

St. Andrew RSC

Scheduled QMS Audit

Internal Audit Report

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: ISO:9001:2015 Clause 4.4.1A	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>An observation was carried out at the Taxpayer Service unit on the 26.11.2021, to ascertain that the taxpayer provided the required documents to process a new motor vehicle registration. It was observed that the taxpayer provided the requisite documents, which includes; 2 completed MVO1 form, invoice, notice of lien 3 copies, insurance, fitness, drivers licence and C87.</p>			
<p>Evaluation:</p> <p>During the audit of the motor vehicle registration (New), it was ascertained that there was conformity to ISO:9001:2015 clause 4.4.1a. Which states that; The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard. The organization shall determine the processes needed for the quality management system and their application throughout the organization, and shall: a) determine the inputs required and the outputs expected from these processes; as it was evident during the audit observation of two (2) transaction on the 26.11.2021, that the required documents was provided to processed the new motor vehicle registration. The process was also in conformance to Motor vehicle registration SOP 9.1.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: Motor Vehicle Registration SOP 7	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>An audit observation was carried out in the Taxpayer Service Section on November 26, 2021, to verify that information was data entered on AMVS from supporting documents provided by the taxpayer. A total of three (3) transactions was observed fulfilling the requirement.</p>			
<p>Evaluation:</p> <p>During the audit of the new motor vehicle registration, an observation was carried out that revealed conformity to the Motor Vehicle Registration (New) SOP 7, which</p>			

states that; ENTERS information into AMVS. Note: After correctly entering all the required information on AMVS, the Motor Vehicle Identification Number (MVID) is generated. This was evident when the taxpayer service officer was seen entering information from supporting documents provided by the taxpayer for three (3) transaction on the 26.11.2021. Which therefore satisfy the requirement to process new motor vehicle registration.

Effectiveness:

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 8.5.1 c	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>In order to validate that information is accurately entered on AMVS. The processing of the two (2) new motor vehicle registration was observed on the 26.11.2021, where the first officer vetted and data entered information from the document provided and passed document to second officer (senior) for confirmation of the transaction. The second officer was seen vetting and matching information from supporting document to AMVS before selecting "confirmed". After selection of confirmed the 2 MVO1forms were stamped and signed and passed on to the collection officer to collect payment.</p>			
<p>Evaluation:</p> <p>During the audit of the new motor vehicle registration, there was conformity to ISO 9001:2015, clause 8.5.1c, which states that the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met; As it was observed on the 26.11.2021 that a senior officer confirmed 2 new motor vehicle registration transaction and stamp and sign the MVO1forms before it is passed on to the collection officer for payment. Hence, satisfying the requirement of the the process. This was also in conformance to the new motor vehicle registration SOP 9.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: SOP 22-26	Auditees: Juliet Burgher
<p>Audit Evidence:</p>			

The Motor Vehicle New Advice listing and the application for motor vehicle title (IT printout) dated October 5, 2021 was selected and examined on November 26, 2021 to validate that all new transaction was accounted for and verified by a supervisor. A total of 16 new vehicle was listed on advice. However, 17 was seen on IT printout. Hence, the advice did not account for 1 taxpayer (Zawdeki Kadeem Wildman). Further investigation revealed the application with supporting documents was taken out of the batch due to a discrepancy. Where first name on the insurance did not match with application. Therefore, it was placed in holding file until the insurance is adjusted. Two signatures (red and blue ink) was seen on the the application for motor vehicle title listing . Hence, validating that a supervisory check was carried out.

Evaluation:

The audit examination of the retained document of the new motor vehicle registration revealed that there was conformity to Motor vehicle title (new vehicle) SOP 22-26 Which states that 1. RECEIVES report with all motor vehicle title applications. 2. CONFIRMS each application received from each batch against report. 3. ASKS Senior Taxpayer Service Officer to cross check. 4. CONFIRMS number of applications received against report. 5. PREPARES prints advice. 6. SENDS batch for printing of new titles to NMVR., This was confirmed when the advice listing and IT printout dated October 5, 2021 was validated that all transaction were accounted for and verified by a supervisor. A total of seventeen (17) transaction was validated an all was in conformance to the requirement.

Effectiveness:

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: ISO:9001:2015 Clause 4.4.1A	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>On December 17, 2021, an observation was carried out to determine whether the correct document was submitted to process a renewal of registration. The observation revealed that the required documents was submitted to process the renewal. The following documents were submitted, valid fitness and insurance with expired registration.</p>			
<p>Evaluation:</p> <p>The audit investigation of the renewal of motor vehicle registration revealed conformity to ISO 9001:2015 clause 4.4.1a Which states that; The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard. The organization shall determine the</p>			

processes needed for the quality management system and their application throughout the organization, and shall: a) determine the inputs required and the outputs expected from these processes; This was evident when it was observed on the 17.12.2021, where the Collections Officer requested from the taxpayer a valid insurance and fitness with expired registration to process the renew certificate of registration for 5 taxpayer. All documents was provided for the renewal.

Effectiveness:

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Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 8.5.1e	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>On the 17.12.2021, it was observed that the Collections Officer Vetted the fitness, insurance and expired registration before beginning the processing of the renewal of registration for five (5) taxpayer. After vetting documents the MVID is entered on INCRS that populate the owner and vehicle information, and the insurance information is entered. The taxpayer payer is then asked how long they want to register for (6 or 12 months) that is selected. The fees then populate.</p>			
<p>Evaluation:</p> <p>During the audit of the process of the renewal of motor vehicle registration it revealed that there was conformity to ISO 9001:2015, clause 8.5.1e. Which states that ;The organization shall implement production and service provision under controlled conditions.Controlled conditions shall include, as applicable:e) the appointment of competent persons, including any required qualification; When it observed on the 17.12.2021, that the collections officer Vet the fitness, insurance and expired registration for five (5) taxpayers in fulfillment of the process requirement, before beginning the processing of the renewal of registration .</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>An audit observation was carried out on the 17.12.2021, to ascertain that expired</p>			

registration was properly stored. it was observed that the triplicate copy of the renewed registration is pasted onto the expired registration is stored in a box under a desk in section and is dispatched monthly to Management Services.

Evaluation:

The audit observation of the storage of expired registration revealed conformity to ISO 9001:2015 Clause 7.5.3.2, which states that; For the control of documented information, the organization shall address the following activities, as applicable: (d) retention and disposition. When it was physically verified on the 17.12.2021 that triplicate copies of renewed registration along with expired registration certificate were stored in box in the back section until dispatched to management service on a monthly basis.

Effectiveness:

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 8.1d	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>An observation was conducted on 17.12.2021 at the collection section to validate that receipt is authenticated before issued to taxpayer at the end of the process of renewing a motor vehicle registration. An it was seen where the collections officer stamped and sign the receipt before issuing it to the taxpayer upon completion of renewal of registration for 5 transactions.</p>			
<p>Evaluation:</p> <p>The audit observation carry out on the 17.12.2021 to verify that receipts are authenticated upon renewal of registration, revealed conformity to ISO9001:2015Clause 8.1 d. Which states that; The organization shall plan, implement and control the processes needed to meet the requirements for the provision of products and services, and to implement the actions determined in clause 6 by: (d) implementing control of the processes in accordance with the criteria: This was evident when it was seen that the collection officer stamped and signed receipt before issuing to taxpayer after the completion of a renewal of registration.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor	Auditor: Tasha	Audit Criteria: ISO	Auditees: Juliet
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Vehicle Registration	Henry	9001:2015 Clause 7.1.3(b)	Burgher
<p>Audit Evidence:</p> <p>An audit inspection was carried out at the collection unit to ascertain that the infrastructure was adequate and operational to processed renewal of motor vehicle registration. Twelve (12) computers and printers was physically verified in the unit and all was functional on the 17.12.2021.</p>			
<p>Evaluation:</p> <p>During the audit of the renewal of motor vehicle registration, the collection unit was inspection on the 17.12.2021 to ascertain that equipment used in the quality management system was functional. The inspection revealed conformity to ISO 9001:2015, clause 7.1.3b. Which states that; The organization shall determine and provide and maintain the infrastructure necessary for operation of its processes and to achieve conformity of products and services. Infrastructure can include: (b) equipment, including hardware and software .The inspection show a total of 12 computers and 12 printers on the 17.12.2021.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: SOP 74-76	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>An audit examination was carried out on 17.12.2021 to ascertained that titles received from NMVR are receipted in the log and accounted for. The examination revealed that 2 bags was received on the 14/12/2021. The log book, advice and a sample of the first 10 title in the series 2529882-2529983 received on the 14/12/2021, was validated and all ten (10) was seen as per NMVR advice.</p>			
<p>Evaluation:</p> <p>The audit examination to validate that titles received from NMVR is logged and accounted for, revealed that there was conformity to Motor vehicle title (new vehicle) SOP 74-76 Which states that 74. RECEIVES sealed batches from Registry. 75. SIGNS log book. Note: If taxpayer requested a reroute of title to another Tax Office, it is taken out and sent to that office. 76. REVIEWS and verifies all printed titles against listing and actual titles. This was evident when the log book, advice dated 14/12/2021 from NMVR and a sample of 10 titles from the series 2529882-2529983 was validated. The titles received from NMVR was seen recorded in the log book. All the samples checked was accounted for on the 17.12.2021.</p>			
<p>Effectiveness:</p>			

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CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 8.6	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>In order to verify that information required and retained for individual collecting titles on behalf of an individual or company. The daily authorization file and the annual bearer (2021) file was examined 17/12/2021. The examination revealed authorization letter for company bearers and individuals who was authorized to collect titles for the year 2021.</p>			
<p>Evaluation:</p> <p>The audit examination carried out to validate that an authorization letter exist for bearers who collects titles on behalf of individual and company. The examination revealed conformity to Motor vehicle title (new) 78-80, which states that 1. VISITS Office with valid ID in order to collect Title. Note: Where a bearer is collecting, a power of attorney is needed, duly stamped by Stamp Duty Office and registered at Records Office along with valid ID or a notarized letter along with valid ID. 2. COLLECTS ID/letter of authorization. 3. RETRIEVES Certificate of Title from secured area 4. LOGS Title from MVTTS and issues to taxpayer. This was was evident when the daily and bearer authorization files for the year 2021 examined and authorization letters was seen for companies and individuals. The examination was carried out on 17/12/2021.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE REGISTRATION

Audit of: Motor Vehicle Registration	Auditor: Tasha Henry	Audit Criteria: SOP 82	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>The M-S dispatched register for the period (19-10-2021 to present) was examined on the 17.12.2021 to verify that all titles collected was signed for. The examination revealed a signature for all collection for the period examined.</p>			
<p>Evaluation:</p> <p>During the audit of the dispatched register to verify that the individual who collected titles signed the register was in conformance to Motor vehicle title New SOP 82 which</p>			

states that RECEIVES and signs for Title. This was evident when the dispatched register M-S was examined on the 17.12.2021 and found that a name exist for all person who collected title for the period 19.10-2021 to present.

Effectiveness:

OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1	Auditor (s): Tasha Henry	Date: November 30, 2021
Audit of : Motor Vehicle Registration	Audit Criteria: N/A	
Statement of Opportunity: There is an opportunity to improve the process of completion of MVO1 forms to ensure that all the required fields such as the MVID number are recorded. Responsible Party: Denise McLean-Powell		
Auditor Signature:		Signature: