

May Pen Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clauses 7.5.3.1 (a) & 7.5.3.2 (d)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>MV01 application forms examined for the period April 2021 to June 2021 were seen in a file that is kept in a drawer inside the Taxpayer Service Unit. Upon examination of the file, applications for the registration of new vehicles and full transfers were seen filed in chronological order.</p>			
<p>Evaluation:</p> <p>During the audit of Motor Vehicle Registration (new) for the period April 2021 to June 2021, it was determined that MV01 application forms are retained and was available for examination. This conforms with 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 it is needed. Clause 7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable: (d) retention and disposition</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clauses 7.5.3.1 (a) & 7.5.3.2 (d)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>In an interview with the auditee, it was disclosed that once the motor vehicle information is checked and verified to be accurate, an endorsement is done at the 'FOR OFFICIAL USE ONLY' section of the MV01 form. A sample of 13 MV01 forms examined for the period April 2021 - June 2021 revealed that all the forms were endorsed.</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Registration (new), audit checks for the period</p>			

April 2021 to June 2021 revealed that endorsements were seen on all MV01 forms examined. This conforms with 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 it is needed. ISO 9001:2015, clause 7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable: (d) retention and disposition

Effectiveness:

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clause 8.1 (d)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>During an interview with the auditee, it was disclosed that the Standard Operating Procedure (SOP) governing the registration of motor vehicle (New and Renewal) was obtained via email. A copy of the SOP was forwarded by the auditee and verified.</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Registration (New and Renewal) for the period April 2021 to June 2021, it was established that the Standard Operating Procedures was in place to guide the processes. This conforms with ISO 9001:2015 Clause 8.1 which states: The organization shall plan, implement and control the processes needed to meet the requirements for the provisions of products and services and to implement the actions determined in Clause 6 by: d) implementing control of the processes in accordance with the criteria</p>			
Effectiveness:			

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clause 7.1.2	Auditees: Judith Peart Calloo
Audit Evidence:			

A hard copy of the staff listing was obtained from the auditee and upon examination, all the Taxpayer Service positions were verified to have been filled.

Evaluation:

During the audit of the Motor Vehicle Registration (New and Renewal) for the period April 2021 - June 2021, it was established that the Taxpayer Service Unit was adequately staffed to effectively implement its quality management system. This conforms with ISO 9001:2015, Clause 7.1.2 which states: The organization shall determine and provide the persons necessary for the effective implementation of its quality management system and for the operation and control of its processes.

Effectiveness:

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clauses 7.5.3.1 (a) & 7.5.3.2 (d)	Auditees: Judith Peart Calloo
Audit Evidence:			
A sample comprising 30 motor vehicle titles were examined via the Customer Springboard in RAIS. From the sample examined, all the relevant motor vehicle particulars pertaining to type, make, year, fuel, Reg. Plate No. TAA, MVID and owner's name were seen recorded on the titles.			
Evaluation:			
During the audit of Motor Vehicle Transfer (Partial), Certificate of Titles were seen uploaded to RAIS for the period April 2021- June 2021. This conforms with 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 it is needed. Clause 7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable: (d) retention and disposition			
Effectiveness:			

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clause	Auditees: Judith Peart Calloo
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Vehicle (New and Transfer)	8.6	
<p>Audit Evidence:</p> <p>From a sample of 30 partial transfer titles examined in RAIS, information was seen recorded on the titles pertaining to LA number & expiry date, control & expiry date and notation of AMVS checked. In addition, the Senior Officer's signature along with the stamp was also seen on the titles.</p>		
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Partial), it was determined that adequate checks were done for partial transfers during the period April 2021 to June 2021. This is in keeping with ISO: 9001:2015, Clause 8. 6 which states: The organization shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met. The organization shall retain documented information on the release of products and services. The documented information shall include: b) traceability to the person(s) authorizing the release.</p>		
<p>Effectiveness:</p>		

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001-2015 clause 8.5.2	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>An examination of the partial transfer log book revealed that 30 partial transfers were seen documented. This corroborated with the information seen on RAIS.</p>			
<p>Evaluation:</p> <p>During the review of the Motor Vehicle Transfer (Partial) process for the period April 2021- June 2021, it was revealed that partial transfers were documented in the log book. This conforms with ISO 9001:2015 clause 8.5.2 which states: The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services. The organization shall control the unique identification of the outputs when traceability is a requirement and shall retain the documented information necessary to enable traceability.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clause 7.1.3 (b)	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>A physical count of the computers assigned to the Taxpayer Service Unit revealed a total of five working computers that were adequate to facilitate the operations of the Taxpayer Service Unit.</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Partial) process for the period April 2021 to June 2021, it was established that the Taxpayer Service Unit was adequately resourced with computers. This was in conformance with ISO 9001:2015 clause 7.1.3 which states: The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. Infrastructure can include: b) equipment, including hardware and software.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

Audit of: Registration of Motor Vehicle (New and Transfer)	Auditor: Phercia Thompson-Campbell	Audit Criteria: ISO 9001:2015 clauses 7.5.3.2 (d) & 8.5.2 para 3	Auditees: Judith Peart Calloo
<p>Audit Evidence:</p> <p>In an interview with the auditee, it was revealed that the Advice Listing is manually prepared and file copies are kept. The file was examined and copies of the Advice Listing seen for the audit period April 2021 - June 2021. From a sample of 12 MV01 application forms examined, all the applicant's names were seen on the listing.</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Full) process for the period April 2021 - June 2021, it was determined that documentation of the advice listing was retained to enable traceability. This conforms with ISO 9001:2015, clause 7.5.3.2 which states: For the control of documented information, the organization shall</p>			

address the following activities, as applicable: (d) retention and disposition ISO 9001:2015 clause 8.5.2, para. 3 The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability.

Effectiveness:

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

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<p>Audit Evidence:</p> <p>In an interview with the auditee, it was revealed that two MVO1 forms are completed for the full transfer; one is for the production of the new title while the other copy is kept on file. A file was examined and copies of MV01 forms for full transfers verified.</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Transfer (Full) for the period April 2021 to June 2021, it was determined that copies of MV01 forms were retained and readily available for examination. This conforms with ISO: 9001 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 it is needed. ISO:9001 2015 Clause 7.5.3.2 For the control of documented information, the organization shall address the following activities, as applicable: (d) retention and disposition</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – REGISTRATION OF MOTOR VEHICLE (NEW AND TRANSFER)

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<p>Audit Evidence:</p> <p>In an interview with the auditee, it was disclosed that the completion of the 'FOR OFFICIAL USE ONLY' section of the form by Taxpayer Service Officers confirms that</p>			

documents have been validated. Of a sample size of 12 MV01 forms examined for full transfers, all the forms were seen completed by Taxpayer Service Officers and stamped.

Evaluation:

During the audit of the Motor Vehicle Transfer (Full) process, it was determined that the 'FOR OFFICIAL USE ONLY' section of the MV01 forms were completed, signed and stamped during the period April 2021- June 2021. This conforms with ISO 9001:2015, Clause 8.1 which states: The organization shall plan, implement and control the processes needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6, by: d) implementing control of the processes in accordance with the criteria.

Effectiveness:

NONCONFORMITY REPORT

Incident Identification Number: 000000.00001

Non-Conformity Report #: 1	Auditor (s): Phercia Thompson-Campbell	Date: July 30, 2021
Audit of : Registration of Motor Vehicle (New and Transfer)	Audit Criteria: Motor Vehicle Transfer (Partial & Full) SOP #8	
<p>Statement of Nonconformity:</p> <p>During the review of the Motor Vehicle Transfer (Partial) process, it was established that the transferor's ID were not uploaded to RAIS for six partial transfer titles during the period April 2021 to June 2021. This was not in conformity with the Motor Vehicle Transfer (Partial) SOP, #8 which states: Taxpayer Service Officer/Taxpayer Service Assistant/Records Officer uploads both the front and back of the title along with identification card to the Customer Springboard in RAIS.</p> <p>Responsible Party: Leighton Hewitt</p>		
Auditor Signature:		Signature: