

Falmouth Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

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| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: TAJ SOP 2 | Auditees: |
| <p>Audit Evidence:</p> <p>A sample of ten (10) MVO1 applications processed during the period July 12, 2021 to August 08, 2021 were reviewed, as all sections were accurately completed. The forms examined included the following L. Davis 0581JY, A. Bailey 0588 JY, E. Dyer 0592 JY, N. Burnett 0596 JY, R. Johnson 0637 JY, S. Henriques 0636 JY, A. Aldridge 0639 JY, D. Lewis 0640 JY, F. Reid 0642 JY & T. Shirley 0575 JY</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Falmouth Tax Office Motor Vehicle Transfer ten applications processed during the period July 2021 to August 2021 were examined, all were accurately completed with no missing information. This was in conformity with SOP 2 which states states ' Taxpayer Service Officer receives and vets documents for accuracy and completeness.</p> | | | |
| <p>Effectiveness:</p> | | | |

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

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| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: ISO 9001: 2015 7.5.3.1 | Auditees: |
| <p>Audit Evidence:</p> <p>Ten titles from batch # 183-185 received on August 16, 2021 were examined at NMVR and all had the following supporting documents attached Insurance, MVOI, Fitness, Taxpayer ID, Registration and police letter where applicable. The batch included the following 10 titles Camielle Tulloch 7424JY, T. Henclewood 5581JM; A. Aldridge 0639JY, T. Williams 7433JY, D. Johnson 7436 JY, B. Billings 7432 JY, R. Aderson 1773GJ, D. Hall 7439 JY, C. Moulton 7438 JY & J. Howletle 4897 FY</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Falmouth Motor Vehicle Transfer ten processed applications were reviewed at National Motor Vehicle Registry for the period June 2021 - August</p> | | | |

2021. It was established that supporting documents were received from the Falmouth Tax office along with the application form on advice batches. This was in conformity with ISO 9001-2015 7.5.3.1 which states 'Documented information, of documented information required by the quality management system and by this International Standard shall be controlled to ensure: it is available and suitable for use where and when it is needed.

Effectiveness:

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| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: TAJ SOP 27 | Auditees: |
| <p>Audit Evidence:</p> <p>Ten titles for full transfer were selected and checked on RAIS, all A sample of 10 uploaded titles were verified using RAIS, a copy of the title along with copy of identification used was verified for the following taxpayer: A. Street 1715314, R. Grey 2330216, d. Onfroy 2476851, J. Jackson 2006339, C. Smith 2147120, G. Leslie 2421909, L. Green 2374763, W. Beswick 2389623, W. Evans 2169099 & J. Bailey 2052949</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Falmouth Motor Vehicle Transfer (Full) ten titles uploaded to RAIS during the period June 2021 to August 2021 were verified. This was in conformity with SOP 27 which states that the Taxpayer Service Officer or Manager uploads front and rear of the Motor Vehicle Certificate of Title and valid identification card to the Customer Springboard on RAIS.</p> | | | |
| Effectiveness: | | | |

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| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: TAJ SOP 17-24 | Auditees: |
| Audit Evidence: | | | |

On September 11, 2021, Taxpayer Service Officer M. Davie was observed vetting the documents received from six taxpayer on RAIS, AMVS and Asycuda before processing there documents, the transactions being processed included application for TRN (4 applicants) 1 Purchase of New M/vehicle and one partial transfer of motor vehicle

Evaluation:

During the audit of the Falmouth Motor Vehicle Transfer (Full) on September 11, 2021 a Taxpayer Service Officer (M. Davie) was observed processing the application for six taxpayers. All documents were verified on RAIS, Asycuda or AMVS before they were processed. This was in conformity with SOP 17-24 which states the Taxpayer Service Officer vets all documents submitted throughout the the processchecks database to verify license plate, checks supporting documents for authenticity against Customs ASYCUDA, Input information on RAIS, Input Lien information on AMVS.

Effectiveness:

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| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: ISO 9001 2015 7.5.1 | Auditees: |
| <p>Audit Evidence:</p> <p>Twenty titles were selected from a batch 2451008-2493345 examined and the signatures on them compared to the signature listing received from the department. All signatures on the forms were verified to be authorized and had the date of application affixed.</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Partial) twenty processed applications were reviewed during the period April to July, 2021 ,the authorized signatures along with the name and date of check was seen on all applications reviewed. This was in conformity with ISO 9001-2015 7.5.1 which states ' the organization's quality management system shall include: documented information determined by the organization as being necessary for the effectiveness of the of the quality management system.</p> | | | |
| <p>Effectiveness:</p> | | | |

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| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: ISO 9001: 2015 7.5.3.2 | Auditees: |
| <p>Audit Evidence:</p> <p>The printed titles were seen stored in a closed cabinet in the Manager's office, accessible to the Manager, Supervisor, and a Senior TSO. The cabinet was tested and was closed, the cabinet was only opened by the Manager when a TSO came to him with document to substantiate that a taxpayer was their to collect his/her title.</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer twenty processed applications were reviewed during the period April to July, 2021 , all had the relevant supporting documents attached. 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>Effectiveness:</p> | | | |

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|---|---------------------|--|-----------|
| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: ISO 9001: 2015 7.5.3.2 | Auditees: |
| <p>Audit Evidence:</p> <p>The printed titles were seen stored in a closed cabinet in the Manager's office, accessible to the Manager, Supervisor, and a Senior TSO. The cabinet was tested and was closed, the cabinet was only opened by the Manager when a TSO came to him with document to substantiate that a taxpayer was their to collect his/her title.</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Falmouth Tax Office Motor Vehicle Transfer twenty processed applications were reviewed during the period April to July, 2021 , all had the relevant supporting documents attached. 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>Effectiveness:</p> | | | |

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| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: TAJ SOP 27 | Auditees: |
| <p>Audit Evidence:</p> <p>The Taxpayer Registration Number for the following nine taxpayers who had done partial transfers were posted to RAIS and the title was verified as being uploaded,. The name of the officer who did the upload was verified using the Specimen Signature Document. Kerry-Ann Allen 2471883; Fitzroy Reid 2471972; Allister Benson 2471985; Rajay Brown 2471902; Herman Williams 2472165; Kevin Rodgers 2471971; Carl Quallo 2471971; Oral Maye 2471963; Devon Henry 2471943;</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Falmouth Tax Office Motor Vehicle Transfer the Partial Register was reviewed and ten titles selected at random from the period JUNE to August 2021, then posted to RAIS, all were verified which is in conformity with SOP 27 which states Taxpayer Service Officer uploads the front and back of the Motor Vehicle Title along with identification card to Customer Springboard in RAIS .</p> | | | |
| <p>Effectiveness:</p> | | | |

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

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|--|---------------------|--|-----------|
| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: ISO 9001: 2015 7.5.3.2 | Auditees: |
| <p>Audit Evidence:</p> <p>The Title Dispatch Register for the Period June 2021 - August 2021 was examined. The book was ruled all columns labelled, making it easy to review. The following information was seen recorded; Taxpayer Name, Title #, plate #, date entered in register, ID information to include expiration date, taxpayer signature and signature of TSO/TSA dispatch officer. The following titles were seen dispatch O. Williams 2322244, L. Pottinger 2439361, L. McFarlane 2220460, O. Warren 2459127, L. Greaves 2469104, B. Brown 2378849, J. French 2470353, W. Sutherland 2471326,</p> | | | |

M. Panton 2101916, & S. Barrett 2464247

Evaluation:

During the audit of the Falmouth Tax Office Motor Vehicle Transfer ten titles issued from the Dispatch Register were reviewed during the period June to September 2021, all had the taxpayer name, title number, plate number, taxpayer name and issuing officer signature recorded. This was in conformity with ISO 9001-2015 7.5.32 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.

Effectiveness:

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|---|---------------------|--|-----------|
| Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute) | Auditor: Carol Gray | Audit Criteria: ISO 9001: 2015 7.5.3.2 | Auditees: |
| Audit Evidence: | | | |
| Ten printed Motor Vehicle titles from the series 2451008-2493345 were examined on September 11, 2021 and to verify if the MVID was affixed, the MVID was seen printed on all ten as listed below as listed F. Ellis 09923640, RACC Motor World 06633353, Yonnnngyili 0993645, V. Merchant 2491346, D. Dawkins 2491339, L. Tulloch 2479925, W. Wilson 2469120, C. Williams 2492307, F. Ellis 2493345 & R. Foster 2491341 | | | |
| Evaluation: | | | |
| During the audit of the Falmouth Tax Office Motor Vehicle Transfer (full) ten printed Titles were examined for the period June 2021-August 2021, all had Motor Vehicle Identification number printed on the Title on the second row. This is in conformity with ISO 9001-2015 7.5.32 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'. | | | |
| Effectiveness: | | | |

CONFORMITY REPORTS – APPLICATION FOR MOTOR VEHICLE TITLES (NEW, TRANSFER AND SUBSTITUTE)

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| Audit of: Application for Motor Vehicle | Auditor: Carol Gray | Audit Criteria: ISO 9001 2015: 7.3 | Auditees: |
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| Titles (New, Transfer and Substitute) | | | |
| <p>Audit Evidence:</p> <p>Five staff members were interviewed and all reported that they were aware of the Units Standard Operating Procedure, which had been sent to them e-mail. All 5 showed copies on their desktop computer</p> | | | |
| <p>Evaluation:</p> <p>During the audit of the Falmouth Tax Office, Motor Vehicle Transfer for the period June 2021 to August 2021 a walkthrough and interview was conducted with five staff members, who all reported that they were aware of the Quality Management Document 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> | | | |