

Spanish Town Tax Office

ISO 9001:2015 Quality Management System Audit

Internal Audit Report

CONFORMITY REPORTS – LICENSING OF MOTOR VEHICLES (NEW AND RENEWAL)

Audit of: Licensing of motor vehicles (new and renewal)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 b	Auditees: Ruth Francis
<p>Audit Evidence:</p> <p>Twenty MVOI applications were reviewed at NMVR and all had the relevant supporting documents, the taxpayer's applications and supporting documents that were reviewed included the following: R. Braham 2884ER, Hugh Jones 7235JW, D. Beckford 7237JW, R. Holme 4530JX, C. Muir 4526JX, E. Dixon 4514 JX, R. Silpot 4528JX, J. Williams, 4504JX, J. Haughton 2550GU, T. Brown, 0730JA, Wisynco Group 0346JB & 0349 JB, Andersons Commerce Vehicle Ltd 3747 JE, N. Simpson 4989 JX, Ms. Technology 2805JA, Kevin Minott 0054 HV, O. Morgan 8952 HM, S. Burg, 7484 JV, GAIA Construction Co. Ltd 7492 JV, A. Clare 2028 DR and B. Smith 2128FJ s</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Registration (Renewal) for the period April 2021 to July 2021, twenty MVOI forms were examined and all had requisite supporting documents. This was in conformity with ISO 9001-2015 7.5.3.2 b which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.</p>			
<p>Effectiveness:</p>			

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Audit of: Licensing of motor vehicles (new and renewal)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 b	Auditees: Ruth Francis
<p>Audit Evidence:</p> <p>Copies of Applications were seen stored in file jackets in and on top of two cabinets in the Taxpayer Service Unit accessible to all authorized members of staff. They were stored in date and month sequence. However the storage space was inadequate</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Registration (Renewal) the storage space for application forms processed during the period April 2021 to July 2021 was examined and found to be inadequate as copies of application forms were seen placed in a</p>			

cabinet accessible to all. This was in not conformity with ISO 9001-2015 7.5.3.2 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.

Effectiveness:

CONFORMITY REPORTS – LICENSING OF MOTOR VEHICLES (NEW AND RENEWAL)

Audit of: Licensing of motor vehicles (new and renewal)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 b	Auditees: Ruth Francis
<p>Audit Evidence:</p> <p>Copies of Motor Vehicle Registration Certification (MVRC) were seen in a locked motor vehicle room accessible to Taxpayer Accounts Staff and Supervisors. Unfiled MVRC for July 2021 and August 2021 were observed on the desk of officer responsible for filing. They were in numerical order and were wrapped in an elastic band. Four batches A6350110-6350179; A6349657-6349701; A6350362-6350310; A6349814-6349855 & A6349735-6349789.</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Registration (Renewal) 4 batches of MVRC were seen and examined, no discrepancy was identified. This was in conformity with ISO 9001-2015 7.5.3.2 b which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – LICENSING OF MOTOR VEHICLES (NEW AND RENEWAL)

Audit of: Licensing of motor vehicles (new and renewal)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.5.3.2 a	Auditees: Ruth Francis
<p>Audit Evidence:</p> <p>The copies of receipts (pink) generated for the period August 09 & 10, 2021 were still in office. A batch of 20 was examined and no discrepancies were identified</p>			
<p>Evaluation:</p>			

During the audit of the Motor Vehicle Registration (Renewal) 20 copies of receipts were seen and examined, no discrepancy was identified. This was in conformity with ISO 9001-2015 7.5.3.2 which states 'For the control of documented information, the organization shall address the following activity: storage and preservation, including preservation of legibility'.

Effectiveness:

CONFORMITY REPORTS – LICENSING OF MOTOR VEHICLES (NEW AND RENEWAL)

Audit of: Licensing of motor vehicles (new and renewal)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.1.3 b	Auditees: Ruth Francis
<p>Audit Evidence:</p> <p>The Plates Report for May 14 & July 28, 2021 was requested and received. It showed that 25 plates were sold on May 14 and 37 on July 28, 2021, the following plates were verified to be sold for \$2,700.00 per plate on May 14, 2021 S. Green 4543JX , O. Hamilton 4544JX,, R. Oates 4576JX, J. Bailey 4577JX, P. Ellis 4566JX, R. Blake CP6515, D. Sutherland 4569JX, D. Wint 6051GF. The following plates were verified to be sold on July 28, 2021 for \$2,700.00 J. Green 6263JZ, T. Russell 6237 JZ, Kingston College 6239JZ, C. Morris 6229JZ, XOOM Express, 2908N, B. Bardowell 6213JZ, K. Davis, O. Harris 6195JZ, D. Reid 6208JZ, S. Wynter 6227JZ, D. Miller CQ0004, H. Ingram 2989N & G. Anderson Lewis 6228JZ</p>			
<p>Evaluation:</p> <p>During the audit of the Motor Vehicle Registration (Renewal) plate report for May 14 & July 28, 2021 were seen and examined, no discrepancy was identified. This was in conformity with ISO 9001-2015 7.1.3 b which states 'The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes to achieve conformity of products and services (b) equipment, including hardware and software</p>			
<p>Effectiveness:</p>			

CONFORMITY REPORTS – LICENSING OF MOTOR VEHICLES (NEW AND RENEWAL)

Audit of: Licensing of motor vehicles (new and renewal)	Auditor: Carol Gray	Audit Criteria: ISO 9001:2015 Clause 7.1.5.1 (a)	Auditees: Ruth Francis
<p>Audit Evidence:</p>			

A walk-through of the Collection area was conducted on August 16, 2021 and nine cash registers in the cashier station were verified to be working. The following Cashier Stations were checked V08, V15, V17, V14, V30, 04V, 01V, 847, V21. All nine Cash Registers were tested to see if they could be closed and the keys were working. All were functional

Evaluation:

During the audit of the Motor Vehicle Registration(Renewal) on August 16, 2021 the cash registers in nine cashier station were examined and all were functional. This was in Conformity with ISO 9001-2015 7.1.3(b) which states ' the organization shall determine, provide and maintain the infrastructure necessary for the operations of its products and services. (b) equipment, including hardware and software.

Effectiveness:

OPPORTUNITY REPORT

Incident Identification Number: 000000.00001

Opportunity Report #: 1	Auditor (s): Carol Gray	Date: August 31, 2021
Audit of : Licensing of motor vehicles (new and renewal)	Audit Criteria: SOP 1-7	
Statement of Opportunity:		
There is an opportunity for improvement of the SOP for Motor Vehicle Renewal to include in the step 1 that if the QLogic system is not in use at that location, you should go to go to step #7.in the SOP		
Responsible Party: Horatio Williams		
Auditor Signature:		Signature:

OPPORTUNITY REPORT

Incident Identification Number: 000000.00002

Opportunity Report #: 2	Auditor (s): Carol Gray	Date: August 31, 2021
Audit of : Licensing of motor vehicles (new and renewal)	Audit Criteria: Controls - Process Flow Chart	
Statement of Opportunity:		

<p>During the review of the Motor Vehicle Registration (Renewal) process, an observation was made that the Collection Officers were unaware of the FAA act and its content. A sensitization session can be conducted with these Officer to update them on the FAA act and how/why it is integral to the Controls in place</p>	
<p>Responsible Party: Horatio Williams</p>	
<p>Auditor Signature:</p>	<p>Signature:</p>

<p>OPPORTUNITY REPORT</p>		
<p>Incident Identification Number: 000000.00003</p>		
<p>Opportunity Report #: 3</p>	<p>Auditor (s): Carol Gray</p>	<p>Date: August 31, 2021</p>
<p>Audit of : Licensing of motor vehicles (new and renewal)</p>	<p>Audit Criteria: N/A</p>	
<p>Statement of Opportunity:</p> <p>On August 12, 2021 it was observed that documents printed from four printers showed evidence of misprints and obscured information. This is an opportunity for improvement in the Collection Unit by servicing or procuring new printers</p>		
<p>Responsible Party: Horatio Williams</p>		
<p>Auditor Signature:</p>	<p>Signature:</p>	