

Spanish Town Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Lewis-Daley	Audit Criteria: SOP 9.2 (7)	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>An audit of Application and Production of Drivers Licence (Renewal) was conducted and a sample of thirteen (13) motor vehicle application (F7) forms for renewed licences processed during the period April 2021 to July 2021 was checked for completeness. The verification reveals that section 1-16 of the forms were properly completed for the sample selected. The name of taxpayer for the application forms examined are as follows; Marcia Daley, Daniel Zhany, Shemar Rize, Marvin Marbin, Nichola Nembhard, Adwani Hermant, Peter Rov. Sharon, Wright, Craig Facey, Wane Labbon, Alphanio Lyon, Iris Bennings, Mahoney Collins</p>			
<p>Evaluation:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) of the sample of 13 F7 forms selected section 1-16 was properly completed by the taxpayer. This was in conformance with SOP section 9.2(7) which states that taxpayer Service Officer vets application form to ensure that it is properly completed and signed.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Lewis-Daley	Audit Criteria: SOP 9.2 (20)	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>A sample of ten receipts were verified on RAIS the information was in agreement with the receipt number and date that was recorded in the "For Official Use" section of the F7 form. The receipt numbers verified are as follows; 17331010, 17133322, 17134372, 108326, 17331026, 17334490, 17345266, 17346502, 17570025, 17347043.</p>			
<p>Evaluation:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) process</p>			

for the period April 2021 - July 2021, it was established that, the the receipt number and date were recorded in the "for official use section" of the thirteen (13) F7 forms examined. This was in conformance with SOP section 9.2(20) which states "Collections Officer writes receipt number in the "Official Use" section of the form.

Effectiveness:

CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Lewis-Daley	Audit Criteria: SOP 9.1(54)	Auditees: Tanya Carson
<p>Audit Evidence:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) of the sample of 13 F7 forms examined. The taxpayer signature was seen recorded in the specified section on all the F7 forms examined noting collection. The name of taxpayers for the F7 Forms examined are as follows; Marcia Daley, Daniel Zhany, Shemar Rize, Marvin Marbin, Nichola Nembhard, Adwani Hermant, Peter Rov. Sharon, Wright, Craig Facey, Wane Labbon, Alphanio Lyon, Iris Bennings, Mahoney Collins</p>			
<p>Evaluation:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) process for the period April 2021 - July 2021, it was established that for the sample of 13 F7 forms examined, the applicant name, signature and date of collection were recorded in the designated section at the bottom of the form. This was in conformance with SOP #16 which states that the Taxpayer Service Assistant ask the taxpayer to write name, date and signature in the designated section at bottom of form.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Lewis-Daley	Audit Criteria: ISO 9001:2015 7.5.3.1(a)	Auditees: Tanya Carson
<p>Audit Evidence:</p>			

Discussion with the Senior Taxpayer Service Officer on August 17, 2021 revealed that the drivers licence are quality assured and a report is generated at the end of the day and reconciled with the licences printed. The quality assured reports were examined for the following dates as evidence that the licence were quality assured. 23.4.2021, 10.5.2021, 3.5.2021, 2.6.2021, 10.6.2021, 14.6.2021, 24.6.2021, 15.7.2021, 30.7.2021.

Evaluation:

During the audit of the Application and Production of Drivers Licence (new & renewal) process for the period April 2021 - July 2021, it was established that a report was printed daily to show the use of teslins used for the productions of the Drivers Licence. This was in conformity to ISO 9001:2015 7.5.3.1(A) which states that 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:

CONFORMITY REPORTS – DRIVER'S LICENCE APPLICATION AND PRODUCTION (NEW AND RENEWAL)

Audit of: Driver's Licence Application and Production (New and Renewal)	Auditor: Sherine Lewis-Daley	Audit Criteria: N/A	Auditees: Tanya Carson
Audit Evidence: During the audit of New application for drivers licence it was observed certificate of competence was attached to the four F7 form submitted. The name of taxpayer for the F7 Forms examined are as follows; Warren Williamson, Kason Bryan, Annette Ellis, Vanessa Slater.			
Evaluation: During the audit of application for New drivers licence for the period April 2021 to July 2021 certificates of competence were attached to the four F7 forms submitted. This was in conformance with section 9.1 (3-4) of the SOP which state that the "TSA asks taxpayer to provide identification and other relevant information to locate Certificate of Competence" if competence is not found the taxpayer is advise to contact the Examination Depot.			
Effectiveness:			

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001		
Non-Conformity Report #: 1	Auditor (s): Sherine Lewis-Daley	Date: August 31, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: SOP 9.2 (b)	
<p>Statement of Nonconformity:</p> <p>During the audit of Application and Production of Drivers Licence (Renewal) for the period April 2021 to July 2021, it was revealed that two (2) of the F7 forms selected did not have the terms of agreement form attached even though the licence were renewed more than thirty days before the expiry date. This was contrary to Application and Production of Drivers Licence (Renewal) SOP # 9.2 (b) which states; Taxpayer Service Officer examines Drivers Licence to ensure expiry date is within the renewal time frame note; a().Drivers Licence can be renewed thirty (30) days before expiration. (b.) If it is more than thirty (30) days before expiration and the taxpayer wants to renew, s/he is provided with the relevant form to sign agreeing that one year will be deducted from the licence.</p> <p>Responsible Party: Karlene Johnson-Mills</p>		
Auditor Signature:		Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00002		
Non-Conformity Report #: 2	Auditor (s): Sherine Lewis-Daley	Date: August 31, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: SOP#28	
<p>Statement of Nonconformity:</p> <p>During the audit of Application and Production of Driver's Licence (Renewal), it was established that the "For Official Use" section of two of the F7 forms examined for the period April 2021 to July 2021 were not properly completed, this was contrary to the Application and Production of Driver's Licence (Renewal) SOP # 28 which states that the Taxpayer Service Officer should complete the "For Official Use" section of the form.</p>		

Responsible Party: Karlene Johnson-Mills	
Auditor Signature:	Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00003		
Non-Conformity Report #: 3	Auditor (s): Sherine Lewis-Daley	Date: August 31, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: ISO 9001:2015 7.5.3.1	
<p>Statement of Nonconformity:</p> <p>During the audit of Application and Production of Driver's Licence (New) for the period April 2021 - July 2021, the F7 form and the certificate of competence for one taxpayer was not presented to the audit.This document not being available for audit verification was contrary to ISO 9001:2015 clause 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 needed; (b). it is adequately protected (eg. from lost of confidentiality, improper use, or loss of integrity)</p> <p>Responsible Party: Karlene Johnson-Mills</p>		
Auditor Signature:		Signature:

NONCONFORMITY REPORT		
Incident Identification Number: 000000.00004		
Non-Conformity Report #: 4	Auditor (s): Sherine Lewis-Daley	Date: August 31, 2021
Audit of : Driver's Licence Application and Production (New and Renewal)	Audit Criteria: SOP 9.1 (28)	
<p>Statement of Nonconformity:</p> <p>During the audit of Application and Production of Driver's Licence (New), it was established that the "For Official Use" section of three of the F7 forms examined for the period April 2021 to July 2021 were not properly completed, this was contrary to</p>		

SOP # 28 which states that the Taxpayer Service Officer should complete the "For Official Use" section of the form.

Responsible Party: Karlene Johnson-Mills

Auditor Signature:

Signature:

OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1

Auditor (s): Sherine Lewis-Daley

Date: August 31, 2021

Audit of : Driver's
Licence Application and
Production (New and
Renewal)

Audit Criteria: N/A

Statement of Opportunity:

The process flow chart showed that one of the control was that, the Driver's Licence Application Software requires dongle. However, a online template was being used. Hence there is an opportunity for improvement of the process flow chart to reflect the online template.

Responsible Party: Karlene Johnson-Mills

Auditor Signature:

Signature: