

# Falmouth Tax Office

## ISO 9001:2015 Quality Management System Audit

### Internal Audit Report

## CONFORMITY REPORTS – REGISTRATION/LICENSING OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration/licensing of Motor Vehicle (New and Transfer)	Auditor: Carol Gray	Audit Criteria: ISO 9001: 2015 Clause 7.5.3.2	Auditees:
<p><b>Audit Evidence:</b></p> <p>The following fifteen MVRC were selected and check for MVRC #, amount, date, receipt # and taxpayer name, all had a copy of the old MVRC glued to it. June 2021- 6136802, \$21,600.00 rec # 17510488- D. Simpson, 6136803 \$10,800.00 A. Bernard rec #17510492, 6136804 \$12,600.00 #17510496 V. Sterling 268309, 6136804 #17510496 \$12,600.00 D. White, 6136809 #17510505 \$6,300.00 - R. Nelson July 2021 6268602 #17788967 \$0 B. Thompson, 6268003 rec # 17788993 \$6,300.00 \$C. Reid, 6268011 # 17788996 \$6,300.00 Kevin Brown, 6268009 # 1778993 \$6,300.00 T. McDermott, August 2021 6268309 #17514548 \$6,300.00 J. Dewar, 6268310 \$12,600.00 #17751455 A. Daley, 6268312 # 17514554 ATL Automobiles \$6,300.00 and 6268316 #17514568 \$6,300.00 Adrian Dennie</p>			
<p><b>Evaluation:</b></p> <p>During the audit of the Falmouth Motor Vehicle Registration Motor Vehicle Registration Certificate processed during the period June 2021 to August 2021 were examined, and it was established that copies of the MVRC are kept in a secure location. 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><b>Effectiveness:</b></p>			

## CONFORMITY REPORTS – REGISTRATION/LICENSING OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration/licensing of Motor Vehicle (New and Transfer)	Auditor: Carol Gray	Audit Criteria: TAJ SOP 6	Auditees:
<p><b>Audit Evidence:</b></p> <p>An observation of the Qlogic System was conducted on September 10, 2021 between the hours of 11pm and 12pm. Approximately twelve taxpayers were allowed in the Tax Office by the Security Guard who advised them to to a TSO who enquired what business they were conducting, their documents were vetted before they were</p>			

issued a number from the Qlogic system. The taxpayers were then advised to sit in the Banking Hall area and listen to hear their number being called. The Qlogic System appeared to be working efficiently as taxpayers were seated while waiting for their number to be called and then directed to either a Collection or Taxpayer Service Officer on the ground floor.

Evaluation:

During the audit of the Falmouth Tax Office Motor Vehicle Registration(Renewal) twelve taxpayers were observed using the Qlogic system on September 10, 2021, this was in conformity with SOP 6 which states that the Taxpayer Service Officer/Assistant issues Qlogic number to taxpayer if applicable.

Effectiveness:

## CONFORMITY REPORTS – REGISTRATION/LICENSING OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration/licensing of Motor Vehicle (New and Transfer)	Auditor: Carol Gray	Audit Criteria: TAJ SOP 17	Auditees:
<p>Audit Evidence:</p> <p>Ten filed Motor Vehicle Registration Certificates(MVRC) were selected and check for MVRC #, amount, date, receipt # and taxpayer name, all had a copy of the old MVRC glued to it. June 2021- 6136802, \$21,600.00 rec # 17510488- D. Simpson, 6136803 \$10,800.00 A. Bernard rec #17510492, 6136804 \$12,600.00 #17510496 V. Sterling 268309, 6136804 #17510496 \$12,600.00 D. White, 6136809 #17510505 \$6,300.00 - R. Nelson July 2021 6268602 #17788967 \$0 B. Kevin Brown, 6268009 # 1778993 \$6,300.00 T. McDermott, August 2021 6268309 #17514548 \$6,300.00 J. Dewar, 6268310 \$12,600.00 #17751455 A. Daley, 6268312 # 17514554 ATL Automobiles \$6,300.00 and 6268316 #17514568 \$6,300.00 Adrian Dennie</p>			
<p>Evaluation:</p> <p>During the audit of the Falmouth Motor Vehicle Registration audit ten Motor Vehicle Registration Certificate processed during the period June 2021 to August 2021 were examined, and it was established that copies of the MVRC are kept in a secure location. This was in conformity with SOP 17 which states Taxpayer receives registration pates and certificates, license disc receipted(stamped and signed) along with other documents.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – REGISTRATION/LICENSING OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration/licensing of Motor Vehicle (New and Transfer)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 clause 7.3 (a-d)	Auditees:
<p>Audit Evidence:</p> <p>Taxpayer service Manager W. Williams, Senior Taxpayer Officer F. Riley along with Taxpayer Service Officer M/ Davey, C. Blake and C. Thomas were interviewed and all five stated they were aware of the Units Standard Operating Procedure and produced a copy of the SOP at the request of the audit.</p>			
<p>Evaluation:</p> <p>During the audit of the Falmouth Tax Office, Motor Vehicle Registration walkthrough and interview was conducted on September 16, 2021 with five staff members, who all reported that they were aware of the Units Standard Operating Process(SOP) and did possess a copy of it. It was established that the process was in conformity with ISO 9001-2015 7.3 which states 'The organization shall ensure that persons doing work under the organization's control are aware of: (a) the quality policy (b ) relevant quality objectives; their contribution to the effectiveness of the quality management system, including the benefits of improved performance</p>			
<p>Effectiveness:</p>			