

Falmouth 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: Carol Gray	Audit Criteria: ISO 9001: 2015 7.5.1 b	Auditees:
<p>Audit Evidence:</p> <p>Applications received on August 08, 2021 were selected for review. The Audit observed the MVTO retrieving the batch in a stapled envelope in a closed cabinet. The envelope was opened and the following ten applications were verified by taxpayer name and motor vehicle plate number; C. Tulloch 7424JV, L Roberts 7431JY, T. Henclewood 5581JM, T. Gayle 2512974, D. Hall 7439JY, D. Hall 7439JY, C. Moulton 7438 JY, J. Howlette 4897 FL, A. Aldridge 0639 JY & T. Williams 7433 JY.</p>			
<p>Evaluation:</p> <p>During the audit for the Falmouth Tax Office Printing of Motor Vehicle Certificate of Titles for the period June 2021 to August 2021 , it was established that Senior Motor Vehicle Title Officer sign and receive, logs applications received 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: Carol Gray	Audit Criteria: ISO 9001: 2015 7.5.3.2	Auditees:
<p>Audit Evidence:</p> <p>Three Chubb Cabinet closed by both combination and a key were observed in the Managers Office on September 17, 2021. The Senior Supervisor Opened the Chubb in the presence of the audit and the following blank Titles were verified in the cabinet: 002496904 - 002497043; 002497044 - 0002497021 & 0002497202 - 0002497267</p>			
<p>Evaluation:</p> <p>During the audit for the Printing of Motor Vehicle Certificate of Title for the period June 2021 to August 2021, it was established that blank Motor Vehicle Titles were securely stored in a Chubb Cabinet accessible to only authorized officers this conforms to ISO 9001:2015 7.5.3.2 b, which states for the control of documented</p>			

information, the organization shall address the following activities as applicable; storage and preservation, including preservation of legibility.

Effectiveness:

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Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 7.5.1(b)	Auditees:
Audit Evidence: The Titles Stock Book was examined on September 17, 2021 and it showed signatory evidence that that the following batch of Titles were issued to the MVTPO during the following period June 24, 2021 series 2478331- 2479360, June 29, 2021 2479361 - 2480308, July 09, 2021 2483578 - 2484954, July 12, 2021 2484553 - 2485990, August 10, 2021 2491976 - 2492828 & August 18, 2021 2492918 - 2493936			
Evaluation: "During the audit for the Falmouth Tax Office Printing of Motor Vehicle Certificate of Titles for the period June 2021 to August 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 "			
Effectiveness:			

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Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001: 2015 7.5.3.1	Auditees:
Audit Evidence: The Dispatch Register was reviewed and the signature of the manager/supervisor was seen inputted along with date on each page of the Register. The Control number was also seen written in red ink. On July 01, 2021 the control number for batch number 998 was seen in the register 1490331 -1491328, on June 30, 2021 the control number for batch #1031 was verified series 1489264-1490293			
Evaluation:			

During the audit of the Falmouth Tax Office Printing of Motor Vehicle Certificate of Titles for the period June 2021 to August 2021, it was established that the Manager/Supervisor recorded the Control Number for each printed titles in the Dispatch Book, this was in conformance to ISO 9001:2015 7.5.3.1 which states documented information required by the quality management system and by this International Standard shall be controlled to ensure: a) it is available and suitable for use, where and when it is needed "

Effectiveness:

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Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001 2015 7.2.A & B	Auditees:
<p>Audit Evidence:</p> <p>Both Motor Vehicle Title Production Officer were at work on September 17, 2021, the day of the audit inspection. the Audit observed the MVTPO requesting and receiving a batch of blank motor vehicle titles from the Senior Motor Vehicle Tittle Printing Officer. The printing process was observed, the printing officer used her log in to gain access to the system, where she generated ranges according to Tax Office request, the printer was then loaded with blank titles and the printing was done. Titles were printed for eighteen tax offices, blank titles series 0002497339 -0002497362 was used to print titles for the Falmouth Tax Office</p>			
<p>Evaluation:</p> <p>During the audit for the Falmouth Tax Office Printing of Motor Vehicle Certificate of Titles for the period June 2021 to August , 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"</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – PRODUCTION OF MOTOR VEHICLE TITLES

Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001: 2015 7.5.3.2	Auditees:
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<p>Audit Evidence:</p> <p>On September 17, 2021 an examination of the Chubb Vault located in the Manager's office where printed titles are kept was done. It was evidenced that the titles are secured during and after working hours. A combination and key is used to gain entry to the Chubb accessible to only the Manager and the Senior Officer</p>
<p>Evaluation:</p> <p>During the audit for the Falmouth Tax Office Printing of Motor Vehicle Certificate of Titles for the period June 2021 to August 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, 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>

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Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001: 2015 7.5.1 b	Auditees:
<p>Audit Evidence:</p> <p>A walkthrough and interview was conducted on September 17, 2021 with six member of staff to gauge their known ledge of the SOP. The following officers were interviewed and all were able to show a copy of the SOP on their computer; T. Newell-Wilson, R. Warren, L. Morrison, T. James, A. Hyatt Kennedy, N. Parchment and C. Daley</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>			

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TITLES

Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001: 2015 7.5.1 b	Auditees:
<p>Audit Evidence:</p> <p>The two Motor Vehicle Title Production Officers (MVTPO) along with the manager and seniors are the only officers in the Unit who have log in for the Title printing machine. On September 17, 2021 both was MVTPO were observed using their log in to print two separate batches of Titles .</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>			

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Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001 2015 7.2.A & B	Auditees:
<p>Audit Evidence:</p> <p>The following officers were observed using their individual RAIS log in to access the system on September 17, 2021; S. Clementson MVTPO, A. Hyatt-Kennedy MVTPO, T. James Records Officer, C. Daley MVTO and N. Parchment MVTO.</p>			
<p>Evaluation:</p> <p>During the audit for the Falmouth Tax Office Printing of Motor Vehicle Certificate of Title for the period June 2021 to August 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>			

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Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001-2015:7.1.3 (b)	Auditees:
<p>Audit Evidence:</p> <p>The Motor Vehicle Title Production Officer maintained a log excel report , where she recorded the date the Machine was serviced, the person carrying out the service and the action taken. However the last entry on the log was April 2021 which was outside of the Audit Period</p>			
<p>Evaluation:</p> <p>"10. During the audit, Printing of Motor Vehicle Certificate of Titles for the period June 2021 to April 2021, it was established that the Title Printing Machine was serviced by the ICT 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>			

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Audit of: Production of motor vehicle titles	Auditor: Carol Gray	Audit Criteria: ISO 9001-2015:7.1.3 (b)	Auditees:
<p>Audit Evidence:</p> <p>Sixteen computers were verified at the location on September 17, 2021. Nine members were in office (the others were on rotation) all staff members were observed using a desktop computer</p>			
<p>Evaluation:</p> <p>"10. During the audit, Printing of Motor Vehicle Certificate of Titles for the period June 2021 to August 2021 , it was established that each member of staff was equipped with a desktop computer, this was in conformance 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"</p>			
<p>Effectiveness:</p>			

