

# May Pen Tax Office

## ISO 9001:2015 Quality Management System Audit

### Internal Audit Report

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

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Necoya Thomas	Audit Criteria: SOP Steps 11-20	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>A sample of 4 MV01 application forms along with supporting documents were requested for the period April to June 2021, however, there were no supporting documents attached. Audit was told documents are sent to NMVR along with MV01 application forms for printing of title, the applications reviewed were for the following applicants; *Anthony George *Danta Roberts *Shevene Williams *Tamara Williams</p>			
<p>Evaluation:</p> <p>During the audit of Application for Substitute Motor Vehicle Certificate of Title, it was established that for a sample of 4 applications reviewed for the period April to June 2021 had no supporting documents as documents are sent to NMVR with applications for printing of titles, this conforms to SOP 11-20, which states...Collections Officer retrieves application form with supporting documents...</p>			
<p>Effectiveness:</p>			

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

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 clause 7.5.3.2 a,b	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>During an interview with the Senior Taxpayer Service Officer (STSO), audit was told that MV01 application forms are stored in a file jacket in a cabinet in the Taxpayer Service (Motor Vehicle) Unit and all officers in the unit has access. Checks carried out on the filing cabinet showed that applications were batched and filed according to type of title the taxpayer applied for.</p>			
<p>Evaluation:</p> <p>During the audit of Application for Substitute Motor Vehicle Certificate of Title, it was established that based on review carried out on filing cabinet which holds title applications it shows that titles are safeguarded, which conforms to ISO 9001:2015</p>			

7.5.3.2 a.b, 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

Effectiveness:

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Audit Evidence:  A sample of 4 applications were requested and reviewed for the period April to June 2021 and there were evidence that they were vetted as applications were endorsed and signed with a red ink pen, the applications reviewed were for the following applicants; *Anthony George *Danta Roberts *Shevene Williams *Tamara Williams			
Evaluation:  During the audit of Application for Substitute Motor Vehicle Certificate of Title, for the period April to June 2021, it was established that based on a sample of 4 applications had evidence that they were vetted/confirmed, which conforms to ISO 9001:2015 7.5.3.2 a.b, 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			
Effectiveness:			

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Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001-2015 clause 7.5.3.2	Auditees: Judith Peart Calloo
Audit Evidence:  A sample of 25 applications were examined, then match against printed report and advice and all were accounted for			

<p>Evaluation:</p> <p>During the audit of Application for Substitute Motor Vehicle Certificate of Title, for the period April to June 2021, it was established that from a sample of 25 applications, an advice was prepared and sent to NMVR with title applications, this conforms to ISO 9001:2015 7.5.3.2 a.b.c.d, 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</p>
<p>Effectiveness:</p>

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<p>Audit Evidence:</p> <p>Examination of the Chubb where printed titles are kept revealed that titles are secured during and after working hours. The Chubb is accessible via code and key</p>			
<p>Evaluation:</p> <p>During the audit of Application for Substitute Motor Vehicle Certificate of Title, for the period April to June 2021, it was established that printed titles are safeguarded in a Chubb accessible to Manager and STSO, this conforms 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>			

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

Audit of: Application for Motor Vehicle Titles (New, Transfer and Substitute)	Auditor: Necoya Thomas	Audit Criteria: ISO 9001:2015 clause 7.5.3.2. a	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p>			

Officers who has access to printed titles are the 2 Senior Taxpayer Service Officer and the Manager

Evaluation:

During the audit of Application of Motor Vehicle Substitute Title for the period April to June 2021, it was established that only the Manager and STSO has access to printed titles, this conforms 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

Effectiveness:

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Audit Evidence:			
Interview with Senior Taxpayer Service Officer the TSA is responsible to prepare applications for dispatch to NMVR for printing			
Evaluation:			
During the audit of Application for Substitute Motor Vehicle Certificate of Title, for the period April to June 2021, it was established that advice were prepared for title applications being sent to NMVR, this conforms 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			
Effectiveness:			

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Audit Evidence:			

During interview with Senior Taxpayer Service Officer it was stated that Taxpayer Service Assistant has access to only vet and endorse applications and Taxpayer Service Officer and Senior Taxpayer Service Officer does confirmation
<p>Evaluation:</p> <p>During the audit of Application for Substitute Motor Vehicle Certificate of Title, for the period April to June 2021, it was established that user access are different for the each level staff, this conforms 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>
Effectiveness:

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

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<p>Audit Evidence:</p> <p>The report printed with title applications is called List of Transactions by Tax Type, this report is used to check off the number of titles being prepared for dispatch to National Motor Vehicle Registry (NMVR) for printing and printed at the end of every business day. The file containing reports was checks and a report was seen printed for all working days for the period April to June 2021</p>			
<p>Evaluation:</p> <p>During the audit of Application for Substitute Motor Vehicle Certificate of Title, for the period April to June 2021, it was established that a List of Transaction by Tax Type Report is printed at the end of the days activity, this conforms to SOP 14, which states that the Collections Officer conducts the balancing process and prepares report of all applications received</p>			
Effectiveness:			

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and Substitute)			
<p>Audit Evidence:</p> <p>Titles are not dispatched from MVTTS because the system has glitches, as a result, titles are dispatched using a log book. Examination of the title dispatch book showed that titles are being dispatched using the book and two officers signs the book each time a title is dispatched</p>			
<p>Evaluation:</p> <p>During the audit, Application for Motor Vehicle Substitute Title for the period April to June 2021, it was established that titles are being dispatched using a lob book and were accounted for during the audit, this conforms 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>			

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00001		
Non-Conformity Report #: 1	Auditor (s): Necoya Thomas	Date: July 7, 2021
Audit of : Application for Motor Vehicle Titles (New, Transfer and Substitute)	Audit Criteria: ISO 9001-2015 7.5.1 (b)	
<p>Statement of Nonconformity:</p> <p>During the audit of Motor Vehicle Transfer (full) for the period April 2021 to June 2021, it was established that four of twelve MV01 forms were incomplete, this was not in conformance to with ISO 9001:2015, clause 7.5.1 (b) which states in part the organization's quality management system shall include documented information determined by the organization as being necessary for the effectiveness of the quality management system.</p>		
Responsible Party: Leighton Hewitt		
Auditor Signature:	Signature:	

NONCONFORMITY REPORT
Incident Identification Number: 000000.00002

Non-Conformity Report #: 2	Auditor (s): Necoya Thomas	Date: July 7, 2021
Audit of : Application for Motor Vehicle Titles (New, Transfer and Substitute)	Audit Criteria: ISO 9001: 2015 clause 8.5.2	
<p>Statement of Nonconformity:</p> <p>During the audit of Motor Vehicle Registration (new), it was established that the MV01 numbers were not recorded on 3 of 13 application forms examined for the period April 2021 to June 2021, this was not in conformance to ISO 9001:2015, clause 8.5.2 which states that the organization shall control the unique identification of the output when traceability is a requirement and shall retain the documented information necessary to enable traceability. Motor Vehicle (new and renewal) SOP #7 which states, TSO/TSA after correctly entering all the required information on AMVS, the MVID number is generated.</p>		
Responsible Party: Leighton Hewitt		
Auditor Signature:		Signature: