

St. Andrew RSC

Scheduled QMS Audit

Internal Audit Report

CONFORMITY REPORTS – MOTOR VEHICLE TRANSFER

Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO:9001:2015 Clause 4.4.1A	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>On November 29, 2021, an observation was carried out to ascertain whether the correct documents were submitted to process a partial transfer. The following documents were seen submitted by the taxpayer for the processing of Five (5) partial transfer: A certificate of title with section 1 completed along with valid fitness and registration, a no further interest was seen for a taxpayer who had a vehicle with concession.</p>			
<p>Evaluation:</p> <p>During the audit of the partial transfer of title process, it was determined 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 upon observation of the process for five (5) partial transfer. Where the taxpayer submitted all the required document as prescribed by the standard.</p>			
<p>Effectiveness:</p>			

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Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>An examination was carried out to verify the documents retained during a partial transfer. On the 17.12.2021 a sample of 15 partial transfer processed on 01.12.2021 was selected and examined. The MVO1 form and discharge of lien certificate was seen retained for the following MVID # and plate; 7938280, 09110131, 06900647, 08224406, 9125 IN, 3956HW, 07209248, 06734200, 7938280, 08653569, 6410351, 08389330, 7630642, 07540928, 06361242, 07407283, 06701583, 06461050 to be sent to NMVR as per requirement.</p>			
<p>Evaluation:</p>			

During the audit of the retained documents for partial transfer of title process, there was 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: a) distribution, access, retrieval and use; b) storage and preservation, including preservation of legibility; c) control of changes (e.g. version control); d) retention and disposition. This was evident when the partial transfers processed on 01.12.2021 was examined and found that the MVO1 and lien certificate was retained to be sent to NMVR as per the requirement.

Effectiveness:

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Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 8.1e	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>A sample of 15 Section 1 transactions was selected from the Section 1 book dated October 6, 2021, to verified that the title and identification of the taxpayer was uploaded to RAIS. The first 15 partial transfer was selected and verified on RAIS that stamped title and id was uploaded to RAIS on 29.11.2021 . All attachment was seen</p>			
<p>Evaluation:</p> <p>During the audit a verification was carried via RAIS to determined that all partial transfer title and id of the taxpayer was uplaoded. The verification revealed that there was conformity to ISO:9001-2015:clause 8.1E, 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 by: e) determining, maintaining and retaining documented information to the extent necessary. As well as Motor Vehicle Transfer SOP 28. This was evident when RAIS was checked on the 29.11.2021 from a sample of 15 selected from the section 1 book for partial transfer processed on 06.10.2021. All uploads was seen.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE TRANSFER

Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO:9001:2015 Clause 4.4.1A	Auditees: Juliet Burgher
<p>Audit Evidence:</p>			

On November 29, 2021, between the hours of 10 - 11, an observation was carried out on two (2) full transfer of title to ascertain that the correct documents were submitted to process a full transfer by the taxpayer. The following documents were seen submitted by the taxpayer, a valid registration, fitness and ID for the transferor, valid insurance for the transferee and title with completed section 1, as required.

Evaluation:

During the audit of the full transfer of title process, it was determined 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 upon observation of the process for two (2) full transfer. Where the taxpayer submitted all the required document as prescribed by the standard.

Effectiveness:

CONFORMITY REPORTS – MOTOR VEHICLE TRANSFER

Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 8.5.1 c	Auditees: Juliet Burgher
Audit Evidence: In order to verify that application forms (MV01) are vetted before processing. An audit observation was carried out on the processing of two (2) full transfer was on 29.11.2021. The documents were seen vetted by the Taxpayer Service Officer, by verifying that section 1 and 2 of the title was duly completed, the fitness and MVRC and insurance was valid. The supporting document was also validated by entering the MVID # on AMVS and the supporting document was matched against the system for accuracy as required.			
Evaluation: During the examination of the full transfer of title process. There was conformity to ISO:9001-2015:8.5.1c, 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; This was evident , as during the observation process of two (2) full transfer, It was seen where			

the taxpayer service officer vetted application forms submitted by taxpayer before processing a full transfer.

Effectiveness:

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Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO:9001:2015 Clause 7.5.3.2b & d	Auditees: Juliet Burgher
Audit Evidence: On November 29, 2021, a physical inspection was carried out within the title room to verify the area where titles are stored when received from NMVR. During the inspection titles was seen in stored in various cabinet in labelled folders. The older titles were stored in folders on shelf.			
Evaluation: During the audit, it was observed that their was conformity to ISO 9001:2015, clause 7.5.3.2 (b) and (d) ; which states that For the control of documented information, the organization shall address the following activities, as applicable: (b) Storage and preservation, including preservation of legality; (d) retention and disposition, when the title room was physically inspected and verify that titles received from NMVR are stored in cabinets, they are filed and place in labelled folders.			
Effectiveness:			

CONFORMITY REPORTS – MOTOR VEHICLE TRANSFER

Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO:9001:2015 Clause 7.5.3.2b & d	Auditees: Juliet Burgher
Audit Evidence: The dispatched register was examined on the 26/11/2021, for the period August 2021 to present. To verify that the registered is being properly maintained. The following section was seen filled out Title #, title owners name, person collecting title and signature of officer dispatching title, as per requirement.			
Evaluation: During the audit, there was conformity to ISO 9001:2015, clause 7.5.3.2 (b) and (d) Which states that; For the control of documented information, the organization shall address the following activities, as applicable: (b) Storage and preservation, including			

preservation of legality; (d) retention and disposition, when the dispatched register was examined and found that all the particulars was seen filled out for titles dispatched for the period August 26.11.2021 to present.

Effectiveness:

CONFORMITY REPORTS – MOTOR VEHICLE TRANSFER

Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 7.1.3(b)	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>An observation was carried out on 29.11.2021 to ascertain that there were sufficient resources to manage the quality management system. The observation revealed that the MVID could not be endorsed at 1 taxpayer service station. The MVID # was still generated and was written in the slot provided on the MVO1. Hence, the one (1) dysfunctional endorser did not affect the quality management system as all the endorser at the other four (4) stations was fully functional.</p>			
<p>Evaluation:</p> <p>The audit observation carried out to verify that sufficient resources exist to manage the quality management system revealed conformity to ISO:9001:2015:7.1.3b, 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; as prescribed by the requirement. When it was observed on the 29.11.2021 that one (1) dysfunctional endorser did affect the operation of the quality management system as all other endorser was functional and the MVID # number was generated and could be written on the MVO1 form instead of endorsed.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – MOTOR VEHICLE TRANSFER

Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO 9001:2015 Clause 8.5.2	Auditees: Juliet Burgher
<p>Audit Evidence:</p> <p>In order to verify that documents submitted for partial transfer are vetted before processing. Five (5) partial transfer was observed on 29.11.2021. The documents were vetted by the Taxpayer Service Officer, to validate that section 1 of the title was</p>			

duly completed, the fitness and MVRC was valid. The supporting document was also validated by entering the MVID # on AMVS and the supporting document was matched against the system for accuracy as required.

Evaluation:

During the examination of the partial transfer of title process. There was conformity to ISO:9001-2015:8.5.1c, which states that ISO 9001:2015 clause 8.5.1c; 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; This was evident , as during the observation process of five (5) partial transfer, the taxpayer submitted all the required document. This includes valid fitness and registration, completed section 1 of title and a valid ID.

Effectiveness:

CONFORMITY REPORTS – MOTOR VEHICLE TRANSFER

Audit of: Motor Vehicle Transfer	Auditor: Tasha Henry	Audit Criteria: ISO:9001:2015 Clause 8.2.3.1	Auditees: Juliet Burgher
Audit Evidence:			
An audit examination was carried out 17.12.2021 to verify that an MVID exist on printed titles. Ten (10) titles was selected from the series 2529882-2529983 and the MVID # was verified as per requirement. The following MVID # was seen on title; 09140142, 10104830, 10104660, 09097844, 10104410, 09140181, 09386368, 07405389, 10104620, 05505736			
Evaluation:			
During the verification of the MVID # on motor vehicle title, there was conformity to ISO 9001-2015- 8.2.3.1, which states that The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The Organization shall conduct a review before committing to supply products and services to customer, to include: (b) requirements not stated by the customer, but necessary for the specified or intended use, when known; (c) requirements specified by the organization; statutory and regulatory requirements applicable to the products and services. This was verified when the MVID # was seen on 10 titles as per requirement.			
Effectiveness:			

OPPORTUNITY REPORT		
Incident Identification Number: 000000.00001		
Opportunity Report #: 1	Auditor (s): Tasha Henry	Date: November 30, 2021
Audit of : Motor Vehicle Transfer	Audit Criteria: N/A	
<p>Statement of Opportunity:</p> <p>There is an opportunity for improvement of the SOP to include the "section 1 log book" as it forms a part of the documentation for partial transfers and it was being consistently used in the process.</p> <p>Responsible Party: Denise McLean-Powell</p>		
Auditor Signature:		Signature: