

Tax Administration Jamaica

Quality Management System Audit (ISO 9001:2015)

Internal Audit Report

CONFORMITY REPORTS – TAXPAYER SERVICE AND EDUCATION (DRIVERS LICENCE - RENEWAL)

Audit of: Taxpayer Service and Education (Drivers Licence - Renewal)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 8.5.2	Auditees: Sherene Newby
<p>Audit Evidence:</p> <p>A total of 10 F7 forms were selected and examined and all 10 were signed by the taxpayer as proof the license was collected and a report was printed.</p>			
<p>Evaluation:</p> <p>During the audit of the driver's license renewal process it was established that driver's licenses were signed for by the applicant upon receipt, this is in accordance with SOP Pro #1 Steps 22-24.</p>			
<p>Effectiveness:</p>			

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Audit of: Taxpayer Service and Education (Drivers Licence - Renewal)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 8.5.2	Auditees: Sherene Newby
<p>Audit Evidence:</p> <p>All officers in the section has access to printed reports. Printed reports are filed and placed in a cabinet.</p>			
<p>Evaluation:</p> <p>During the audit of the driver's license renewal application process it was established that the filing of driver's license supporting documents are filed according to SOP Pro #1 25-27.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TAXPAYER SERVICE AND EDUCATION (DRIVERS LICENCE - RENEWAL)

Audit of: Taxpayer Service and Education (Drivers Licence - Renewal)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 7.5.3.2	Auditees: Sherene Newby
<p>Audit Evidence:</p> <p>TSO/TSA are trained to deal with taxpayers' needs and are knowledgeable of the different forms that are to be used in the renewal process. There are no documented evidence of training done, but TSO/TSA are trained to use the camera to take driver's license picture. The training is usually conducted by a supervisor or senior officer. An observation was carried out on the officer operating the camera to take driver's license pictures and it was seen where the officer portrayed knowledge of process/activity.</p>			
<p>Evaluation:</p> <p>During the audit of the driver's license renewal application process it was established that this activity was in accordance with SOP Tsk #3 Steps 12-13</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TAXPAYER SERVICE AND EDUCATION (DRIVERS LICENCE - RENEWAL)

Audit of: Taxpayer Service and Education (Drivers Licence - Renewal)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 7.5.3.2	Auditees: Sherene Newby
<p>Audit Evidence:</p> <p>An expired driver's license and payment receipt is required when doing a renewal. In the absence of an expired driver's license, the taxpayer has to pay a fee of \$3,000.00 to ITA before the process for a renewal begins/continues. A sample of 10 renewal F7 forms were selected and examined and no such cases were seen where the old license was not presented.</p>			
<p>Evaluation:</p> <p>During the audit of the driver's license application for renewal process it was established that this activity was in accordance with SOP Tsk #1 steps 1-4.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – TAXPAYER SERVICE AND EDUCATION

(DRIVERS LICENCE - RENEWAL)

Audit of: Taxpayer Service and Education (Drivers Licence - Renewal)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 7.5.3.2 a, b, d	Auditees: Sherene Newby
Audit Evidence: Old driver's license are required to be presented to the Collection Officer for renewal of a driver's license, however, the old licenses are given back to the taxpayers upon completion of the process. In the case of the absence of a driver's license a fee of \$3,000.00 is required to be paid before the process begins A sample of 10 renewal (F7) forms were selected and examined and no such cases were seen where the old license was not presented for verification. All signatures were present on the applications.			
Evaluation: During the audit of the driver's license renewal application process it was established that all applications had the required signatures and supporting documents in accordance with SOP Tsk #1 steps 1-10.			
Effectiveness:			

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Necoya Thomas	Date: October 16, 2019
Audit of : Taxpayer Service and Education (Drivers Licence - Renewal)	Audit Criteria: ISO 9001:2015 7.3	
Statement of Nonconformity: During the audit of the driver's license renewal process it was established that staff were aware but did not have access to the quality policy document which in contrary to ISO 9001:2015 7.3 Responsible Party: Denise McLean-Powell		
Auditor Signature:		Signature:

NONCONFORMITY REPORT

Incident Identification Number: 000000.00002		
Non-Conformity Report #: 2	Auditor (s): Necoya Thomas	Date: October 16, 2019
Audit of : Taxpayer Service and Education (Drivers Licence - Renewal)	Audit Criteria: ISO 9001:2015 7.5.3.2 a, b, d	
<p>Statement of Nonconformity:</p> <p>During the audit of the driver's license renewal process it was established that staff were aware but did not have access to the quality policy document which in contrary to ISO 9001:2015 7.5.3.2 a,b,d</p> <p>Responsible Party: Denise McLean-Powell</p>		
Auditor Signature:		Signature: