

Spanish Town Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.1 b	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview conducted on August 17, 2021 with the Acting Senior Motor Vehicle Titles Officer (SMVTO), it was revealed that titles are received from the Tax Office via the Registry in envelopes and is received by a Senior Motor Vehicle Titles Officer who checks off the number of applications against advice received with applications and place them in a folder in a cabinet for further action. An examination was done on August 17, 2021, on a sample of 5 advice received from the Tax Office between April to June 2021 and signatures were seen on them as evidence applications were checked upon receipt from the Registry.</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that a Senior Motor Vehicle Titles Officer sign for and receive applications delivered via the Registry from the Tax Office for printing, this was in conformance to ISO 9001:2015 7.5.1 b, which states that The organization's quality management system shall include: b) documented information determined by the organization as being necessary for the effectiveness of the quality management system</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 8.5.1 c	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview conducted on August 17, 2021 with acting SMVTO, it was established that a MVTO vets applications for completeness and ensure all supporting documents are attached, after which, the advice to which applications are attached is signed and information logged on to NMVR log. A sample of 10 applications were examined on August 17, 2021 for the period April to June 2021 and all were seen with check marks and were uploaded to NMVR Log</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Title for the period</p>			

April to June 2021, it was established that check marks were seen for a sample of 10 applications selected for examination, this conforms to ISO 9001:2015 8.5.1 c , which states that the organization shall implement production and service provision under controlled conditions. Controlled conditions shall include, as applicable: (c) 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

Effectiveness:

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.1 b	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview with the Acting SMVTO, Audit was told that the Manager, NMVR has responsibility to dispatch blank titles to MVTPO or the function is delegated to a SMVTO if the Manager is unavailable. Examination carried out on the titles stock book on August 17, 2021, for the period April to June 2021 revealed that each time blank titles are dispatched for printing the book is updated with the date titles were dispatched, title series, title control number and the stock book was signed by both the Manager and the MVTPO</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that the Manager issues blank titles to MVTPO for printing and update the titles stock book accordingly, this was in conformance to ISO 9001:2015 7.5.1 b, which states that The organization's quality management system shall include: b) documented information determined by the organization as being necessary for the effectiveness of the quality management system</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.2 a,b	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview conducted with the Acting SMVTO, NMVR on August 17, 2021,</p>			

it was stated that the Unit has 2 Motor Vehicle Title Production Officers who are solely responsible for printing titles and they are the only ones who have access to the printing room during printing, with the exception of the Manager and 2 SMVTO. No printing was being done at the time Audit visited the location. However, one MVTPO was seen in the office as officers are working on rotation due to Covid-19 protocols

Evaluation:

During the audit for the Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that a MVTPO has sole responsibility for the printing of titles, this was in conformance to ISO 9001:2015 7.2 a,b, The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system; b) ensure that these persons are competent on the basis of appropriate education, training, or experience

Effectiveness:

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 7.5.3.2 a & b	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>Examination of the Chubb on August 17, 2021 located in the Manager's office where printed titles are kept revealed that titles are secured during and after working hours. A combination and key is used to gain entry to the Chubb.</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that printed titles are safeguarded in a Chubb in the Manager's office and accessible via the use of a key and combination, this was in conformance to ISO 9001:2015 7.5.3.2 a. b, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use b) storage and presentation</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production	Auditor: Necoya	Audit Criteria: ISO	Auditees: Keresha
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of motor vehicle titles	Thomas	9001:2015 Clause 7.5.3.2 a	King Williams
<p>Audit Evidence:</p> <p>During an interview conducted with Acting SMVTO, NMVR on August 17, 2021, it was revealed that the officers who has access to printed titles are the Manager and 2 SMVTO. They are the ones who knows the combination and has access to the keys for the Chubb</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that they are controls in place to safeguarde printed titles, as only the Manager and Senior Officers has access to keys and combination for the Chubb, this was in conformance to ISO 9001:2015 7.5.3.2 a, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.1 b	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview held with Acting SMVTO on August 17, 2021, Audit was told that only MVTPO has log-in for the printing machine, with the exception of the Manager and Senior Officers who also have logins and access the printer if the need arises</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that only MVTPO has login for the printing machine, with the exception of the Manager and Senior Officers, this was in conformance to ISO 9001:2015 7.5.1 b, which states that The organization's quality management system shall include: b) documented information determined by the organization as being necessary for the effectiveness of the quality management system</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 7.5.3.2 a	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview with Acting SMVTO on August 17, 2021, it was revealed that there are two MVTPO in the National Motor Vehicle Registry and both has their own unique log-in for both the computer and the printing machine. The Manager and Senior Officers also has logins</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that only authorized officers has logins and access to the printing machine and computer, this was in conformance to ISO 9001:2015 7.5.3.2 a, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.2 a,b	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview held with the Acting SMVTO on August 17, 2021, it was stated that staff were formerly trained to use RAiS and continue to receive on the job and formal training as the need arise, in terms of, upgrades to RAiS and any other changes made in the software</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Title for the period April to June 2021, it was established that officers have been receiving both formal and on-the-job RAiS training as the need arise, this was in conformance to ISO 9001:2015 7.2 a,b, The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system; b) ensure that these persons are competent on the basis of appropriate education, training, or experience;</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 Clause 7.1.3 b	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview with the Acting SMVTO on August 17, 2021, it was disclosed to audit that there is a maintenance schedule but machine/equipment are serviced based on it, machine/equipment are serviced as the need arises, that is, IT is immediately called in to rectify any issues with the machine/equipment</p>			
<p>Evaluation:</p> <p>During the audit, Printing of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that machines/equipment are serviced by the IT Unit as the need arise, this was in conformance to ISO 9001:2015, 7.1.3, which states that, the organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. NOTE: Infrastructure can include: b) equipment, including hardware and software</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 7.5.3.2 a	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview with the Acting SMVTO, NMVR, held on August 17, 2021, it was stated that a Title Listing Report and an Advice is printed and dispatched with printed titles to the Spanish Town Tax Office and copies retained for filing. The file was checked and copies of the Title Listing Report and Advice were seen filed for the period April to June 2021.</p>			
<p>Evaluation:</p> <p>During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that printed titles are dispatched with the relevant documentation, i.e, title listing report and advice, this was in conformance to ISO 9001:2015 7.5.3.2 a, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use</p>			

Effectiveness:

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 a	Auditees: Keresha King Williams
Audit Evidence: During an interview with the Acting SMVTO, NMVR held on August 17, 2021, it was stated that the Titles Dispatch Book is kept in the Printing Room and is accessible to MVTPO, Manager and Supervisors. It is written up for printed titles that are being prepared for dispatch. examination carried out the titles dispatch book on August 17, 2021, for the period April to June 2021, showed that for each batch of titles printed and are being dispatched the title series and title control numbers are recorded by the MVTPO in the dispatch book and then handed to the Manager			
Evaluation: During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that the title dispatch book is kept in the MVTPO office and is accessible to MVTPO, Manager and Senior Officers, this was in conformance to ISO 9001:2015 7.5.3.2 a, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use			
Effectiveness:			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.3.2 a.d	Auditees: Keresha King Williams
Audit Evidence: During an interview held with the Acting, SMVTO, NMVR, on August 17, 2021, it was disclosed that the Manager is responsible for vetting and dispatching printed titles or the function is delegated to a SMVTO in the absence of the manager. Examination of the Titles Dispatch Book on August 17, 2021, for the period April to June 2021, showed evidence of checks done for titles that were dispatched.			
Evaluation:			

During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that checks and balances were done in the Titles Dispatch Book for printed titles that were dispatched, this was in conformance to ISO 9001:2015 7.5.3.2 d, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use d) retention and disposition
Effectiveness:

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.3.2 a.d	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview with the Acting SMVTO, NMVR held on August 17, 2021, it was revealed that duplicated or misaligned titles are taken from batch of titles being prepared for dispatch, listed and placed in a cabinet for approved shredding at a later date. An examination was carried out of the cabinet on August 17, 2021 and the titles were seen listed and stored in a small box</p>			
<p>Evaluation:</p> <p>During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that duplicated or misaligned titles are taken from batch, listed and placed in a cabinet for approved shredding at a later date, this was in conformance to ISO 9001:2015 7.5.3.2 d, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use d) retention and disposition</p>			
Effectiveness:			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.3.2 a.d	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>One of 4 Chubbs located in the Manager's office was examined on August 17, 2021 and printed titles were seen placed inside, audit was told that a combination and key is used to open Chubb and is accessible to the Manager and 2 SMVTO which shows</p>			

that printed titles are safeguarded

Evaluation:

During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that printed titles are safeguarded in a Chubb which is accessible through the use of a key and combination, this was in conformance to ISO 9001:2015 7.5.3.2 d, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use d) retention and disposition

Effectiveness:

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.3.2 a.d	Auditees: Keresha King Williams
Audit Evidence:			
During an interview with the Acting SMVTO, NMVR held on August 17, 2021, Audit was told that only the Manager and 2 SMVTO has access to printed titles and they are the only ones with keys and combination to the Chubb which host printed titles			
Evaluation:			
During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that only authorized officers has access to printed titles, prior to them being dispatched, this was in conformance to ISO 9001:2015 7.5.3.2 d, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use d) retention and disposition			
Effectiveness:			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.3.2 a.d	Auditees: Keresha King Williams
Audit Evidence:			
Examination of the Title Dispatch Book was carried out on August 17, 2021 for the period April to June 2021 and it showed that the Manager/Supervisor checks and			

signs all printed titles that are being prepared for dispatched

Evaluation:

During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that the Manager checks titles before they are dispatched, this was in conformance to ISO 9001:2015 7.5.3.2 d, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use d) retention and disposition

Effectiveness:

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.3.2 a.d	Auditees: Keresha King Williams
Audit Evidence:			
Interview with Acting SMVTO, NMVR was held on August 17, 2021, and it was revealed that MVTPO has their own unique log-in for the computer and the printing machine. The Manager, as well as, two Senior Officers also has login and has access to printer			
Evaluation:			
During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that only officers who are authorized to print titles has logins and access to printer, this was in conformance to ISO 9001:2015 7.5.3.2 d, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use d) retention and disposition			
Effectiveness:			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.2 a,b	Auditees: Keresha King Williams
Audit Evidence:			
During an interview with the Acting SMVTO, NMVR that was held on August 17, 2021, Audit was told that staff were trained via on the job training to use NMVR Log			

<p>Evaluation:</p> <p>During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that all officers were knowledgeable on how to use NMVR Log, this was in conformance to ISO 9001:2015 7.2 a,b, The organization shall: a) determine the necessary competence of person(s) doing work under its control that affects the performance and effectiveness of the quality management system; b) ensure that these persons are competent on the basis of appropriate education, training, or experience</p>
<p>Effectiveness:</p>

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Necoya Thomas	Audit Criteria: 7.5.3.2, d	Auditees: Keresha King Williams
<p>Audit Evidence:</p> <p>During an interview with the Acting SMVTO, NMVR on August 17, 2021, audit was told that the Manager has responsibility to contact the Registry when titles are ready for dispatch. The Title Dispatch Book was examined on August 17, 2021 and was examined for the period April to June 2021 where signatures were seen as evidence that a representative from the Registry receives bag containing titles for delivery to the Tax Office</p>			
<p>Evaluation:</p> <p>During the audit for the Bagging and Dispatching of Motor Vehicle Certificate of Titles for the period April to June 2021, it was established that the Manager contacts the Registry for motor vehicle certificate of titles being dispatched, this was in conformance to ISO 9001:2015 7.5.3.2 d, which states that for the control of documented information, the organization shall address the following, activities, as applicable: a) distribution, access, retrieval and use d) retention and disposition</p>			
<p>Effectiveness:</p>			