GAIA Construction Co. Ltd 5260048, Alexander Clare 6839404, B. Smith 5769718 & Richard Braham 9793531</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Partial) twenty processed applications were reviewed during the period April 2021 to July, 2021 , all had the relevant supporting documents attached. This was in conformity to SOP 1 where taxpayer submits supporting documents to TSO and with ISO 9001-2015 7.5.32 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.2 (a)	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>Twenty printed titles were selected and examined from batch 2471-2472 printed in June 2021. The signature on each title was compared to the signature listing received from the department, to verify if they had been signed by an authorized officer. All signatures on the forms were verified to be authorized and had the date of application</p>			

affixed, they are listed below by taxpayer name and title number K. Allen 2471883, D. Henry 2471943, G. Hall 2471933, J. Johnson 2471953, O. Maye 2471963, C. Quallo 2471971, K. Rodrigues 2471977, K. Slue 2471979, C. Thompson 2471983, Williams, 2472165, F. Reid 2471972, T. Cameron 2471907, R. Brown 2471902, A. Benson 2471985, T. Anderson 2471887, C. James 2471950, V. Pusey 2471970, K. Rodgers 2471977 and S. Williams 2471992

Evaluation:

During the audit of the Motor Vehicle Transfer (Partial) twenty printed titles were examined for the period April 2021 to July, 2021, the authorized signatures were verified on all Titles examined. This was in conformity with ISO 9001-2015 7.5.1 which states 'the organization's quality management system shall include: documented information determined by the organization as being necessary for the effectiveness of the of the quality management system.

Effectiveness:

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 a	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>Twenty titles out of the batch of titles series 2471883-2472165 with 283 titles was posted against the NMVR advice all were accounted for. The Titles were seen stored in two cabinets in the Senior Taxpayer Service Officer office, accessible to all designated officers. A sign marked 'authorized officers only' was seen attached to the cabinets. Three opened keys were seen on the lock.</p>			
<p>Evaluation:</p> <p>During the audit of the Spanish Town Motor Vehicle Transfer (Partial) twenty titles were selected on August 11, 2021 from a batch of 283 and verified to be stored in a secure location accessible to only designated officers. This was in conformity with ISO 9001-2015 7.5.3.2 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 a	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>Titles for the following taxpayers were selected from the filing cabinet and posted to RAIS. ALL 10 were verified as being uploaded to RAIS, and the signature of the Taxpayer Service Officer doing the upload verified using the Units Specimen Signature Document for authorized officers. Winston Graham, Kerry-Ann Allen, Fitzroy Reid, Allister Benson, Rajay Brown, Herman Williams, Kevin Rodgers, Carl Quallo, Oral Maye and Devon Henry</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Partial) ten Titles were verified as being uploaded to RAIS during the period April 2021 to July 2021. This was in conformity with ISO 9001-2015 7.5.3.2 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 b	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>The Title Dispatch Register was reviewed for the period April 06, 2021 to July 29, 2021. It showed that the Taxpayer name, title #, plate #, ID along with its expiration date, taxpayer signature, along with the signature of the person issuing the Title.</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Partial) twenty Titles issued from the Dispatch Register were reviewed for the period April 2021 to July, 2021 , all had the taxpayer name, title number, plate number, taxpayer name and issuing officer signature recorded. This was in conformity with ISO 9001-2015 7.5.3.2 (b) which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.</p>			

Effectiveness:

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 a	Auditees: Tanya Carson
Audit Evidence: Twenty printed titles were selected for the period May 2021, all had a copy of the MVID affixed			
Evaluation: During the audit of the Motor Vehicle Transfer (Partial) twenty printed Titles were examined for the period April 2021 - July 2021 and all had copy of the MVID affixed. This was in conformity with ISO 9001-2015 7.5.32 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.			
Effectiveness:			

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 a	Auditees: Tanya Carson
Audit Evidence: The Title Dispatch Register for the Period April 2021- July 2021 was examined. The book was not ruled or the columns labelled, making it difficult to review. The following information was seen recorded; Taxpayer Name, Title #, plate #, date entered in register, ID information to include expiration date, taxpayer signature and signature of TSO/TSA dispatch officer			
Evaluation: During the audit of the Motor Vehicle Transfer (Full) for the period April 2021 - July 2021, it was verified that the Title dispatch register had all the pertinent information required. This was in conformity with ISO 9001-2015 7.5.32 which states 'For the			

control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.

Effectiveness:

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.1.3 b	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>Twelve point of sale Machine were verified, of this amount two were not working and were in the possession of the Manager to be return to the Revenue Accounts Unit. However the other ten were being used by the Collection Officers in there daily activities?</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (full) for the period April 2021 to July 2021, twelve Point of Sale machine were examined, two were not working, however the officers were observed using the others to complete there tasks which is in conformity with ISO 9001-2015 7.1.3 b which states ' the organization shall determine and provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. to include equipment hardware and software.</p>			
<p>Effectiveness:</p>			

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Carol Gray	Date: August 31, 2021
Audit of : Application for Motor Vehicle Titles (New, Transfer and Substitute)	Audit Criteria: SOP 8	
<p>Statement of Nonconformity:</p> <p>During the audit of the Motor Vehicle Transfer (Partial) fifteen completed partial transfer Titles were examined for the period April 2021 to July, 2021 and four of the</p>		

fifteen were not uploaded to the Customer Springboard in RAIS. This was NOT in Conformity with SOP 8 which states the Taxpayer Service Officer or Assistant should upload both the front and back of the Motor Vehicle Certificate of title to the Customer Springboard in RAIS.

Responsible Party: Karlene Johnson-Mills

Auditor Signature:	Signature:
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NONCONFORMITY REPORT

Incident Identification Number: 000000.00002

Non-Conformity Report #: 2	Auditor (s): Carol Gray	Date: August 31, 2021
Audit of : Application for Motor Vehicle Titles (New, Transfer and Substitute)	Audit Criteria: ISO 9001:2015 Clause 7.5.2 (a)	

Statement of Nonconformity:

During the audit of the Motor Vehicle Transfer (full) twenty processed applications were reviewed for the period April 2021 to July, 2021 , of the twenty, twelve were found incomplete with missing information. This was Not in Conformity with ISO 9001-2015 7.5.1 which states ' the organization's quality management system shall include: documented information determined by the organization as being necessary for the effectiveness of the quality management system.

Responsible Party: Karlene Johnson-Mills

Auditor Signature:	Signature:
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OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1	Auditor (s): Carol Gray	Date: August 31, 2021
Audit of : Application for Motor Vehicle Titles (New, Transfer and Substitute)	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 a	

Statement of Opportunity:

There is an opportunity for improvement of the process flow chart for the Application for Motor Vehicle Titles by including two separate process flow chart for partial and full motor vehicle transfer as the processes differs for both activities.	
Responsible Party: Karlene Johnson-Mills	
Auditor Signature:	Signature: