

# St. Andrew RSC

## Scheduled QMS Audit

### Internal Audit Report

## CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Daley	Audit Criteria: SOP 9.2(10)	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>A sample of fifteen F7 forms for the period Aug.2021 to Nov. 16,2021 were selected and the information traced to RAIS. The renewal of licences work items were created in RAIS and the work items closed for all licences delivered.</p>			
<p>Evaluation:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) for the period Aug. 2021 to Nov. 16,2021 a work item was created in RAIS for the fifteen applications (F7 forms) selected and examined this is in conformance with SOP section 9.2(10) which states that taxpayer Service Officer Creates work item "Driver's licence drop off/pickup" in RAIS and inserts all relevant information in fields and save.</p>			
<p>Effectiveness:</p>			

## CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Daley	Audit Criteria: SOP 9.2 (7)	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) for the period Aug.2021 to Nov.16,2021 a sample of fifteen applications were examined. It was observed that two fields were added to the new application form one at #7 for telephone number and one at # 8 for email address. Sections (1-18) of the sample examined were properly completed by the taxpayer</p>			
<p>Evaluation:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) of the sample of 15 F7 forms selected for the period Aug.2021 to Nov.16,2021 section 1-18 were properly completed by the taxpayer this was in conformance with SOP section 9.2(7) which states that taxpayer Service Officer vets application form to ensure that it is properly completed and signed</p>			

Effectiveness:

## CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Daley	Audit Criteria: SOP 9.1(54)	Auditees: Juliet Burgher
Audit Evidence:  During the audit of Application and Production of Drivers Licence (Renewa) for the period Aug.2021 to Nov.16,2021 fifteen F7 forms were examined and the taxpayer signature was recorded on all fifteen as evidence of collection of Drivers Licence.			
Evaluation:  During the audit of Application and Production of Drivers Licence (Renewal) for the period Aug.2021 to Nov.16,2021 of the sample of fifteen F7 forms examined the applicant name, signature and date of collection was recorded in the designated section at the bottom of all the forms this was in conformance with SOP section 9.1(54) which states TSA 54. ASKS applicant to write name, signature and date in the designated section at the bottom of form or in the designated logbook as applicable.			
Effectiveness:			

## CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Daley	Audit Criteria: ISO 9001:2015 Clause 7.1.3(b)	Auditees: Juliet Burgher
Audit Evidence:  During the audit of Application and Production of Drivers Licence (Renewal for the period Aug.2021 to Nov.16,2021 it was determined that the unit had the required equipment resources and they were all operating.			
Evaluation:  During the audit of Application and Production of Drivers Licence (Renewal) for the period Aug.2021 to Nov. 16,2021 the equipment examined were in proper working condition. This is in conformance with ISO clause 7.1.3 which states The organization			

shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. N/B Infrastructure can include: (b)equipment....

Effectiveness:

## CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Daley	Audit Criteria: SOP 9.1(3-4)	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>"A sample of fifteen (15) motor vehicle application (F7) forms for New Driver's licences processed during the period August 2021 to Nov.18,2021 was selected to verify that certificate of competence were attached. Verification reveals that all fifteen applications had a valid certificate of competence attached. Competences were signed and dated and the Island Traffic Authority stamp was affixed. "</p>			
<p>Evaluation:</p> <p>During the audit of application for New drivers licence for the period August 2021 to Nov.18, 2021 certificates of competence were attached to the F7 forms submitted. This is in conformance with section 9.1 (3-4) of the SOP which state that the "TSA asks taxpayer to provide identification and other relevant information to locate Certificate of Competence" if competence is not found the taxpayer is advise to contact the Examination Depot.</p>			
<p>Effectiveness:</p>			

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Sherine Daley	Date: November 30, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: SOP 9.1 section 28	
<p>Statement of Nonconformity:</p> <p>"During the audit of Application and Production of Drivers Licence (Renewal)' it was</p>		

established that the "For Official Use" section of three of the F7 forms examined for the period August 2021 to Nov.16, 2021 were not properly completed as the type of application being done was not noted this is contrary to SOP 9.1 section 28 which states that the Taxpayer Service Officer should complete the "For Official Use" section of the form. "

Responsible Party: Denise McLean-Powell

Auditor Signature:

Signature:

## NONCONFORMITY REPORT

Incident Identification Number: 000000.00002

Non-Conformity Report #: 2	Auditor (s): Sherine Daley	Date: November 30, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: ISO 9001:2015 clause 8.5.6	

Statement of Nonconformity:

During the audit of Application and Production of Drivers Licence (Renewal) for the period August 2021 to Nov.16, 2021 it was established that changes was made to the record maintained noting spoilage of Teslin used. The record noting spoilage of Teslins was examined on Nov. 17,2021 and the following was observed : Spoilage; Aug.2021= fourteen, Sept.2021 =nil, Oct.2021 =fifty-one however another review of the record on Nov. 24,2021 revealed that this record was no longer in the book. New information was recorded which included spoilage of eleven Teslins for the month of Sept.2021 which was not in the record which was previously audited. This was not in accordance to ISO 9001:2015 Clause 7.5.3.1 which states that Documented information required by the quality management system shall be controlled to ensure it is adequately protected" and ISO 9001:2015 clause 8.7.2 which states the organization shall retain documented information that describes the non-conformity.....".

Responsible Party: Denise McLean-Powell

Auditor Signature:

Signature:

## OPPORTUNITY REPORT

Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): Sherine Daley	Date: November 30, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: N/A	
<p>Statement of Opportunity:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal)' for the period August 2021 to Nov. 16,2021 it was determined that there is an opportunity to improve the SOP to include the generating and printing of the QA report as this step (although not seen done consistently) is carried out in the process.</p>		
Responsible Party: Denise McLean-Powell		
Auditor Signature:		Signature:

<p align="center"><b>OPPORTUNITY REPORT</b></p> <p align="center">Incident Identification Number: 000000.00002</p>		
Opportunity Report #: 2	Auditor (s): Sherine Daley	Date: November 30, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: N/A	
<p>Statement of Opportunity:</p> <p>There is an Opportunity for improvement of the SOP to include the drop box procedure as this was not included in the SOP received.</p>		
Responsible Party: Denise McLean-Powell		
Auditor Signature:		Signature:

<p align="center"><b>OPPORTUNITY REPORT</b></p> <p align="center">Incident Identification Number: 000000.00003</p>		
Opportunity Report #: 3	Auditor (s): Sherine Daley	Date: November 30, 2021
Audit of : Driver's Licence Application and Production (New and	Audit Criteria: N/A	

Renewal)		
<p>Statement of Opportunity:</p> <p>There is an Opportunity for improvement of the SOP to include the drop box procedure as this was not outline in the procedure received.</p> <p>Responsible Party: Denise McLean-Powell</p>		
Auditor Signature:		Signature: