

Interested Parties Vandagraph Sensor Technologies 06 Jan 2025

External Party	Scope	Risks/Opportunities
Finance Banks	Banks and Financial Institutions Insurance Paypal Accountant Owners share holders	Service Debts Finance Agreements Communications Payments To Suppliers Receipts From Customers Forbidden Countries Accounts In Order
ISO Auditing Bodies	Certified / Notified Bodies British Standards	Audits Compliance Cerificates Notifications Communications Audits And Monitoring
Supplier	Suppliers of products and services UK and Export	Product Trace Ability Payments Product Feedback Returns Purchase Orders Communications
Customer	Our Customers. UK and Export Wee waste	Orders Order Fulfillment / Accuracy Product Compliance ISO Standards Pricing Contracts Warranty Trace Ability / Recalls Servicing Returns Communications Product Disposal Account Maintenance Agreements

External Party	Scope	Risks/Opportunities
Internal Systems	Any Internal systems intrastats Opera goldmine telephones skype back ups computer storage	Computer Maintenance Personnel Manual Holidays Procedures QMS System Technical Files Databases Backups Production QA Product Information Communications
Staff	Employees training new staff appraisals wages pensions	Employees Legal Rights Pension Work Place Personnel Manual Health And Safety Organisation Structure Communications
Government E.G. HMRC	Government Bodies HMRC Medilink Legal requirements Office for national statistics - NEED ROLE SURVAYS STOCK AND TRAINING	Pay Roll Notifications Product Compliance Staff Responsibility Tax / Vat Sales Region Reporting Communications

External Party	Scope	Risks/Opportunities
Physical Sites	Maintenance of the physical space grounds surroundings recycling - Batteries, Ink cartridges, paper, card, glass, metal, plastics waste disposal repairs Weee waste development of site drains external staorage Computer maintinance new equipment	Space Health Safety Equipment Safety Access Communications Phone Systems Security General Maintenance
Internet Providers	Provide Key Services regarding the Internet outside of normal suppliers review Skype	Email Internet Routing
Competitors	General Competitors to our products and services	
Accountants	Audit the accounts package, and compile year end accounts for each company. Perform PAYE staff saleries. Perform Pension requirements	PAYE To Staff Finalise Accounts
Regulations	To Ensure abide by all relevant regulations	New Regulations

External Party	Scope	Risks/Opportunities
VST OEM Customers	OEM Customers Requirements Oxygen Sensors, Regular shipments.	Account Maintenance Agreements Communications Contracts ISO Standards Order Fulfillment / Accuracy Orders Pricing Product Compliance Returns Trace Ability / Recalls Warranty
VST Supplier	VST Oxygen Sensor Manufacturer does not want to directly associate itself with supplying to the Diving Industry. Due to past complications and the actions of Teledyne and withdrawal from the diving market.	Communications Payments Product Feedback Product Trace Ability Purchase Orders Returns OEM Specifications
Weee Care Reporting	Requirements to report Electrical sales	Requirement To Report
External Partners		

Finance Banks

Risk / Opportunity
Accounts In Order
Communications
Finance Agreements
Forbidden Countries
Payments To Suppliers
Receipts From Customers
Service Debts

Finance Banks

Accounts In Order Risk / Opportunity
Responsibility Accounts Processes

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
----	---------------------	-----------	------	--------	-------	--------	---------	------

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7818	Issues For Accounts - Check Purchasing Journals To See If VAT Handled Correctly Previous Month	A review of the Purchasing Journals, done in Opera, for the previous month. To see if the VAT has been handled correctly and the nominal account number are correct.	That we will run the VAT return and an incorrect journal is present. This could result in us paying too much or too little VAT on the next VAT return.	To review the journals monthly. To check the figures on the VAT return at the time of processing. The accountant double check the VAT return figures quarterly before submitting the return.	2	2	No Action	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7819	Issues For Accountant - Check Contra Account 8000 And Clear It	A review of the contra nominal account in accounts package, number 8000, for the previous 12 months. To see if the adjustments that go through this account, have been	That the account will not have a zero balance.	Issue is sent to ensure this has been reviewed and monitored.	2	2	No Action	Task 1M Audit 24M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
		handled correctly and the amount at the end is zero.						

Communications Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7070	Management Review	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	2	1	No Action	Task 3M
34	Insurance Is Upto Date	Ensure the latest version of our Insurance / master indemnity letters are up to date	companies are uninsured	Rolling Issue before expiry date, Document expiry date UK Sales and Export Sales also have reminders set for this documentation	1	1	No Action	Task 12M
55	Business Continuity Plan	Business Continuity Plan	If the list is not comprehensive enough and the plan not good enough or reviewed enough then the company will not be able to be back up and running if a problem occurs.	plan in Place reviewed regularly	1	1	No Action	Task 12M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distributing incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	
15	Filing And Archiving	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	Train staff to take time and ensure it is filed in order	1	1	No Action	Task 31D Audit 12M
36	Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	2	1	No Action	Task 1D Audit 1W
5875	Check Paypal For Orders	Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox	Computer/network breakdown	Ensure adequate IT equipment maintenance	2	1	No Action	Task 1W Audit 1M
5897	Franking Mail	Task to Frank outgoing Mail	Franking machine breakdown	Ensure franking machine receives regular maintenance	5	1	Unacceptable	Task 1D Audit 6M
7711	Import Bank CSV	Download the most recent bank statement from the bank website	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	Task 1D Audit 1W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk	1	1	No Action	
16	Photocopying							

Communications Risk / Opportunity
Responsibility Director 3 (Steve)

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6841	Grants	Define whom is responsible for researching and obtaining Grants	Allocation of responsibility	Allocation of responsibility	1	1	No Action	

Communications Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
48	Internet	Internet Access for building(s)	Internet Fails	Have backup BT adsl if main internet line goes down	2	1	No Action	
49	Wifi	Ensure Viamed Wifi is operational	Lose remote internet connection Loss of access to phone system on mobile devices	nothing can be done. risk is minimal as wifi is not required but a nicety	1	1	No Action	Task 1M Audit 3M
6813	Management Meeting Turnover Report	Ensure the turnover report is accurate	Incorrect figures could be financially catastrophic	rolling issues	3	1	No Action	Task 1M Audit 12M

Communications Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
41	Documentation Control	Allocation of overall responsibility						

Communications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5922	Credit Cards Expenses Calculations	Monthly we get a copy of the Credit Card Statement and at that time we match the invoices and other paperwork to the credit card statement.	That this is entered incorrectly into opera. That invoice / receipts are missed.	Issue to ensure we receive all the paperwork in a timely manor. By checking each line to ensure it is correct.	2	1	No Action	Task 1M Audit 12M
5924	Export Cheques Sent By Currency Lodgement	Export \$ USD or £ Euro cheques from customers have to be sent to the bank processing department in Poole. With a form.	Cheque could be lost	Copies are taken before sending in case anything is lost.	2	1	No Action	Task 1M
5920	Cheques To Bank - Fill In Paying In Book	Cheques that are received in from customers as payments, refunds from Royal Mail, HMRC in the form of Duty refunds etc. These are filled in to the paying in book, located in the accounts office. Then taken to Barclays bank.	Cheques being lost as this is a physical process. The book being filled in wrong and having to be corrected at the bank when they deposit the cheques.	Double check figure and take the paying in book to the bank in a bag with all the cheques included, so they cannot fall out. Scheduled issue ID432	4	1	Risk Benefits	Task 1W Audit 12M
5914	End Of Year Reports For Accountants	The closing down of the accounts package at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	No Action	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7084	Accounts Issues	this is a very wide heading and is dealt with in other tasks	N/A	regular reviews and issues. Reviews of reports and the systems.	2	1	No Action	
7195	Loans Between Companies	Reminded to check the financial status of the bank accounts,	No risks with process, if not performed there are no commercial implications	not required	3	1	No Action	Task 1M
5927	Accounts Filing	To file the paperwork received and the digital items in a place where they are easily retrievable.	That documents are lost if they are not filed sensibly and in the correct place.	Care need to be taken and if something is of greater importance then the same document can be filed in more than one sensible location. ie. proof of shipments needed by the HMRC - the customer file and the file of shipping document. These are historic and there for will not change over time.	2	2	No Action	Task 6M Audit 12M

Finance Agreements Risk / Opportunity
Responsibility Share Holder

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7834	Financial Review	The review the Financial requirements	Non	Non	1	1	No Action	Task 1M Audit 3M

Finance Agreements Risk / Opportunity
Responsibility EX Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5873	Distributor Contract Reviews	To check through list of export distributors	That we sell to someone in a country that already has a distributor.	Regularly review the list and meeting where necessary.	3	1	No Action	Task 1M Audit 3M

Finance Agreements Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	No Action	Task 1M Audit 6M

Finance Agreements Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5874	Childcare Vouchers Edenred	Edenred childcare voucher. these are purchased from Edenred and then the staff that are signed up for the service, salary sacrifice from their pay. Done by the Payroll people, Then childcare vouchers are sent directly to the nursery designate. It is a government scheme to help working families with childcare there are tax benefits for using the service.	The wrong amount being invoiced or a change in staff requiring them. That the law will change and the amounts or process will alter over time.	Double check with the staff who wants what and how much. Also adhering to the laws relating to this benefit. Schedule ID165	1	1	No Action	

Forbidden Countries Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7	Checking Of Sales Orders	Process to check customer orders and enable picking	Human error in checking the order Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.	1	1	No Action	Audit 1W

Forbidden Countries Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7872	Embargo Countries NOT Allowed To Sell To	To review with the banks any embargo countries	Selling to an Embargo countries can get bank account frozen and loss of facilities	Communications with banks	1	3	No Action	Task 6M

Payments To Suppliers Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5850	Purchase Order Log	Check the PO log is up to date with confirmations and expected shipping dates	The order is not checked and the supplier has not received it ergo we do not receive the order	check all orders regularly	2	1	No Action	Task 1M Audit 3M

Payments To Suppliers Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
28	Supplier Review	Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Supplier certificates go out of date, or they lose ISO standards and we're unaware	rolling task to do the supplier review	1	1	No Action	Task 12M Audit 12M

Payments To Suppliers Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7755	Fast Hosts Invoice	To Send Invoice for online services to Helen	No risks to system. Accounting excersise	Rolling Issue no audit required as Accounts will chase up for the invoice when they find they don't have it	3	1	No Action	Task 1M
7701	AWS Amazon Web Services	Amazon Web Services, is an online service, which basically simply provides a Linux PC out on the Web. Viamed uses this, for Web development of Websites: It hosts a working backup of many websites. Viamed / vst / vandagraph etc..	No risks as its used for development and backups of working websites	Keep up to date with issues.	3	1	No Action	Task 1M

Payments To Suppliers Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5931	Purchase Invoices In To Opera	Putting into opera the purchase invoices that are received from our suppliers, by Email, fax, post or by hand.	Invoices missed, not received or entered incorrectly.	Opera has a purchase orders that are invoiced on the system when they are received, this means they are entered correctly. A report is run monthly to check orders that have been delivered but not invoiced.	2	1	No Action	Task 1W Audit 12M
5930	VAT Return Viamed	VAT return is submitted to the HMRC through accounts software after the end of the quarter. The information for this is taken from the accounts package with some information from Intrastats	The VAT Return is not filled on time or at all. Or filled in incorrectly.	Issue sent to remind of this quarterly. The figure are found in the accounts package, and the calculations are carried out automatically in it. So as to less the risk of error. The accountants check the VAT returns annually for us.	1	2	No Action	Task 3M Audit 12M
6819	Supplier Payments And Invoice Processing	Inputting the invoices from suppliers for the correct month. Ensuring they are all entered in to the correct period.	invoices missed and therefore absent from accounts and Vat return	Regular checks	1	2	No Action	Task 1W Audit 12M
7799	Opera Purchase Ledger Close	The closing down of the previous months purchase ledger for accounts purposes.	The system crashes, invoices could be missed.	Back ups are taken before any close down in opera to protect against crashes or corrupted data. Missed invoices can be added to the previous month if necessary.	1	2	No Action	Task 1M Audit 24M
7882	Purchase Payments	Pay suppliers within terms	pay the wrong amount or to the wrong company. Not pay in terms	Double checking and balancing of the bank to the accounts package	2	2	No Action	Task 1W Audit 3M

Receipts From Customers Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5855	Purchase Order Requirements Teledyne	To contact Teledyne and confirm the purchase orders we have outstanding for them	That good that are required will not be available.	Regular contact with Teledyne and regular review.	2	1	No Action	Task 1W Audit 1M
7674	Check Repairs Ready For Invoice List	Review the repairs ready For invoice List in intrastats.	That repairs will be missed.	Review the list regularly and issues.	2	1	No Action	Task 2W Audit 3M

Receipts From Customers Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7712	Review Inward Payments	Review the payments received to ensure proformas can be shipped	Computer network breakdown	Ensure IT equipment is regularly maintained. Regular review of the folder and the bank.	3	1	No Action	Task 1D Audit 1W
5	Processing Of Sales Orders	Enter Customer orders into the system, Checking Orders entered into the system so the order drops into the Active / Order picking list	Human Error leading to customer getting the wrong goods, Loss of customers	All orders are doubled checked via a different employee	1	1	No Action	
6	Updating Contact Management System	Updating Contact Management System	no ISO risk to system	none required	1	1	No Action	
8	Order And Status Liaison With Customers	To contact customers who require order confirmations and let them know their orders have been received.	that orders requiring conformation are missed or the wrong information is given	the person putting on the order confirms it to the customer to minimize the risk of missing the request.	1	1	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7783	PDF VST Invoices And Purchase Orders	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	2	1	No Action	
7676	PDFing Of Invoices Viamed	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NO LONGER REQUIRED AS DONE BY THE SYSTEM AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	2	1	No Action	
5949	Filling Credit Card Slips	Check Square transactions for any anomalies or problems	wrong amounts charged and wrong customers	training and checking, allowing staff to send invoices to the customer so they can just pay themselves. Less risk of mistakes	2	2	No Action	Task 1M Audit 1M
5899	Proforma And Quote Chasing	Chase outstanding Quotes and Proformas	Computer/network breakdown Not chased up.	Ensure IT equipment is regularly maintained. Customers can be called if necessary Audit issues to check being carried out.	3	1	No Action	Task 1W Audit 1M

Receipts From Customers Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7703	Vandagraph Pay Pal Retrieve Funds	To remove money from the Pay Pal system into Vandagraph Bank account	No risk to the process as such as its paypal driven, Can only withdraw funds to allocated bank account	follow the task and review	2	1	No Action	Task 1M Audit 6M

Receipts From Customers Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5942	Chase The Debtors Viamed	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M
6946	Accounts Debtors Review - Export	Checking the export debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	1	No Action	Task 1M Audit 6M
5932	Remit Processing And Entry Into Opera	Remits are identified, matched to the bank statement and then entered into Opera on the customer account.	That remits are missed.	The bank is checked at the end of each month against Opera and any remits that are missed are entered then.	3	1	No Action	Task 1W Audit 24M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5933	Sales Accounts Reminders	The sales account reminders or debtors are up dated and then any outstanding invoices are chased for payment.	That the wrong person is chased or that one is missed.	We use the Bank statement and Intrastats, as well as Opera, to work out what is owing. This way the debtors report is up to date before reminder are done. This is reviewed and issues sent. All contact details are in intrastats and Gmail.	3	1	No Action	Task 1M Audit 6M
5937	Review The Delivered Not Invoiced Reports	NO LONGER REQUIRED WITH XERO This report allows us to add a figure to the end of month accounts. It is a report of suppliers delivered items that have not been invoiced and therefore do not show on the accounts but do show as in stock.	It is an internal adjustment that is reversed out at the end of the next month. The only real risk is the figure from the previous month is not adjusted out correctly.	This is check by the accountants.	3	1	No Action	
7789	Withdraw Funds From Paypal	To remove the receipts that have come into Paypal over the month. So they can be entered in to accounts sales.	That a payment is not entered accounts , or onto the correct sales account.	This is done monthly to minims that quantity of payments. The debtors report reviews these payments in. If they are on incorrectly the account would still be outstanding or not balance.	1	1	No Action	Task 1M Audit 6M
6951	Accounts Debtors Review - UK	Checking the UK debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7800	Opera Nominal Ledger Close	The closing down of the previous months nominal ledger for accounts purposes.	The system crashes.	Back ups are taken before any close down in opera to protect against crashes or corrupted data. Missed items can added in the current month and manually corrected and if necessary.	1	2	No Action	Task 1M Audit 24M
5926	Petty Cash Expenses Receipts And Cash	To receive the cash receipts / invoices from those staff who work away from the office. These are then filed in the petty cash file in the accounts office.	That we do not receive all the cash receipts / invoices	Regular review of these and contact with those who work away, on their return.	1	1	No Action	Task 1M

Service Debts Risk / Opportunity Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	No Action	Task 1M Audit 12M
5923	Credits Note Processing	A credit either a part or in full - When either goods have been returned, re a sales invoice from a customer. An internal error has taken place and a sales invoice need to be re entered. On the purchasing if a supplier has sent a credit for goods or an error.	the wrong company or items could be credited. Customers could end up paying twice or not at all for somethings.	double checking the information and limiting those who can process credits.	2	2	No Action	Task 1W Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5865	Vandagraph Loan	Reminded to check the financial status of the bank accounts, If funds available pay down the vandagraph loan	No risks with process, if not performed there are no commercial implications	not required	3	1	No Action	Task 1M Audit 6M
6876	Issues For Accountants - P11D Form Re Benefits To Revenue And Customs	This is a form concerning benefits the staff receive annually. An issue is sent annually to remind of this. We then contact the accountants and ask them to fill this in for us. They ask us about benefits and they fill it in for us. This is then sent to us for signing and posting.	That we forget to fill it in.	Issue is sent annually.	1	1	No Action	Task 12M Audit 48M
7788	Petty Cash Reconciliation	This is done annually, a report for the accountant. It shows the currency and amount that we have in the building at the last day of the year.	That the report is not done and therefore an accurate figure for the petty cash is not inputted into the system.	An issue is sent at the end of the year to remind.	1	1	No Action	Task 12M

ISO Auditing Bodies

Risk / Opportunity
Audits
Audits And Monitoring
Cerificates
Communications
Compliance
Notifications

ISO Auditing Bodies

Audits Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
32	MDALL Listings	Complete the CMDCAS Paperwork once per year to Keep the Licence to sell in canada NO LONGER KEEP THIS CERTIFICATE	no risks identified	non required, Rolling Issue to log paperwork - No audit required	1	1	No Action	Task 12M
23	Company Objectives	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	Document reviewed once a year	1	1	No Action	Task 12M
22	Company Policys	Ensure the company policys are still current and upto date	Company shoots of in directions that are not laid out in its policys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	No Action	Task 12M
7713	Review Roles And Responsibilitys	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M
55	Business Continuity Plan	Business Continuity Plan	If the list is not comprehensive enough and the plan not good enough or reviewed enough then the company will not be able to be back up and running if a problem occurs.	plan in Place reviewed regularly	1	1	No Action	Task 12M
7070	Management Review	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	2	1	No Action	Task 3M

Audits Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5881	Training Records Review	Keep Staff Training records upto date See if any records need updating, also see if any records need signing off	Keep enough trained staff to perform our tasks	Training records, roles and titles	2	1	No Action	Task 6M Audit 12M

Audits Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5935	Stock Allocations	To allocate stock that has not automatically be linked to a repair or invoice. No longer required with replacement order system	Items that should be linked to a invoice are not in the allocations list. That items are allocated incorrectly on the list.	Care is taken where allocating stock to invoices and credits. Research is done where it is not clear what item should be allocated.	2	1	No Action	
7753	Management Meeting Warehouse	To discuss any problems, to assess work load and staffing. To review issues with regard the Warehouse.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	3	1	No Action	Task 1M Audit 3M

Audits Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distibuting incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	

Audits Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
28	Supplier Review	Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Supplier certificates go out of date, or they lose ISO standards and we're unaware	rolling task to do the supplier review	1	1	No Action	Task 12M Audit 12M
5887	Review ISO/EN Documents	To Keep Products and Services up-to date with current regulations and standards	Shipping products and or services with below regulations and or standards	Rolling Issue Review on Stanards / Legislation Regular review of Technical file sections to research each affected standards when updated	2	2	No Action	Task 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7743	Customer Complaints Paper File	Major Customer Complaints get escalated to Paper Customer Complaints file. Check the File is being Maintained and any relevant documentation is in the File.	Customer Complaints could be missed or not filed correctly	Digital system Regular reviews and issues and management meeting	2	1	No Action	Task 6M
7071	Post Market Surveillance	The process by which re view and risk assess all product files, check that no Products / Designs have changed significantly to warrant informing any notified bodies eg. MDD / BSI / CMDCAS or any other related Body.	Loss of certifications Unforeseen product risks.	Rolling tasks and Issue. This process is audited.	1	3	No Action	Task 2M Audit 12M

Audits Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
46	Backup Server Status	Check the status of the Backup Server, is done at same time as primary server	Replacing the server requires technical knowledge of Linux, LAMP set up, and Samba settings,	Procedures in place to replace the main server. Linux is fairly well understood and a free download. roughly runs 35.9% of the internet so no shortage on world based knowledge.	1	3	No Action	Task 2W Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7672	Off Site Backup	To take a copy of the important data off-site thats not being automatically backup by the system, Currently T Drive being the primary files to be backed up. Changed routine to Monthly, as only T drive is now being backed up, all other files automatically being backed up remotely	now as its a backup process Back is unrestorable	Development server is off site and data is restored form the backup data to keep the development server upto date so backup data is regularly tested	2	2	No Action	Task 1M Audit 3M
7881	Software Validation - Live Orders	To compare Opera Live Orders to Intrastats Back order Active List NO LONGER REQUIRED Opera is now out of the system	no risks, confirmation back orders is working as inteneded	not applicable	1	1	No Action	

Audits Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
41	Documentation Control	Allocation of overall responsibility						
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	No Action	Task 1M Audit 6M
5851	Duplicate Documents	Removal of Duplicate documents	no risk as such. how duplicates in the system can waste time by having to work out if one succeeds the other.	rolling task. on uploading a document a duplicate is often flagged up immediatly	3	1	No Action	Task 1M Audit 6M
5852	Retention Of Records							

Audits Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5905	Price Checking	Check we have consistent pricing across the different databases.	Incorrect pricing can cause customer confusion	Rolling task and Audit to check the List	3	1	No Action	Task 1M Audit 3M

Audits Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5927	Accounts Filing	To file the paperwork received and the digital items in a place where they are easily retrievable.	That documents are lost if they are not filed sensibly and in the correct place.	Care need to be taken and if something is of greater importance then the same document can be filed in more than one sensible location. ie. proof of shipments needed by the HMRC - the customer file and the file of shipping document. These are historic and there for will not change over time.	2	2	No Action	Task 6M Audit 12M

Audits Risk / Opportunity Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7762	Audit 01 Picking Packing VST	To carry out Audit 01 Picking Packing VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7714	Audit 01 Picking Packing Viamed	To carry out Audit 01 Picking Packing Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7715	Audit 02 Contract Review Viamed	To carry out Audit 02 Contract Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7716	Audit 03 Design Control Viamed	To carry out Audit 03 Design Control Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7717	Audit 05 Purchasing Suppliers Viamed	To carry out Audit 05 Purchasing Suppliers Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7718	Audit 06 Calibration Viamed	To carry out Audit 06 Calibration Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7719	Audit 07 Handling And Storage Viamed	To carry out Audit Audit 07 Handling And Storage Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7720	Audit 08 Training Viamed	To carry out Audit 08 Training Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7721	Audit 09 Goods Inward And Product Identity Viamed	To carry out Audit 09 Goods Inward And Product Identity Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7722	Audit 10 Documentation Control Viamed	To carry out Audit 10 Documentation Control Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7723	Audit 10b Process Verification Viamed	To carry out Audit 10b Process Verification Viamed Now Defunct - See Audit 20	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7724	Audit 11 Repairs And Service Viamed	To carry out Audit 11 Repairs And Service Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7725	Audit 12 CE Files Viamed	To carry out Audit 12 CE Files Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7726	Audit 14 Complaints And Corrective Actions Viamed	To carry out Audit 14 Complaints And Corrective Actions Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task	1	2	No Action	Audit 12M
7727	Audit 15 Production Viamed	To carry out Audit 15 Production Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7728	Audit 17 Internal Audits Viamed	To carry out Audit 17 Internal Audits Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7729	Audit 19 Health And Saftey Viamed	To carry out Audit 19 Health And Safety Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7730	Audit 20 Process Verification To Managment Viamed	To carry out Audit 20 Process Verification To Management Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7731	Audit 21 Audit Of Audit Viamed	To carry out Audit 21 Audit Of Audit Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7733	Audit 23 Analysis Of Data Viamed	To carry out Audit 23 Analysis Of Data Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7763	Audit 02 Contract Review VST	To carry out Audit 02 Contract Review VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7764	Audit 03 Design Control VST	To carry out Audit 03 Design Control VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7765	Audit 05 Purchasing Suppliers VST	To carry out Audit 05 Purchasing Suppliers VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7766	Audit 06 Calibration VST	To carry out Audit 06 Calibration VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7767	Audit 07 Handling And Storage VST	To carry out Audit 07 Handling And Storage VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7768	Audit 08 Training VST	To carry out Audit 08 Training VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7769	Audit 09 Goods Inward And Product Identity VST	To carry out Audit 09 Goods Inward And Product Identity VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7770	Audit 10 Documentation Control VST	To carry out Audit 10 Documentation Control VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7771	Audit 10b Process Verification VST	To carry out Audit 10b Process Verification VST Now Defunct - See Audit 20	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7772	Audit 11 Repairs And Service VST	To carry out Audit 11 Repairs And Service VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7773	Audit 12 CE Files VST	To carry out Audit 12 CE Files VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7774	Audit 14 Complaints And Corrective Actions VST	To carry out Audit 14 Complaints And Corrective Actions VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7775	Audit 15 Production VST	To carry out Audit 15 Production VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7776	Audit 17 Internal Audits VST	To carry out Audit 17 Internal Audits VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7777	Audit 19 Health And Saftey VST	To carry out Audit 19 Health And Safety VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7778	Audit 20 Process Verification To Managment VST	To carry out Audit 20 Process Verification To Management VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7779	Audit 21 Audit Of Audit VST	To carry out Audit 21 Audit Of Audit VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7780	Audit 22 Post Market Surveillance VST	To carry out Audit 22 Post Market Surveillance VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7781	Audit 23 Analysis Of Data VST	To carry out Audit 23 Analysis Of Data VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7889	Audit 24 Servicing Viamed	To carry out Audit 24 Servicing Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7887	Audit 18 Management Review VST	To carry out Audit 18 Management Review VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7886	Audit 18 Management Review Viamed	To carry out Audit 18 Management Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7732	Audit 22 Post Market Surveillance Viamed	To carry out Audit 22 Post Market Surveillance Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7885	Audit 04 Accounts And Finance Viamed	Carry out Audit 04 Accounts for Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Task 12M

Audits And Monitoring Risk / Opportunity
Responsibility Share Holder

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7862	Review The Audit Calender Screen	Review The Audit Calendar Screen	Requirement of ISO	review of calander	1	1	No Action	Audit 12M

Audits And Monitoring Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
39	Enviromental Policy Document Review	Ensure our Viamed Environment and WEEE Policys are upto date and suitable for current legislation	Potential to break the Law of the land with unsuitable policys	Rolling task and audits	1	2	No Action	Task 12M
7741	Review Ethical Policy	Review the current Ethical Policy in intrastats	That something is missed that we would like to include	Complete task when issue come.	1	1	No Action	Task 12M
7830	Review Q.A. Failures Report	To review the Quantities of Failed product per Stock reference Passing through the Q.A. system	That a high proportion of a product might fail QA and not be flagged	Regular reviews and assessments of the QA fail reports	3	1	No Action	Task 1M Audit 3M
7839	Review VIAMED Feedback - Customer Complaints	To Review Viamed Customer Complaints	Rolling Issue No Risk	Keep detailed records and review	3	1	No Action	Task 1M
7871	Review Exclusion From Viamed 13485:2016 And VST 9001:2015	To review the Exclusions / boundaries to ISO 13485:2016 for Viamed	Something is missed.	Keep up to date with issues.	1	1	No Action	Task 12M
7874	Review For Latest Version Med Dev 2.12.	To Ensure we have the latest version of Med Dev 2.12. and update management if its been updated	Using out of date Med Dev	Rolling Issue	1	1	No Action	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7876	Maintain Update Of ISO Route Maps	To review Route map VIAMED 13485:2016 and VST 9001:2015 See if a new Summary sheet needs producing, print new PDF, and upload on top of the old summary	Summary sheet gets out of date.	Rolling Issue	2	1	No Action	Task 1W Audit 1M
7878	Review Possible Upcoming Regulation Changes	Review possible legal / regulator changes that might affect Viamed / VST	Legal / Regulatory changes stop us being able to carry out our processes as per QMS	rolling Issues	1	3	No Action	Task 3M

Audits And Monitoring Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6829	Supplier Review - Outstanding Orders	Orders that have not been supplied in the time scale provided.	That good will be delayed and therefore not available to customers.	Regular contact with the suppliers.	2	2	No Action	Task 1M Audit 3M
7138	Non Conformance Issues Any New QC21 Forms	To review any new QC 21 Forms Check existing forms for corrective actions and effectiveness	potential non conformances go undetected	rolling Issue	3	1	No Action	Task 1M Audit 12M
7797	Check Order Are Being Picked In Priority Order	Check order are being picked in order of priority and date.	Orders going at before more urgent ones	Issues, Audit and visual checks.	2	1	No Action	Task 8W Task 2D Audit 3M

Audits And Monitoring Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7792	Shipped Order Success Report	A report is generated from figures in Intrastats to display how many orders have been shipped without errors	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	Task 3M Audit 3M

Audits And Monitoring Risk / Opportunity
Responsibility Production Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7738	Production Statistics	Production Review, Identify any production jobs taking a long amount of time	No procedure	It is a simple checking list, no procedure is required as all required information is in the Task.	3	1	No Action	Task 1M Audit 3M

Audits And Monitoring Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6871	ISO14001 Environmental Management Systems	Not yet Applied Rolling Issue to see if we should apply this standard in the future	If we went for this, the risks would be incomplete data or ineffective system	If we went for this, we would carry out regular review and meetings	1	1	No Action	Task 12M
7829	7829 Needs Reviewing	Complete Systems Review	missed updates / issues	regular checks	1	1	No Action	
7093	BSI Audits Calander	Review of outstanding Audits	Audits dont get completed	rolling Issue 725	1	1	No Action	Task 12M

Audits And Monitoring Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7739	Intrastats Amendment Log	Intrastat Changes updates. Logging system to enable roll back should anything break	None, The updates are automatically logged and stored for easy retrieval. This process is simply to add notes to new updates	Rolling Issue to add notes	2	1	No Action	Task 1W

Audits And Monitoring Risk / Opportunity
Responsibility Humanmed Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7671	Humanmed Non Conformances	Humanmed Non Conformances	non conformations not logged.	Regular issue to prompt staff to report problems.	2	2	No Action	

Cerificates Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7895	FDA Device Establishment Registration	To conitune our FDA registration (for the Apgar timer)	unable to sell in U.S.A	rolling task	1	1	No Action	Task 12M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M
15	Filing And Archiving	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	Train staff to take time and ensure it is filed in order	1	1	No Action	Task 31D Audit 12M

Compliance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6931	Customer Complaints	Review the Customer Complaints Heading	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	1	3	No Action	Task 1W Audit 6M
7838	Review VIAMED Feedback - Customer Feedback Negative	Review Customer Feedback Negative	Rolling Issues No risk to process	Regular review of the issues	3	1	No Action	Task 1M
7837	Review External Parties Influencing The QMS VST / Viamed	To Review the External Parties Influencing The QMS VST / Viamed Checked the Scopes and Risks, Review the Underlining Processes and Tasks	External party has un-reviewed expectations	Customer complaints / Non conformance reviews should highlight any missing expectations	1	1	No Action	Task 12M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7845	7.1.4 Environment Of Operations	Determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. Merged into 7729 can close the tasks	no risk. to the process, however risk maybe some problems may be brought up that are better left un-brought up, which may result in loss of staff while dealing with a problem that is suddenly brought to light that was better not addressed.	Keep up to date with issues.	1	1	No Action	
7842	Review VIAMED Product Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	That an issue or report might be missed. That a Negative feedback form Products might not be reviewed	Regular review of the issues - feedbacks and customer complaints. Review meetings and management review	3	1	No Action	Task 1M
7840	Review VST Feedback - Customer Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	That an issue or report might be missed. That a Negative feedback form Products might not be reviewed	Regular review of the issues - feedbacks and customer complaints. Review meetings and management review	3	1	No Action	Task 1M
7841	Review VST Feedback - Customer Complaints	To review Customer Complaints see if Non Conformance need to be raised	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	3	1	No Action	Task 1M
7843	Review VST Product Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raise	Issues could be missed	regular reviews	3	1	No Action	Task 1M
27	Management Reviews And Quality Audits	To review and close all automatic rolling Issues. Including all rolling tasks and audits	that the task is missed that follow ups are missed	Regular reviews and issues Managment review meeting	3	1	No Action	Task 1W Audit 6M
7846	ISO System Management Review Viamed	To Comply with Top Level Re-authorise the Current Audits for next 12 Months Cover the Agenda as Per VOP13	Failure to do may cause major non conformites in QMS System	Rolling Issue to flag its due	1	1	No Action	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7848	Review ISO Scopes	To Review the Scope of the ISO 9001 / ISO 13485 Standards	No risks Rolling issue to perform task	Rolling issue to perform task	1	1	No Action	Task 12M
38	Audits Up To Date And Confirm Next Years Audit Schedule	Management oversight of Internal Tasks and Audits Issue(s). Review the responses to Tasks and Audits. ensure they are being fulfilled and completed. Ensure Audits performed indendantly of audit area Ensure All ISO Sections linked to an Audit - QC 17 Route Map	The process itself as its a review process. Audits could be missed, issues related missed or not followed up.	Regular issues and review in Management review	1	1	No Action	Task 12M
7849	Review Product Failures New Codes	Review the Customer Returns and Review Product Failures New Codes	Product failures / returns do not get reviewed and a new Risk may occur	Intrastats Rolling Task and Audits	1	3	No Action	Task 1W Audit 3M

Compliance Risk / Opportunity Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7754	7754 Needs Reviewing	Ensure procedures are relevant and up to date, update as required	Using out of date procedures,	rolling issue	5	1	Unacceptable	
7699	Shred Sensitive Paperwork In JL Office	Shredding of sensitive information	Broken shredder	Ensure shredder is regularly maintained	1	1	No Action	Task 2W Audit 1M

Compliance Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7744	FDA Device Establishment Registration And Listing	FDA registration and the CMDCAS products In order to sell in the USA / Canada Markets products need to be registered with the FDA.	Its harder to initially get on teh register than maintaining it. Inability to sell products in North America	Rolling Issue	1	1	No Action	Task 12M
7827	Review The Quality Policy VST	To review the Quality policy and check it is still valid and upto date.	that policy will go out of date	Keep up to date with issues.	1	1	No Action	Task 12M
7828	Review The Quality Policy Viamed	To review the Quality policy and check it is still valid and upto date.	That the policy will go out of date	Keep up to date with issues.	1	1	No Action	Task 12M
7833	Importance Of Effective Quality Management	To Remind Staff of the Importance of the ISO systems and they should be following the procedures	people may become careless	Keep up to date with issues.	2	1	No Action	Task 6M
6866	Internal Process Verification Complete Systems Review	Review the Internal Process and Verification's are suitable for the current standards PROCESS NOW CANCELLED AS REPEAT OF AUDIT 20	Review not carried out	Keep up to date with issues.	1	1	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5890	Check Website ISO Documents	Ensure the online available copies of our ISO standards are upto date	customers download out of date documents.	rolling Issue to check the online documents	3	1	No Action	Task 1M Audit 6M

Compliance Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7851	Software Validation Scan Un-QA Product To Order	To test intrastats does not allow picking of unprocessed products to live customer orders	Unprocessed product gets out into the field, resulting in recalls	Intrastats Controlled	1	1	No Action	Task 6M Audit 12M
7850	Software Validation Scan Incorrect Product	Test the Goods out process disabling picking of items not relating to an order	system allows incorrect items to be picked to customer orders	Intrastats Controlled	1	1	No Action	Task 9M Audit 12M
7852	Software Validation Expired Stock	To attempt to Scan a product that has gone past its expire date.	Expired product leaves the building and unusable products get to customers	Intrastats Controlled	1	1	No Action	Task 12M Audit 12M
7853	Software Validation Non Sell Able Shelf	Warehouse shelves can be tagged as sellable stock / unsellable stock. Either for quarantine purposes or holding items for other customer orders. Test that Order picking cannot pick unsellable stock locations to an Order	quarantine stock leaves the building to a customer order, or stock on hold for a customer gets shipped to another customer.	Intrastats Controlled	1	3	No Action	Task 12M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7854	Software Validation In Production List	Software Validation of the production lists. By confirming no extra production jobs are stuck in the system, and all listed production jobs are found. the production tracking is validated	Software tracking of production jobs fails.	Intrastats controlled rolling Issues to check the system	2	2	No Action	Task 3M Audit 6M
7855	Software Validation - Production Lists	Software Validation - Production Lists Review the current active production lists in intrastats to the actual in progress production lists	Software inaccuracies in production	Intrastats controlled rolling issues to confirm	2	2	No Action	Task 3M Audit 6M
7856	Software Validation Unchecked Orders	To check order picking cannot pick against an unchecked order	Customer receives incorrect items due to order not being checked.	Intrastats Controlled. Rolling Issue to prove system works as intended	2	2	No Action	Task 12M Audit 12M
7857	Software Validation Stock Tracking Check	To confirm Software Validation Stock Tracking Check, is functioning as expected	Stock gets mislaid in the warehouse	rolling issue to check the system	2	1	No Action	Task 6M Audit 12M
7858	Software Validation Attempt To QA Some Stock	Test the QA System that Staff not trained for QA are unable to QA a Product.	Untrained staff QA/Processing Product	Rolling Test Task	1	3	No Action	Task 6M Audit 12M

Supplier

Risk / Opportunity
Communications
Payments
Product Feedback
Product Trace Ability
Purchase Orders
Returns

Supplier

Communications Risk / Opportunity Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7830	Review Q.A. Failures Report	To review the Quantities of Failed product per Stock reference Passing through the Q.A. system	That a high proportion of a product might fail QA and not be flagged	Regular reviews and assessments of the QA fail reports	3	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7796	Review Franking Label Errors	To collate all the franking slips that have errors on them and so where not useable. These are returned to Royal mail for a refund of the carriage.	That they are lost or not returned quickly enough to get a refund	Follow the issue reminding staff to return them.	2	1	No Action	Task 3M Audit 3M

Communications Risk / Opportunity Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
57	Temporary Stock Notices	To Review Memos on Stock references tagged as Temporary	That an out of date memo is left on the account	Regular reviews	2	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distributing incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	
15	Filing And Archiving	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	Train staff to take time and ensure it is filed in order	1	1	No Action	Task 31D Audit 12M
20	Processing Of Mail Shots	Ensuring mail shots are printed and sent	Depleted stock of leaflets	Ensure leaflet stocks are maintained	1	1	No Action	Task 1W Audit 1M
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk	1	1	No Action	
7699	Shred Sensitive Paperwork In JL Office	Shredding of sensitive information	Broken shredder	Ensure shredder is regularly maintained	1	1	No Action	Task 2W Audit 1M

Communications Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7810	Research Activities	Investigating products and applications, existing and potential products.	That the data is incorrect or out of date. Investigations are not thorough.	Double check sources and review facts and data.	3	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
28	Supplier Review	Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Supplier certificates go out of date, or they lose ISO standards and we're unaware	rolling task to do the supplier review	1	1	No Action	Task 12M Audit 12M
6871	ISO14001 Environmental Management Systems	Not yet Applied Rolling Issue to see if we should apply this standard in the future	If we went for this, the risks would be incomplete data or ineffective system	If we went for this, we would carry out regular review and meetings	1	1	No Action	Task 12M

Communications Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
53	Emails	Maintain the Online Email boxes currently Google and Goldmine	incorrect email routing can lead to emails not getting to where they are supposed to be	Email is a common tool, any problems with emailing is apparently quickly.	1	1	No Action	Audit 1W

Communications Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	No Action	Task 1M Audit 6M

Communications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7745	UPS Invoices Viamed	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	Issues to remind. UPS send us statements regularly and this can be checked to the accounts package. If we do not pay they would chase us.	1	2	No Action	Task 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7747	UPS Invoices Vandagraph	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	Issues to remind. UPS send us statements regularly and this can be checked to the accounts package. If we do not pay they would chase us.	1	2	No Action	Task 1W Audit 1M
7746	UPS Invoices VST	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	Issues to remind. UPS send us statements regularly and this can be checked to the accounts package. If we do not pay they would chase us.	1	2	No Action	Task 1M
7794	V1000 Commissions Review	To review the payments of commissions for the v1000 Product line	This may be missed	Issues sent to remind this.	2	1	No Action	Task 3M
6819	Supplier Payments And Invoice Processing	Inputting the invoices from suppliers for the correct month. Ensuring they are all entered in to the correct period.	invoices missed and therefore absent from accounts and Vat return	Regular checks	1	2	No Action	Task 1W Audit 12M

Communications Risk / Opportunity Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7717	Audit 05 Purchasing Suppliers Viamed	To carry out Audit 05 Purchasing Suppliers Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

Payments Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5931	Purchase Invoices In To Opera	Putting into opera the purchase invoices that are received from our suppliers, by Email, fax, post or by hand.	Invoices missed, not received or entered incorrectly.	Opera has a purchase orders that are invoiced on the system when they are received, this means they are entered correctly. A report is run monthly to check orders that have been delivered but not invoiced.	2	1	No Action	Task 1W Audit 12M

Product Feedback Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6829	Supplier Review - Outstanding Orders	Orders that have not been supplied in the time scale provided.	That good will be delayed and therefore not available to customers.	Regular contact with the suppliers.	2	2	No Action	Task 1M Audit 3M
6850	Current Stock Levels	Review current stock levels	If the levels are incorrect or we have a shortages then customers will not receive their goods in a timely manor.	Regularly review the stock levels. Supplier lead times and orders. Customer froward orders.	2	1	No Action	Task 2W Audit 6M
7787	Check Returns All Supplier	Review the returns that are present in the duckets, for each supplier as per the issues.	Goods not returned in a timely manor so causing items to be out of warranty.	To review the issues and contact the regularly supplier. Follow there returns procedures.	3	1	No Action	Task 1M Audit 1M
6832	Supplier Review Future Orders	Orders that will be placed in the future.	That we will not place the correct orders and the right time.	Regular check and issues.	2	1	No Action	Task 1M Audit 12M

Product Feedback Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7071	Post Market Surveillance	The process by which review and risk assess all product files, check that no Products / Designs have changed significantly to warrant informing any notified bodies eg. MDD / BSI / CMDCAS or any other related Body.	Loss of certifications Unforeseen product risks.	Rolling tasks and Issue. This process is audited.	1	3	No Action	Task 2M Audit 12M

Product Trace Ability Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7713	Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M

Product Trace Ability Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5868	Return Goods To Suppliers	To get Returns numbers from suppliers with return shipments pending.	Not performing the process can lead to products being returned within the warranty period causing financial loss.	Rolling Issue system and rolling audit against the procedure	2	1	No Action	Task 1W Audit 2M
7825	Order Picking	To Pick and Pack customer Orders	Computer Failure Incorrect orders	Rolling Issues Order Checking Active List review	1	1	No Action	

Product Trace Ability Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7748	Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	No Action	Task 7D Audit 12M
7691	Ship Sale Or Returns	Review the sale or return shelf and ship those items.	Goods will be missed	Regular review and issues sent. Audit carried out.	2	1	No Action	Task 1D

Product Trace Ability Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7719	Audit 07 Handling And Storage Viamed	To carry out Audit Audit 07 Handling And Storage Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7721	Audit 09 Goods Inward And Product Identity Viamed	To carry out Audit 09 Goods Inward And Product Identity Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

Purchase Orders Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5855	Purchase Order Requirements Teledyne	To contact Teledyne and confirm the purchase orders we have outstanding for them	That good that are required will not be available.	Regular contact with Teledyne and regular review.	2	1	No Action	Task 1W Audit 1M
7679	Check Stock Requirements Supplier Teledyne	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W
7680	Check Stock Requirements Supplier Envitec	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W Audit 1M
7682	Check Stock Requirements Supplier Blueprint	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7681	Check Stock Requirements Supplier Posey	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W
7685	Repairs Ready For Invoice	Process Invoice for completed repairs.	repair has errors on it	secondary checking carried out on all customer orders.	1	1	No Action	Task 2D
7684	Repairs Ready For Quote	Process Repairs Ready For Quote	If process does not get performed, we likly to loose customers, get complaints over not responding to customers returned goods	rolling task	1	1	No Action	Task 1D
7683	Check Stock For Proforma	To check that we have stock in for customer proformas. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between office and warehouse.	2	1	No Action	Task 1W
7826	Goods In Processes	To Receive Goods from Suppliers	incorrectly booked in not booked in	procedures Goods in notices	2	2	No Action	Task 1M Audit 3M
5866	UPS Shipping Fuel Surcharge	UPS surcharges change on a monthly basis. The internal system requires updating so the postage rates can be calculated by anyone correctly. *PROCESS REPLACED WITH WORLDSHIP	We pay more for shipping than we charge to the customer	We a have a built in saftey net of X % set in the admin side of the UPS rates section. Rolling Issue and Audit the process is being performed	1	2	No Action	
6955	Production Requirements	To set production job for any stock item that is needed for customer back order, warehouse requests or marketing	that jobs will not be added and customers orders will be delayed	regular review of the active list by a production controller	2	1	No Action	Task 1W Audit 3M

Purchase Orders Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7801	VST Price Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	No Action	Task 12M Audit 12M

Purchase Orders Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5850	Purchase Order Log	Check the PO log is up to date with confirmations and expected shipping dates	The order is not checked and the supplier has not received it ergo we do not receive the order	check all orders regularly	2	1	No Action	Task 1M Audit 3M
7707	Send Purchase Orders To Suppliers	Emailing purchase orders to suppliers	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	Task 1D Audit 1W
7751	VST Purchase Order Log	Check the VST PO log is up to date with confirmations and expected shipping dates	The order is not checked and the supplier has not received it ergo we do not receive the order	check all orders regularly	2	1	No Action	Task 1W Audit 1W

Purchase Orders Risk / Opportunity
Responsibility Goods In

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7859	Check POR Files For Items Delivered But Not Removed From File	Checking of the POR Files For Items Delivered But Not Removed From File	POR are left in the file when goods booked in.	regular check prompted by rolling issues.	3	1	No Action	Task 1M

Purchase Orders Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7697	Yearly Pricing Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	No Action	Task 12M Audit 12M

Purchase Orders Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7765	Audit 05 Purchasing Suppliers VST	To carry out Audit 05 Purchasing Suppliers VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

Returns Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7784	Check Returns Supplier Envitec	Supplier returns to Envitec, return any products waiting to be returned	Product not returned so missing the supplier warranty	Automatic Issues to review	2	1	No Action	Task 1W Audit 1M
7785	Check Returns Supplier Teledyne	Supplier returns to Teledyne, return any products waiting to be returned	Product not returned, risks not analysed	Automatic Issues to review	2	1	No Action	Task 2W Audit 1M
6862	Current Repairs	The repairs that are currently in the building. Confirm the Stage and Location of repairs	Repairs not being worked on in a timely manor. Repairs being processed with out authorisation from customer.	Regular contact with the customer and filling in intrastats details. Issues to review.	2	1	No Action	Task 1W Audit 3M
7786	Check Returns Supplier Maxtec	Supplier returns to Maxtec, return any products waiting to be returned	Product not returned, risks not analysed	Automatic Issues to review	2	1	No Action	Task 2W Audit 1M

Internal Systems

Risk / Opportunity
Backups
Communications
Computer Maintenance
Databases
Holidays
Personnel Manual
Procedures
Product Information
Production
QA
QMS System
Technical Files

Internal Systems

Backups Risk / Opportunity Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7706	Update Virus Software And Scan For Viruses	Updating of anti-virus software and scanning computers for viruses	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	2	No Action	Task 1W

Backups Risk / Opportunity Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7672	Off Site Backup	To take a copy of the important data off-site thats not being automatically backup by the system, Currently T Drive being the primary files to be backed up. Changed routine to Monthly, as only T drive is now being backed up, all other files automatically being backed up remotely	now as its a backup process Back is unrestorable	Development server is off site and data is restored form the backup data to keep the development server upto date so backup data is regularly tested	2	2	No Action	Task 1M Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
46	Backup Server Status	Check the status of the Backup Server, is done at same time as primary server	Replacing the server requires technical knowledge of Linux, LAMP set up, and Samba settings,	Procedures in place to replace the main server. Linux is fairly well understood and a free download. roughly runs 35.9% of the internet so no shortage on world based knowledge.	1	3	No Action	Task 2W Audit 12M
52	Software Verification Clear Down Backup Emails	Keeps a month or so backup emails	Mail box gets full and bounces emails back	Regular task to clear down emails	2	1	No Action	
7121	General Computer Maintenance							
45	Main Server Status	Check the status of the Main Server	If the Main server fills up it can stop all processes completely. Replacing the server requires technical knowledge of Linux, LAMP set up, and Samba settings	Procedures in place to replace the main server. Linux is fairly well understood and a free download.	3	3	Unacceptable	Task 1M

Communications Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6861	Management Meeting Review Weekly Meeting	Non Minuted Management discussions on issues	the meeting wont be held	regular issue	2	1	No Action	Task 1W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7890	New UPS Rates Needs Checking	To get the next years UPS zone and areas and Pricing Import into intrastats, No formal procedure as UPS keep changing style and layout, can be done manually	Our pricing calculations dont work out,	rolling issue to update the lists but can only be performed when new pricing comes in.	2	1	No Action	Task 12M Audit 12M

Communications Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5936	Wages Calculations	To print the time sheets and add any extras, overtime, sick days, or commissions.	That items will be missed.	This is reviewed before submitting to the accountants. All information is from intrasts or individual members of staff.	2	2	No Action	Task 1M
5881	Training Records Review	Keep Staff Training records upto date See if any records need updating, also see if any records need signing off	Keep enough trained staff to perform our tasks	Training records, roles and titles	2	1	No Action	Task 6M Audit 12M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distibuting incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	
5893	Answering Website Questions	Answering any questions that are asked via the website from within Intrastats PROCESS NO LONGER REQUIRED Web QUESTIONS NOW COME IN VIA shopify, and Email	Computer/network breakdown	Ensure IT equipement is maintained	1	1	No Action	
7795	Answering UK Web Questions	Answering any questions that are asked via the website from within Intrastats	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5857	Customer Service Logs	Ensuring customer onsite service visits are completed	Engineer or equipment is unavailable	Liaison with customer and engineer to find best times and dates for visit to take place	2	1	No Action	Task 1W Audit 1M
36	Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	2	1	No Action	Task 1D Audit 1W

Communications Risk / Opportunity
Responsibility OEM Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7894	VST Customer Agreements	To check the Current Customer Agreements are still Valid	minimal risk	Rolling Issue	1	1	No Action	Task 6M Audit 12M

Communications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7743	Customer Complaints Paper File	Major Customer Complaints get escalated to Paper Customer Complaints file. Check the File is being Maintained and any relevant documentation is in the File.	Customer Complaints could be missed or not filed correctly	Digital system Regular reviews and issues and management meeting	2	1	No Action	Task 6M

Communications Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7701	AWS Amazon Web Services	Amazon Web Services, is an online service, which basically simply provides a Linux PC out on the Web. Viamed uses this, for Web development of Websites: It hosts a working backup of many websites. Viamed / vst / vandagraph etc..	No risks as its used for development and backups of working websites	Keep up to date with issues.	3	1	No Action	Task 1M
44	Secure Socket Level Certificate	Encrypt data sent back and forth to Intrastats so it can be used off site	<p>If certificate fails you can bypass the warnings and continue and still have encryption.</p> <p>only risk would be a man in the middle attack, however as Intrastats is in constant use warnings would be given to all members of staff as it tries to update.</p> <p>risk is minimum</p>	Regular updates to the systems and software	1	1	No Action	Task 12M
7700	Domain Name Management	Maintain Domains for websites	Loss of website presense	rolling Issue to check domains	3	1	No Action	Task 1M

Communications Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7863	Maintain Repair Codes List	To confirm the current repairs codes for various products in the system are up to date and available to office members of staff.	use of incorrect repair codes	annual review	1	1	No Action	Task 12M Audit 24M
7893	VST Price Lists	To confirm the Document index Price Lists	Prices go out of sync between Opera Main listing and the documented price lists	Rolling Issue	1	1	No Action	Task 3M

Communications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5942	Chase The Debtors Viamed	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M
7824	Chase The Debtors VST	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	1	No Action	Task 1M Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5920	Cheques To Bank - Fill In Paying In Book	Cheques that are received in from customers as payments, refunds from Royal Mail, HMRC in the form of Duty refunds etc. These are filled in to the paying in book, located in the accounts office. Then taken to Barclays bank.	Cheques being lost as this is a physical process. The book being filled in wrong and having to be corrected at the bank when they deposit the cheques.	Double check figure and take the paying in book to the bank in a bag with all the cheques included, so they cannot fall out. Scheduled issue ID432	4	1	Risk Benefits	Task 1W Audit 12M
5874	Childcare Vouchers Edenred	Edenred childcare voucher. these are purchased from Edenred and then the staff that are signed up for the service, salary sacrifice from their pay. Done by the Payroll people, Then childcare vouchers are sent directly to the nursery designate. It is a government scheme to help working families with childcare there are tax benefits for using the service.	The wrong amount being invoiced or a change in staff requiring them. That the law will change and the amounts or process will alter over time.	Double check with the staff who wants what and how much. Also adhering to the laws relating to this benefit. Schedule ID165	1	1	No Action	

Computer Maintenance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7713	Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7845	7.1.4 Environment Of Operations	Determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. Merged into 7729 can close the tasks	no risk. to the process, however risk maybe some problems may be brought up that are better left un-brought up, which may result in loss of staff while dealing with a problem that is suddenly brought to light that was better not addressed.	Keep up to date with issues.	1	1	No Action	
26	Company Resources	Overview of the Company using various data Reporting Screens	Not enough resources to complete tasks	Task management system	3	1	No Action	Task 1M

Computer Maintenance Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5903	Weather Station	To record the daily barometric pressure	Pi can fail, Weather station can Fail Data not logged. Data not crucial to Systems	Rolling Issues	4	1	Risk Benefits	Task 1W Audit 1M
7739	Intrastats Amendment Log	Intrastat Changes updates. Logging system to enable roll back should anything break	None, The updates are automatically logged and stored for easy retrieval. This process is simply to add notes to new updates	Rolling Issue to add notes	2	1	No Action	Task 1W
7755	Fast Hosts Invoice	To Send Invoice for online services to Helen	No risks to system. Accounting excersise	Rolling Issue no audit required as Accounts will chase up for the invoice when they find they don't have it	3	1	No Action	Task 1M
7126	Intrastats Requested Page Updates	Fix general errors in intrastats such as Spelling errors or columns not lining up	that a fix is missed or a page does not work	This page helps to minimise the risk itself also regular review and feedback	2	1	No Action	Task 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7129	Intrastats Cross Reference Database Tables Updates	Update the online Cross reference guides with latest intrastats data.	The online Cross reference guide not updated	database maintenance Regular issues	3	1	No Action	Task 1M Audit 3M
7704	Computer Failure Diagnostics	To Keep The computer systems running within the organisation. This is a reactionary process so there is no rolling tasks associated	Staff unable to do the Work. Internet Failure.	Most Staff can use other Systems is theirs goes down. a Backup link is available for using the systems without internet,	3	1	No Action	
7832	Cleardown Emailed Invoices	Backup of all Sent Emails sent to External Address for Verification	that we may loose some emails	regular issues to remind to do job	1	1	No Action	Task 2W Audit 12M

Computer Maintenance Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	No Action	

Computer Maintenance Risk / Opportunity
Responsibility Humanmed Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7782	Remove Started But Not Used Order Numbers	Remove Started But Not Used Order Numbers from intrastats. Process no longer required with end of Opera	not clear regularly, accidental usage of an old ORDER number generated by mistake	issues	2	1	No Action	

Databases Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5877	Review Company Data	To review the numbers of various departments. Showing increasing / reducing staff requirements Check Audit Roles Titles and Processes in Employee Roles and Titles. Check the Page for Red Crosses and potentially missing objectives	incorrect staff levels	3 monthly rolling Task to review the data	3	1	No Action	Task 1M Audit 12M
7741	Review Ethical Policy	Review the current Ethical Policy in intrastats	That something is missed that we would like to include	Complete task when issue come.	1	1	No Action	Task 12M

Databases Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6851	Review Accident Book	To look through the accident book and make sure there were no breaches of Health and Safety that were not reported.	That additions to the accident book have not been reported when serious.	Review of this and regular issues.	2	2	No Action	Task 6M

Databases Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5887	Review ISO/EN Documents	To Keep Products and Services up-to date with current regulations and standards	Shipping products and or services with below regulations and or standards	Rolling Issue Review on Stanards / Legislation Regular review of Technical file sections to research each affected standards when updated	2	2	No Action	Task 3M

Databases Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7124	Intrastats	No Process, Responsibility only						

Databases Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7835	Electrics Need Checking	To get the Electrics checked by External Electrician, so certificate can be provided for Employee Safety	Not carried out in a timely manner	reminder issues to carry this out	1	1	No Action	Task 60M

Databases Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5851	Duplicate Documents	Removal of Duplicate documents	no risk as such. how duplicates in the system can waste time by having to work out if one succeeds the other.	rolling task. on uploading a document a duplicate is often flagged up immediatly	3	1	No Action	Task 1M Audit 6M

Holidays Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
22	Company Policys	Ensure the company policys are still current and upto date	Company shoots of in directions that are not laid out in its policys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	No Action	Task 12M

Holidays Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6839	Personnel Holidays And Time Adjustments	Book Holidays for staff	Too many staff at one time, leaving not enough to carry out the work functions	Staff holiday clash admin	1	1	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5934	Staff Training	To check that any training that has been done is valid and then checked off the training record. Including enough detail to describe what has been covered in the training and any material used.	That training has not been signed off. Or is not up to date.	Intrastats flags up unverified training. Issues are sent to remind staff to up date their training records.	4	1	Risk Benefits	Task 1W Audit 3M

Personnel Manual Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7759	Health Declaration Sheet	Information from the staff that would be used in case of emergency health issue. These are filled in by staff and filled securely.	That information is not up to date or received.	Regular issue and review of forms not returned.	1	3	No Action	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7847	Health And Safety Review	<p>Perform HSE Risk Assessment,</p> <p>Re issue Message of the Day or send company issue with regard to Employees being aware of HSE documentation / policy. and Location of Fire Exits and First Aid Kits.</p> <p>Send new Issue to Projects Asking if New HSE implications have arisen from new products.</p> <p>Review Online the Local Community Risk Register.</p> <p>Check the Viamed Overall Risk Analysis Program Document in the Index to check its still current.</p> <p>Check the health and safety signage</p>	HSE Risks to Staff and business	Rolling Issue to Review	1	1	No Action	Task 12M Audit 12M
7883	Appraisal	to review the staff, give feedback and discuss issues	that targets are missed or discussions not had	be thorough and speak to all supervisors	1	1	No Action	Task 12M Audit 24M
7884	Pay Review	Review the staff pay, ensure its above minimum living wage and at a level appropriate to the work	that staff are not paid what they are worth or paid too much	review and carry out appraisals	1	1	No Action	Task 12M Audit 24M

Personnel Manual Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6855	Risk Assessment HSE	Update the Site HSE file. Ensure staff are aware of this and the location of HSE equipment	Issues not done in terms.	Keep up to date with issues.	1	1	No Action	Task 12M
7891	Fire Alarm Evacuation Drill	To test the evacuation of the buildings in case of fire	That staff will not know what to do in case of a fire	Regular training and reviews, documents in required reading and plenty of signs up, regular checks of the system, MCP, emergency lights, fire alarm and fire extinguishers.	1	3	No Action	Task 3M Audit 12M

Production Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7866	Oxygen Cylinder Check	Ensure we do not run out of oxygen	run out of oxygen	rolling issue	2	1	No Action	Task 3M
7902	Empty Depleted Sensor Bin From The Office	Empty depleted sensor bin from the office	non	not required	1	1	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7904	Check Weeee Waste Pallet And Sensor Bin	Check Weeee waste pallet and sensor bin, arrange collection if FULL	over full bins can be a hazard over full weee area can be a hazard	<p>The weee waste</p> <p>is kept in a designated area in the warehouse and full we arrange collection and safe disposal by a recognised company</p> <p>The sensors bins are kept in a locked cage outside When they are full we arrange collection and safe disposal by a recognised company</p>	1	1	No Action	Task 6M Audit 12M

QMS System Risk / Opportunity
Responsibility Share Holder

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7862	Review The Audit Calender Screen	Review The Audit Calendar Screen	Requirement of ISO	review of calander	1	1	No Action	Audit 12M

QMS System Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7839	Review VIAMED Feedback - Customer Complaints	To Review Viamed Customer Complaints	Rolling Issue No Risk	Keep detailed records and review	3	1	No Action	Task 1M
7838	Review VIAMED Feedback - Customer Feedback Negative	Review Customer Feedback Negative	Rolling Issues No risk to process	Regular review of the issues	3	1	No Action	Task 1M
7841	Review VST Feedback - Customer Complaints	To review Customer Complaints see if Non Conformance need to be raised	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	3	1	No Action	Task 1M
7840	Review VST Feedback - Customer Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	That an issue or report might be missed. That a Negative feedback form Products might not be reviewed	Regular review of the issues - feedbacks and customer complaints. Review meetings and management review	3	1	No Action	Task 1M
7842	Review VIAMED Product Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	That an issue or report might be missed. That a Negative feedback form Products might not be reviewed	Regular review of the issues - feedbacks and customer complaints. Review meetings and management review	3	1	No Action	Task 1M
7843	Review VST Product Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raise	Issues could be missed	regular reviews	3	1	No Action	Task 1M
7846	ISO System Management Review Viamed	To Comply with Top Level Re-authorise the Current Audits for next 12 Months Cover the Agenda as Per VOP13	Failure to do may cause major non conformites in QMS System	Rolling Issue to flag its due	1	1	No Action	Task 12M
7070	Management Review	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	2	1	No Action	Task 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7837	Review External Parties Influencing The QMS VST / Viamed	To Review the External Parties Influencing The QMS VST / Viamed Checked the Scopes and Risks, Review the Underlining Processes and Tasks	External party has un-reviewed expectations	Customer complaints / Non conformance reviews should highlight any missing expectations	1	1	No Action	Task 12M Audit 12M
7895	FDA Device Establishment Registration	To continue our FDA registration (for the Apgar timer)	unable to sell in U.S.A	rolling task	1	1	No Action	Task 12M

QMS System Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7753	Management Meeting Warehouse	To discuss any problems, to assess work load and staffing. To review issues with regard the Warehouse.	Meetings not carried out regularly.	Issues are added during the meeting so nothing gets missed. If needed meetings can be minuted.	3	1	No Action	Task 1M Audit 3M
7784	Check Returns Supplier Envitec	Supplier returns to Envitec, return any products waiting to be returned	Product not returned so missing the supplier warranty	Automatic Issues to review	2	1	No Action	Task 1W Audit 1M
7785	Check Returns Supplier Teledyne	Supplier returns to Teledyne, return any products waiting to be returned	Product not returned, risks not analysed	Automatic Issues to review	2	1	No Action	Task 2W Audit 1M

QMS System Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7793	Team Review Meeting	Duplicate Issue needs process removing see processid 7750	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	
7901	UPS Exceptions Checkup	To check the emails that come in from UPS or other shippers, for problems delivering or clearing goods.	That goods will be unable to be delivered or cleared through customs.	Regular reviews of the notification	2	1	No Action	Task 1D

QMS System Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	No Action	Audit 12M

QMS System Risk / Opportunity
Responsibility Goods In

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7898	Stamp Deliveries	Stamp Acceptance of parcels in goods in with date stamp, log entry into the goods in database	parcels go missing.	daily task to stamp parcels	1	1	No Action	Task 1D

QMS System Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7199	Non Conformities Review Viamed	To review any non conformances created during the previous month, and produce a non conformance report. Review history of non conformances and see if there has been any improvement.	Non conformances go unfixed	Reports to highlight Nonconformances	2	2	No Action	Other 1M Audit 12M
7827	Review The Quality Policy VST	To review the Quality policy and check it is still valid and upto date.	that policy will go out of date	Keep up to date with issues.	1	1	No Action	Task 12M
7828	Review The Quality Policy Viamed	To review the Quality policy and check it is still valid and upto date.	That the policy will go out of date	Keep up to date with issues.	1	1	No Action	Task 12M
7829	7829 Needs Reviewing	Complete Systems Review	missed updates / issues	regular checks	1	1	No Action	
7093	BSI Audits Calander	Review of outstanding Audits	Audits dont get completed	rolling Issue 725	1	1	No Action	Task 12M
7888	Review Processes Linked To VOPs And Audits	Ensure All Sub Processes are linked to a VOP and an Audit.	process can go un-monitored	rolling task to link appropriately	3	1	No Action	Task 1M Audit 12M

QMS System Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7858	Software Validation Attempt To QA Some Stock	Test the QA System that Staff not trained for QA are unable to QA a Product.	Untrained staff QA/Processing Product	Rolling Test Task	1	3	No Action	Task 6M Audit 12M
7861	Software Validation Of Training Documents Forced Reading	Software Validating Of Training Documents via Forced Required Reading	required reading not read.	Rolling audit of required reading	1	2	No Action	Task 12M
7879	Software Validation Scheduled Tasks And Audits	To check the Scheduled Tasks and Audits is working as Intended. To also Check the Out of Date documents is working as Intended.	Tasks and Audit Rolling Issues Key to ISO requirements. risk of losing standards	Dual Test of Out of Date Documents and Rolling Tasks and Audits	1	1	No Action	Task 12M Audit 6M
7880	Software Validation Out Of Date Documents	To confirm the out of documents computer software functions as expected flagging out of date items on to the list	Old document in the system	rolling task	1	1	No Action	Task 12M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7881	Software Validation - Live Orders	To compare Opera Live Orders to Intrastats Back order Active List NO LONGER REQUIRED Opera is now out of the system	no risks, confirmation back orders is working as intended	not applicable	1	1	No Action	

QMS System Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7864	ESD Work Stations	Check the workshop benches ESD equipment is in place	can damage equipment if not used or suitable	rolling task	2	1	No Action	Task 6M Audit 12M

QMS System Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7900	Royal Mail - Mail Retention Form	Royal Mail - Mail retention form. That is sent to us in March for the next year, they retain our mail on a Saturday and deliver it the next Monday	Non	Non	1	1	No Action	Task 12M

QMS System Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7714	Audit 01 Picking Packing Viamed	To carry out Audit 01 Picking Packing Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7715	Audit 02 Contract Review Viamed	To carry out Audit 02 Contract Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7716	Audit 03 Design Control Viamed	To carry out Audit 03 Design Control Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7717	Audit 05 Purchasing Suppliers Viamed	To carry out Audit 05 Purchasing Suppliers Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7718	Audit 06 Calibration Viamed	To carry out Audit 06 Calibration Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7719	Audit 07 Handling And Storage Viamed	To carry out Audit Audit 07 Handling And Storage Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7720	Audit 08 Training Viamed	To carry out Audit 08 Training Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7721	Audit 09 Goods Inward And Product Identity Viamed	To carry out Audit 09 Goods Inward And Product Identity Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7722	Audit 10 Documentation Control Viamed	To carry out Audit 10 Documentation Control Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7724	Audit 11 Repairs And Service Viamed	To carry out Audit 11 Repairs And Service Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7725	Audit 12 CE Files Viamed	To carry out Audit 12 CE Files Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7727	Audit 15 Production Viamed	To carry out Audit 15 Production Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7726	Audit 14 Complaints And Corrective Actions Viamed	To carry out Audit 14 Complaints And Corrective Actions Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task	1	2	No Action	Audit 12M
7729	Audit 19 Health And Saftey Viamed	To carry out Audit 19 Health And Safety Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7728	Audit 17 Internal Audits Viamed	To carry out Audit 17 Internal Audits Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7731	Audit 21 Audit Of Audit Viamed	To carry out Audit 21 Audit Of Audit Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7732	Audit 22 Post Market Surveillance Viamed	To carry out Audit 22 Post Market Surveillance Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7733	Audit 23 Analysis Of Data Viamed	To carry out Audit 23 Analysis Of Data Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7762	Audit 01 Picking Packing VST	To carry out Audit 01 Picking Packing VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7763	Audit 02 Contract Review VST	To carry out Audit 02 Contract Review VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7764	Audit 03 Design Control VST	To carry out Audit 03 Design Control VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7765	Audit 05 Purchasing Suppliers VST	To carry out Audit 05 Purchasing Suppliers VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7766	Audit 06 Calibration VST	To carry out Audit 06 Calibration VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7767	Audit 07 Handling And Storage VST	To carry out Audit 07 Handling And Storage VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7768	Audit 08 Training VST	To carry out Audit 08 Training VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7769	Audit 09 Goods Inward And Product Identity VST	To carry out Audit 09 Goods Inward And Product Identity VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7770	Audit 10 Documentation Control VST	To carry out Audit 10 Documentation Control VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7772	Audit 11 Repairs And Service VST	To carry out Audit 11 Repairs And Service VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7773	Audit 12 CE Files VST	To carry out Audit 12 CE Files VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7774	Audit 14 Complaints And Corrective Actions VST	To carry out Audit 14 Complaints And Corrective Actions VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7775	Audit 15 Production VST	To carry out Audit 15 Production VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7776	Audit 17 Internal Audits VST	To carry out Audit 17 Internal Audits VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7777	Audit 19 Health And Safety VST	To carry out Audit 19 Health And Safety VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7779	Audit 21 Audit Of Audit VST	To carry out Audit 21 Audit Of Audit VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7780	Audit 22 Post Market Surveillance VST	To carry out Audit 22 Post Market Surveillance VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7781	Audit 23 Analysis Of Data VST	To carry out Audit 23 Analysis Of Data VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7885	Audit 04 Accounts And Finance Viamed	Carry out Audit 04 Accounts for Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Task 12M
7887	Audit 18 Management Review VST	To carry out Audit 18 Management Review VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7886	Audit 18 Management Review Viamed	To carry out Audit 18 Management Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7889	Audit 24 Servicing Viamed	To carry out Audit 24 Servicing Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7892	Audit 27 Software Validation Viamed	To confirm the Prime functions of the Software used is verified.	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

Technical Files Risk / Opportunity Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7744	FDA Device Establishment Registration And Listing	<p>FDA registration and the CMDCAS products</p> <p>In order to sell in the USA / Canada Markets products need to be registered with the FDA.</p>	<p>Its harder to initially get on teh register than maintaining it.</p> <p>Inability to sell products in North America</p>	Rolling Issue	1	1	No Action	Task 12M

Staff

Risk / Opportunity
Communications
Employees
Health And Safety
Legal Rights
Organisation Structure
Pension Work Place
Personnel Manual

Staff

Communications Risk / Opportunity Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
23	Company Objectives	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	Document reviewed once a year	1	1	No Action	Task 12M
22	Company Policys	Ensure the company policys are still current and upto date	Company shoots of in directions that are not laid out in its policys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	No Action	Task 12M

Communications Risk / Opportunity Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7759	Health Declaration Sheet	Information from the staff that would be used in case of emergency health issue. These are filled in by staff and filled securely.	That information is not up to date or received.	Regular issue and review of forms not returned.	1	3	No Action	Task 12M
6839	Personnel Holidays And Time Adjustments	Book Holidays for staff	Too many staff at one time, leaving not enough to carry out the work functions	Staff holiday clash admin	1	1	No Action	
5934	Staff Training	To check that any training that has been done is valid and then checked off the training record. Including enough detail to describe what has been coved in the training and any material used.	That training has not been signed off. Or is not up to date.	Intrastats flags up unverified training. Issues are sent to remind staff to up date their training records.	4	1	Risk Benefits	Task 1W Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5881	Training Records Review	Keep Staff Training records upto date See if any records need updating, also see if any records need signing off	Keep enough trained staff to perform our tasks	Training records, roles and titles	2	1	No Action	Task 6M Audit 12M
5936	Wages Calculations	To print the time sheets and add any extras, overtime, sick days, or commissions.	That items will be missed.	This is reviewed before submitting to the accountants. All information is from intrasts or individual members of staff.	2	2	No Action	Task 1M

Communications Risk / Opportunity Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7750	Meeting With Management	Meeting between management and office team leader to discuss improvement of systems and address any issues	Staff being unavailable	Organise when all relevant staff members are available	3	1	No Action	Task 1M
7793	Team Review Meeting	Duplicate Issue needs process removing see processid 7750	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	

Communications Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6856	Fire Alarms	To ensure the fire alarms, MPC (manual call points), fire extinguishers and emergency lights are all in place, working and tested regularly. The log booked filled in. Tested by Keybury (alarms and emergency lights) annually and Airedale Fire protection (Fire extinguishers) annually. Evacuation Drills to check staff readiness.	If these checks are not carried out correctly and we have a fire then we are less prepared and this puts staff at risk.	Testing done regularly as per supplier recommendations. Issue sent to remind of testing and monitoring.	1	3	No Action	Task 6M
6849	First Aid	To make sure we have a qualified member of staff trained in First Aid at Work. With the training up to date. Review the accident book. Check that there were no health and safety issues flagged up from these.	That the first aiders training goes out of date. The first aid boxes are not fully equipped. That first aid is not available when needed.	Regular issue to ensure first aider training and first aid boxes are up to date. Review of the accident book on intrastats.	1	3	No Action	Task 12M
6855	Risk Assessment HSE	Update the Site HSE file. Ensure staff are aware of this and the location of HSE equipment	Issues not done in terms.	Keep up to date with issues.	1	1	No Action	Task 12M

Communications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5874	Childcare Vouchers Edenred	Edenred childcare voucher. these are purchased from Edenred and then the staff that are signed up for the service, salary sacrifice from their pay. Done by the Payroll people, Then childcare vouchers are sent directly to the nursery designate. It is a government scheme to help working families with childcare there are tax benefits for using the service.	The wrong amount being invoiced or a change in staff requiring them. That the law will change and the amounts or process will alter over time.	Double check with the staff who wants what and how much. Also adhering to the laws relating to this benefit. Schedule ID165	1	1	No Action	
5926	Petty Cash Expenses Receipts And Cash	To receive the cash receipts / invoices from those staff who work away from the office. These are then filed in the petty cash file in the accounts office.	That we do not receive all the cash receipts / invoices	Regular review of these and contact with those who work away, on their return.	1	1	No Action	Task 1M

Health And Safety Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6851	Review Accident Book	To look through the accident book and make sure there were no breaches of Health and Safety that were not reported.	That additions to the accident book have not been reported when serious.	Review of this and regular issues.	2	2	No Action	Task 6M

Health And Safety Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7698	Clean Toilets	Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	Dirty and unhygienic bathrooms. Inadequate supply of cleaning products.	Ensure the toilets are tidy, bins etc, so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	No Action	Task 3W

Health And Safety Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7836	Central Heating For Winter	Reset the Heating for Winter	Building too hot / cold	rolling Issues	1	1	No Action	

Health And Safety Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	No Action	

Organisation Structure Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
27	Management Reviews And Quality Audits	To review and close all automatic rolling Issues. Including all rolling tasks and audits	that the task is missed that follow ups are missed	Regular reviews and issues Managment review meeting	3	1	No Action	Task 1W Audit 6M
7741	Review Ethical Policy	Review the current Ethical Policy in intrastats	That something is missed that we would like to include	Complete task when issue come.	1	1	No Action	Task 12M
7713	Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M

Government E.G. HMRC

Risk / Opportunity
Communications
Notifications
Pay Roll
Product Compliance
Sales Region Reporting
Staff Responsibility
Tax / Vat

Government E.G. HMRC

Communications Risk / Opportunity Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distributing incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M

Communications Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7821	Controlled Waste Description And Transfer	The renewal of our waste transfer agreement with our waste disposal companies	That we cannot get rid of waste or we have a supplier that takes waste but does not dispose of it in the correct legal manor.	Fill the form when it is received and look out for it when the issue comes up.	1	2	No Action	Task 12M
7820	North Yorkshire Council Waste Tranfer	The renewal of our waste transfer agreement with North Yorkshire County Couoncil	That we cannot get rid of waste or we have a supplier that takes waste but does not dispose of it in the correct legal manor.	Fill the form when it is received and look out for it when the issue comes up.	1	2	No Action	Task 12M

Communications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7740	Weights Per Region Needed To Submit EC Sales List	Filling in HMRC data requires Weights and dimensions per region in the EC This process ensures all the data is in place for the report	Fines for late submission	Rolling Monthly Issue to complete the data	1	1	No Action	Task 1M Audit 12M
5925	Customs Clearance	Customs contact us for information. So they can clear incoming and outgoing parcels.	Goods not cleared, so goods can be returned or fines can be issued.	Respond immediately to requests for clearance and templates are in place to minimize errors.	2	1	No Action	Task 1W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5929	HMRC Intrastats Sales Data	HMRC Intrastats Sales Data. Information is taken from intrastats and then uploaded and filled in on the two HMRC web site. VAT and EC sales site and Supplementary date site.	The forms are not filled on time or at all. They are filled in incorrectly.	Issue sent to remind of this monthly, The information comes straight out of intrastats so this reduces the risk of error. When uploading the site check the data as it is entered.	1	2	No Action	Task 1M Audit 12M
5930	VAT Return Viamed	VAT return is submitted to the HMRC through accounts software after the end of the quarter. The information for this is taken from the accounts package with some information from Intrastats	The VAT Return is not filled on time or at all. Or filled in incorrectly.	Issue sent to remind of this quarterly. The figure are found in the accounts package, and the calculations are carried out automatically in it. So as to less the risk of error. The accountants check the VAT returns annually for us.	1	2	No Action	Task 3M Audit 12M

Notifications Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7070	Management Review	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	2	1	No Action	Task 3M

Notifications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5927	Accounts Filing	To file the paperwork received and the digital items in a place where they are easily retrievable.	That documents are lost if they are not filed sensibly and in the correct place.	Care need to be taken and if something is of greater importance then the same document can be filed in more than one sensible location. ie. proof of shipments needed by the HMRC - the customer file and the file of shipping document. These are historic and there for will not change over time.	2	2	No Action	Task 6M Audit 12M
5914	End Of Year Reports For Accountants	The closing down of the accounts package at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	No Action	Task 12M

Pay Roll Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7713	Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M

Pay Roll Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5918	Journals For The End Of Month Accounts	Journal/adjustments to add items in to the accounts package that are not included in the scope of the sales and purchase ledger.	That journal will be entered incorrectly.	Double checking work. Checking the figure match at the end of month close.	2	1	No Action	Task 1M Audit 12M
5917	Fill In Cashbook / Bank Rec For Previous Month	<p>This is no longer done since we moved to Xero.</p> <p>Fill in the cashbooks manual and digital. To complete the bank reconciliation at the end of each month for the sales, purchasing and nominal ledger.</p>	Information may be entered incorrectly or calculation wrong.	To double check figures, follow procedures and have a close relationship with the accountants. Accounts double check once per year	1	1	No Action	Task 24M Audit 48M
5926	Petty Cash Expenses Receipts And Cash	To receive the cash receipts / invoices from those staff who work away from the office. These are then filed in the petty cash file in the accounts office.	That we do not receive all the cash receipts / invoices	Regular review of these and contact with those who work away, on their return.	1	1	No Action	Task 1M

Product Compliance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
27	Management Reviews And Quality Audits	To review and close all automatic rolling Issues. Including all rolling tasks and audits	that the task is missed that follow ups are missed	Regular reviews and issues Managment review meeting	3	1	No Action	Task 1W Audit 6M
7741	Review Ethical Policy	Review the current Ethical Policy in intrastats	That something is missed that we would like to include	Complete task when issue come.	1	1	No Action	Task 12M

Product Compliance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6829	Supplier Review - Outstanding Orders	Orders that have not been supplied in the time scale provided.	That good will be delayed and therefore not available to customers.	Regular contact with the suppliers.	2	2	No Action	Task 1M Audit 3M

Product Compliance Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7810	Research Activities	Investigating products and applications, existing and potential products.	That the data is incorrect or out of date. Investigations are not thorough.	Double check sources and review facts and data.	3	1	No Action	Task 1M Audit 3M

Product Compliance Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	No Action	Task 1M Audit 6M

Sales Region Reporting Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7809	Pro-Active Marketing	Analyzing Existing product , sales trends, plan strategy.	That we will target an incorrect area or push a product that is not taken up.	Research and verifying information. Consultation with other staff and advisers.	2	2	No Action	Task 3M Audit 3M

Sales Region Reporting Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7697	Yearly Pricing Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	No Action	Task 12M Audit 12M

Sales Region Reporting Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5915	Oper a Sales Ledger Closure	Closi ng down of the Month end in the acco unt packages , Or year end if appli cable	Rep orts mor e diffic ult to perf orm after shut down ns, no com merc ial risk if not perf orm ed	Rolling Issue. Remote access available to perform shut down remotly if away from office.	1	1	No Action	Task 1M Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5916	Bank Details Operational Reports Entered Intra stats	Enter the current bank account details and the accounts packages reports totals in to the correct intra stats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calc	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	No Action	Task 1M Audit 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
			ulating curr ency					

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7818	Issues For Accountants - Check Purchasing Journals To See If VAT Handled Correctly Previous Month	A review of the Purchasing Journals, done in Opera, for the previous month. To see if the VAT has been handled correctly and the nominal account number are correct.	That we will run the VAT return and an incorrect journal is present. This could result in us paying too much or too little VAT on the next VAT return.	<p>To review the journals monthly.</p> <p>To check the figures on the VAT return at the time of processing.</p> <p>The accountant double check the VAT return figures quarterly before submitting the return.</p>	2	2	No Action	Task 1M Audit 12M

Tax / Vat Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5931	Purchase Invoices In To Opera	Putting into opera the purchase invoices that are received from our suppliers, by Email, fax, post or by hand.	Invoices missed, not received or entered incorrectly.	Opera has a purchase orders that are invoiced on the system when they are received, this means they are entered correctly. A report is run monthly to check orders that have been delivered but not invoiced.	2	1	No Action	Task 1W Audit 12M
5932	Remit Processing And Entry Into Opera	Remits are identified, matched to the bank statement and then entered into Opera on the customer account.	That remits are missed.	The bank is checked at the end of each month against Opera and any remits that are missed are entered then.	3	1	No Action	Task 1W Audit 24M

Physical Sites

Risk / Opportunity
Access
Communications
Equipment Safety
General Maintenance
Health Safety
Phone Systems
Security
Space

Physical Sites

Communications Risk / Opportunity Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M

Communications Risk / Opportunity Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
46	Backup Server Status	Check the status of the Backup Server, is done at same time as primary server	Replacing the server requires technical knowledge of Linux, LAMP set up, and Samba settings,	Procedures in place to replace the main server. Linux is fairly well understood and a free download. roughly runs 35.9% of the internet so no shortage on world based knowledge.	1	3	No Action	Task 2W Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7672	Off Site Backup	To take a copy of the important data off-site thats not being automatically backup by the system, Currently T Drive being the primary files to be backed up. Changed routine to Monthly, as only T drive is now being backed up, all other files automatically being backed up remotely	now as its a backup process Back is unrestorable	Development server is off site and data is restored form the backup data to keep the development server upto date so backup data is regularly tested	2	2	No Action	Task 1M Audit 3M

Equipment Safety Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7120	General Maintenance Requirements	Review any General Maintenance required on the physical Site(s)	That a general Maintenance requirement may been missed.	regular issues	2	1	No Action	Task 3M

Equipment Safety Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	No Action	

Equipment Safety Risk / Opportunity
Responsibility Repairs Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7823	Safety Tester Data	Backup the Fluke ESA615 Safety tester CE Copy any files to the Z Drive - safety tester backupdata	That this will not be carried out.	Issues sent to remind and audited.	1	1	No Action	Task 12M Audit 12M

General Maintenance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7698	Clean Toilets	Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	Dirty and unhygienic bathrooms. Inadequate supply of cleaning products.	Ensure the toilets are tidy, bins etc, so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	No Action	Task 3W
54	Gents Toilets	Bleech the Gents Toilets Process no longer required no urinal	job not carried out	regular issues	3	1	No Action	Audit 1M
5908	Sweep Warehouse	Cleaning of floors. Tidying so as to clean more effectively.	Dirty and unhygienic work space. Inadequate supply of cleaning products.	Ensure area is tidy so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	No Action	Task 1W Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5907	Hoover Warehouse	Cleaning of floors. Tidying so as to clean more effectively.	Dirty and unhygienic work space. Inadequate supply of cleaning products.	Ensure area is tidy so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	No Action	Task 1W Audit 1M

General Maintenance Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7742	Boiler Check	Get the gas Boilers and Hive thermostat Serviced and the Heating Checked before Winter.	that the heating will not work or that the boiler is not safe to use.	annual boiler service by the plumbers	1	2	No Action	Task 12M
7836	Central Heating For Winter	Reset the Heating for Winter	Building too hot / cold	rolling Issues	1	1	No Action	
5919	Check Out Side Drain	Check outside drain is not BLocked	that we will have a flood	regular checks	2	1	No Action	Task 3M
5921	Clearing Water Downstairs	Check the Archives for Signs of Water, ensure the pump is working	that we will have a flood	regular checks	2	1	No Action	Task 1M
7835	Electrics Need Checking	To get the Electrics checked by External Electrician, so certificate can be provided for Employee Safety	Not carried out in a timely manner	reminder issues to carry this out	1	1	No Action	Task 60M
56	Warehouse Outside Heating Guard	Check the Boiler system before winter	working temperature incorrect / illegal Employee dissatisfaction	rolling task before winter to get the system checked	1	1	No Action	Task 12M

General Maintenance Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6856	Fire Alarms	To ensure the fire alarms, MPC (manual call points), fire extinguishers and emergency lights are all in place, working and tested regularly. The log booked filled in. Tested by Keybury (alarms and emergency lights) annually and Airedale Fire protection (Fire extinguishers) annually. Evacuation Drills to check staff readiness.	If these checks are not carried out correctly and we have a fire then we are less prepared and this puts staff at risk.	Testing done regularly as per supplier recommendations. Issue sent to remind of testing and monitoring.	1	3	No Action	Task 6M
6855	Risk Assessment HSE	Update the Site HSE file. Ensure staff are aware of this and the location of HSE equipment	Issues not done in terms.	Keep up to date with issues.	1	1	No Action	Task 12M

Health Safety Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6851	Review Accident Book	To look through the accident book and make sure there were no breaches of Health and Safety that were not reported.	That additions to the accident book have not been reported when serious.	Review of this and regular issues.	2	2	No Action	Task 6M

Health Safety Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6849	First Aid	To make sure we have a qualified member of staff trained in First Aid at Work. With the training up to date. Review the accident book. Check that there were no health and safety issues flagged up from these.	That the first aiders training goes out of date. The first aid boxes are not fully equipped. That first aid is not available when needed.	Regular issue to ensure first aider training and first aid boxes are up to date. Review of the accident book on intrastats.	1	3	No Action	Task 12M

Health Safety Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7777	Audit 19 Health And Saftey VST	To carry out Audit 19 Health And Safety VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7729	Audit 19 Health And Saftey Viamed	To carry out Audit 19 Health And Safety Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

Phone Systems Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7717	Audit 05 Purchasing Suppliers Viamed	To carry out Audit 05 Purchasing Suppliers Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M
7765	Audit 05 Purchasing Suppliers VST	To carry out Audit 05 Purchasing Suppliers VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	No Action	Audit 12M

Space Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6850	Current Stock Levels	Review current stock levels	If the levels are incorrect or we have a shortages then customers will not receive their goods in a timely manor.	Regularly review the stock levels. Supplier lead times and orders. Customer froward orders.	2	1	No Action	Task 2W Audit 6M

Internet Providers

Risk / Opportunity
Email
Internet
Routing

Internet Providers

Email Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5939	Email ISP Routing	Email routing to End Users	Beyond our control. Gmail / Hotchilli have control over these services.	Support line telephone number in the system if required	1	1	No Action	
48	Internet	Internet Access for building(s)	Internet Fails	Have backup BT adsl if main internet line goes down	2	1	No Action	

Internet Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
49	Wifi	Ensure Viamed Wifi is operational	Lose remote internet connection Loss of access to phone system on mobile devices	nothing can be done. risk is minimal as wifi is not required but a nicety	1	1	No Action	Task 1M Audit 3M
50	Guest Access Wifi	Backup Internet Connection	Wifi might go down	regular reviews	3	1	No Action	Task 1M Audit 3M

Competitors

Risk / Opportunity

Competitors

Accountants

Risk / Opportunity
Finalise Accounts
PAYE To Staff

Accountants

Finalise Accounts Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5858	Opera Stock Adjustments	Opera Counts bulk stock in and issues stock out against orders. Multiple processes cause stock to be used internally, Opera requires a weekly update to bring the stock count into line with whats been used outside the invoicing systems NO LONGER REQUIRED, New system live counts these now	Stock valuations will get inaccurate if the process is not performed.	Rolling Issue and Rolling Audit	2	1	No Action	

Finalise Accounts Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5948	Adding New Accounts To Opera	Adding customer accounts to account management software	Incorrect entry of account number (Unusable account) Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage License expiry	Staff trained in accuracy Orders checked for errors on processing	3	1	No Action	Audit 12M

Finalise Accounts Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6813	Management Meeting Turnover Report	Ensure the turnover report is accurate	Incorrect figures could be financially catastrophic	rolling issues	3	1	No Action	Task 1M Audit 12M
6838	Opera Negative Stock	To find and correct opera when it reads Negative stock values. NOT REQUIRED ANYMORE Opera	Damage Opera.	Process is done at a month end as the shut down will highlight any opera problems and a backup can be reinstated	1	1	No Action	

Finalise Accounts Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5852	Retention Of Records							

Finalise Accounts Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7032	Document Requirements							

Finalise Accounts Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5914	End Of Year Reports For Accountants	The closing down of the accounts package at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	No Action	Task 12M
5915	Opera Sales Ledger Close	Closing down of the Month end in the accounts packages, Or year end if applicable	Reports more difficult to perform after shut downs, no commercial risk if not performed	Rolling Issue. Remote access available to perform shut down remotely if away from office.	1	1	No Action	Task 1M Audit 3M
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	No Action	Task 1M Audit 12M
5917	Fill In Cashbook / Bank Rec For Previous Month	This is no longer done since we moved to Xero. Fill in the cashbooks manual and digital. To complete the bank reconciliation at the end of each month for the sales, purchasing and nominal ledger.	Information may be entered incorrectly or calculation wrong.	To double check figures, follow procedures and have a close relationship with the accountants. Accounts double check once per year	1	1	No Action	Task 24M Audit 48M
5918	Journals For The End Of Month Accounts	Journal/adjustments to add items in to the accounts package that are not included in the scope of the sales and purchase ledger.	That journal will be entered incorrectly.	Double checking work. Checking the figure match at the end of month close.	2	1	No Action	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5922	Credit Cards Expenses Calculations	Monthly we get a copy of the Credit Card Statement and at that time we match the invoices and other paperwork to the credit card statement.	That this is entered incorrectly into opera. That invoice / receipts are missed.	Issue to ensure we receive all the paperwork in a timely manor. By checking each line to ensure it is correct.	2	1	No Action	Task 1M Audit 12M
5923	Credits Note Processing	A credit either a part or in full - When either goods have been returned, re a sales invoice from a customer. An internal error has taken place and a sales invoice need to be re entered. On the purchasing if a supplier has sent a credit for goods or an error.	the wrong company or items could be credited. Customers could end up paying twice or not at all for somethings.	double checking the information and limiting those who can process credits.	2	2	No Action	Task 1W Audit 12M
5926	Petty Cash Expenses Receipts And Cash	To receive the cash receipts / invoices from those staff who work away from the office. These are then filed in the petty cash file in the accounts office.	That we do not receive all the cash receipts / invoices	Regular review of these and contact with those who work away, on their return.	1	1	No Action	Task 1M
5927	Accounts Filing	To file the paperwork received and the digital items in a place where they are easily retrievable.	That documents are lost if they are not filed sensibly and in the correct place.	Care need to be taken and if something is of greater importance then the same document can be filed in more than one sensible location. ie. proof of shipments needed by the HMRC - the customer file and the file of shipping document. These are historic and there for will not change over time.	2	2	No Action	Task 6M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5930	VAT Return Viamed	VAT return is submitted to the HMRC through accounts software after the end of the quarter. The information for this is taken from the accounts package with some information from Intrastats	The VAT Return is not filled on time or at all. Or filled in incorrectly.	Issue sent to remind of this quarterly. The figure are found in the accounts package, and the calculations are carried out automatically in it. So as to less the risk of error. The accountants check the VAT returns annually for us.	1	2	No Action	Task 3M Audit 12M
5931	Purchase Invoices In To Opera	Putting into opera the purchase invoices that are received from our suppliers, by Email, fax, post or by hand.	Invoices missed, not received or entered incorrectly.	Opera has a purchase orders that are invoiced on the system when they are received, this means they are entered correctly. A report is run monthly to check orders that have been delivered but not invoiced.	2	1	No Action	Task 1W Audit 12M
5932	Remit Processing And Entry Into Opera	Remits are identified, matched to the bank statement and then entered into Opera on the customer account.	That remits are missed.	The bank is checked at the end of each month against Opera and any remits that are missed are entered then.	3	1	No Action	Task 1W Audit 24M
5933	Sales Accounts Reminders	The sales account reminders or debtors are up dated and then any outstanding invoices are chased for payment.	That the wrong person is chased or that one is missed.	We use the Bank statement and Intrastats, as well as Opera, to work out what is owing. This way the debtors report is up to date before reminder are done. This is reviewed and issues sent. All contact details are in intrastats and Gmail.	3	1	No Action	Task 1M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5937	Review The Delivered Not Invoiced Reports	<p>NO LONGER REQUIRED WITH XERO</p> <p>This report allows us to add a figure to the end of month accounts. It is a report of suppliers delivered items that have not been invoiced and therefore do not show on the accounts but do show as in stock.</p>	It is an internal adjustment that is reversed out at the end of the next month. The only real risk is the figure from the previous month is not adjusted out correctly.	This is check by the accountants.	3	1	No Action	
5942	Chase The Debtors Viamed	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M
6819	Supplier Payments And Invoice Processing	<p>Inputting the invoices from suppliers for the correct month.</p> <p>Ensuring they are all entered in to the correct period.</p>	invoices missed and therefore absent from accounts and Vat return	Regular checks	1	2	No Action	Task 1W Audit 12M
6876	Issues For Accountants - P11D Form Re Benefits To Revenue And Customs	<p>This is a form concerning benefits the staff receive annually.</p> <p>An issue is sent annually to remind of this. We then contact the accountants and ask them to fill this in for us. They ask us about benefits and they fill it in for us. This is then sent to us for signing and posting.</p>	That we forget to fill it in.	Issue is sent annually.	1	1	No Action	Task 12M Audit 48M
7084	Accounts Issues	this is a very wide heading and is dealt with in other tasks	N/A	regular reviews and issues. Reviews of reports and the systems.	2	1	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7195	Loans Between Companies	Reminded to check the financial status of the bank accounts,	No risks with process, if not performed there are no commercial implications	not required	3	1	No Action	Task 1M
7799	Opera Purchase Ledger Close	The closing down of the previous months purchase ledger for accounts purposes.	The system crashes, invoices could be missed.	Back ups are taken before any close down in opera to protect against crashes or corrupted data. Missed invoices can be added to the previous month if necessary.	1	2	No Action	Task 1M Audit 24M
7817	Issues For Accountants - Check Suggested Invoice Report In Operas	This is a report that is run to make sure we have not missed the invoicing of an order during the preceding month, on the sales ledger.	That sales deliveries are missed and not invoiced.	An Issue is sent monthly.	3	1	No Action	Task 1M Audit 12M
7818	Issues For Accountants - Check Purchasing Journals To See If VAT Handled Correctly Previous Month	A review of the Purchasing Journals, done in Opera, for the previous month. To see if the VAT has been handled correctly and the nominal account number are correct.	That we will run the VAT return and a an incorrect journal is present. This could result in us paying too much or too little VAT on the next VAT return.	To review the journals monthly. To check the figures on the VAT return at the time of processing. The accountant double check the VAT return figures quarterly before submitting the return.	2	2	No Action	Task 1M Audit 12M
7819	Issues For Accountant - Check Contra Account 8000 And Clear It	A review of the contra nominal account in accounts package, number 8000, for the previous 12 months. To see if the adjustments that go through this account, have been handled correctly and the amount at the end is zero.	That the account will not have a zero balance.	Issue is sent to ensure this has been reviewed and monitored.	2	2	No Action	Task 1M Audit 24M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6946	Accounts Debtors Review - Export	Checking the export debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	1	No Action	Task 1M Audit 6M
6951	Accounts Debtors Review - UK	Checking the UK debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M

PAYE To Staff Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5936	Wages Calculations	To print the time sheets and add any extras, overtime, sick days, or commissions.	That items will be missed.	This is reviewed before submitting to the accountants. All information is from intrasts or individual members of staff.	2	2	No Action	Task 1M

Regulations

Risk / Opportunity
New Regulations

Regulations

New Regulations Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7878	Review Possible Upcoming Regulation Changes	Review possible legal / regulator changes that might affect Viamed / VST	Legal / Regulatory changes stop us being able to carry out our processes as per QMS	rolling Issues	1	3	No Action	Task 3M

New Regulations Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5887	Review ISO/EN Documents	To Keep Products and Services up-to date with current regulations and standards	Shipping products and or services with below regulations and or standards	Rolling Issue Review on Stanards / Legislation Regular review of Technical file sections to research each affected standards when updated	2	2	No Action	Task 3M

VST OEM Customers

Risk / Opportunity
Account Maintenance
Agreements
Communications
Contracts
ISO Standards
Order Fulfillment / Accuracy
Orders
Pricing
Product Compliance
Returns
Trace Ability / Recalls
Warranty

VST OEM Customers

Account Maintenance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7684	Repairs Ready For Quote	Process Repairs Ready For Quote	If process does not get performed, we likly to loose customers, get complaints over not responding to customers returned goods	rolling task	1	1	No Action	Task 1D
7685	Repairs Ready For Invoice	Process Invoice for completed repairs.	repair has errors on it	secondary checking carried out on all customer orders.	1	1	No Action	Task 2D
5935	Stock Allocations	To allocate stock that has not automatically be linked to a repair or invoice. No longer required with replacement order system	Items that should be linked to a invoice are not in the allocations list. That items are allocated incorrectly on the list.	Care is taken where allocating stock to invoices and credits. Research is done where it is not clear what item should be allocated.	2	1	No Action	
7683	Check Stock For Proforma	To check that we have stock in for customer proformas. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between office and warehouse.	2	1	No Action	Task 1W
7674	Check Repairs Ready For Invoice List	Review the repairs ready For invoice List in intrastats.	That repairs will be missed.	Review the list regularly and issues.	2	1	No Action	Task 2W Audit 3M
7797	Check Order Are Being Picked In Priority Order	Check order are being picked in order of priority and date.	Orders going at before more urgent ones	Issues, Audit and visual checks.	2	1	No Action	Task 8W Task 2D Audit 3M
7798	Orders And Items Shipped Per Month	Review the orders and items shipped per month	Problem with report	Review regularly	3	1	No Action	Task 1M Audit 3M
7825	Order Picking	To Pick and Pack customer Orders	Computer Failure Incorrect orders	Rolling Issues Order Checking Active List review	1	1	No Action	

Account Maintenance Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5948	Adding New Accounts To Opera	Adding customer accounts to account management software	Incorrect entry of account number (Unusable account) Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage License expiry	Staff trained in accuracy Orders checked for errors on processing	3	1	No Action	Audit 12M
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distibuting incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
36	Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	2	1	No Action	Task 1D Audit 1W
7676	PDFing Of Invoices Viamed	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NO LONGER REQUIRED AS DONE BY THE SYSTEM AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	2	1	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7712	Review Inward Payments	Review the payments received to ensure proformas can be shipped	Computer network breakdown	Ensure IT equipment is regularly maintained. Regular review of the folder and the bank.	3	1	No Action	Task 1D Audit 1W
5896	Ensuring ORD's Are Taken To Goods Out And Invoices Are Retrieved							

Account Maintenance Risk / Opportunity
Responsibility OEM Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7808	Ensure All Invoice Correctly Tagged	To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes	Pay a Sales rep for special sales in the relevant area. and make a loss on the sale	Rolling monthly Issue to Tag the Invoices,	3	1	No Action	Task 1M Audit 3M
7894	VST Customer Agreements	To check the Current Customer Agreements are still Valid	minimal risk	Rolling Issue	1	1	No Action	Task 6M Audit 12M

Account Maintenance Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7748	Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	No Action	Task 7D Audit 12M
7749	Check Repair Quotes	Check the quotes that we send out for the repairs we have received in.	That mistakes may be missed. That details will be incorrect and it will affect the customer.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	No Action	Task 1D
7691	Ship Sale Or Returns	Review the sale or return shelf and ship those items.	Goods will be missed	Regular review and issues sent. Audit carried out.	2	1	No Action	Task 1D
7690	Ship Repairs	Review the Repairs completed shelf and ship those items that are ready for return to the customer.	That a repair will be missed	Regular review and issues sent. Audit carried out.	2	1	No Action	Task 1D Audit 1M

Account Maintenance Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7893	VST Price Lists	To confirm the Document index Price Lists	Prices go out of sync between Opera Main listing and the documented price lists	Rolling Issue	1	1	No Action	Task 3M

Account Maintenance Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5867	Accounts On Stop	Accounts placed on stop as they owe money. To prevent orders being dispatched.	accounts being on stop when they have paid and preventing orders, that should be sent, from being shipped. Payments coming in and them not being picked up in a timely manner.	Scheduled issue ID223 to review accounts on stop.	2	1	No Action	Task 2W Audit 3M
5920	Cheques To Bank - Fill In Paying In Book	Cheques that are received in from customers as payments, refunds from Royal Mail, HMRC in the form of Duty refunds etc. These are filled in to the paying in book, located in the accounts office. Then taken to Barclays bank.	Cheques being lost as this is a physical process. The book being filled in wrong and having to be corrected at the bank when they deposit the cheques.	Double check figure and take the paying in book to the bank in a bag with all the cheques included, so they cannot fall out. Scheduled issue ID432	4	1	Risk Benefits	Task 1W Audit 12M
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	No Action	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5923	Credits Note Processing	A credit either a part or in full - When either goods have been returned, re a sales invoice from a customer. An internal error has taken place and a sales invoice need to be re entered. On the purchasing if a supplier has sent a credit for goods or an error.	the wrong company or items could be credited. Customers could end up paying twice or not at all for somethings.	double checking the information and limiting those who can process credits.	2	2	No Action	Task 1W Audit 12M
5925	Customs Clearance	Customs contact us for information. So they can clear incoming and outgoing parcels.	Goods not cleared, so goods can be returned or fines can be issued.	Respond immediately to requests for clearance and templates are in place to minimize errors.	2	1	No Action	Task 1W
5932	Remit Processing And Entry Into Opera	Remits are identified, matched to the bank statement and then entered into Opera on the customer account.	That remits are missed.	The bank is checked at the end of each month against Opera and any remits that are missed are entered then.	3	1	No Action	Task 1W Audit 24M
5933	Sales Accounts Reminders	The sales account reminders or debtors are up dated and then any outstanding invoices are chased for payment.	That the wrong person is chased or that one is missed.	We use the Bank statement and Intrastats, as well as Opera, to work out what is owing. This way the debtors report is up to date before reminder are done. This is reviewed and issues sent. All contact details are in intrastats and Gmail.	3	1	No Action	Task 1M Audit 6M
7824	Chase The Debtors VST	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	1	No Action	Task 1M Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6946	Accounts Debtors Review - Export	Checking the export debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	1	No Action	Task 1M Audit 6M
6951	Accounts Debtors Review - UK	Checking the UK debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M

Account Maintenance Risk / Opportunity
Responsibility Vandagraph

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7791	Price List Check	Changing of the prices lists. Issue to check these are current *Vandagraph is not an ISO company	That people will quote the wrong price to the customer.	Review and regular monitoring.	1	2	No Action	Task 1M

Agreements Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7801	VST Price Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	No Action	Task 12M Audit 12M

Agreements Risk / Opportunity
Responsibility EX Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5873	Distributor Contract Reviews	To check through list of export distributors	That we sell to someone in a country that already has a distributor.	Regularly review the list and meeting where necessary.	3	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6931	Customer Complaints	Review the Customer Complaints Heading	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	1	3	No Action	Task 1W Audit 6M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	
15	Filing And Archiving	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	Train staff to take time and ensure it is filed in order	1	1	No Action	Task 31D Audit 12M
7761	Send VST Delivery Notifications	Emailing Notifications of shipments	Limited risks, and if the email fails to get delivered the customer will still receive their shipment.	Regular issues	2	1	No Action	Task 1D Audit 1W
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk	1	1	No Action	
8	Order And Status Liaison With Customers	To contact customers who require order confirmations and let them know their orders have been received.	that orders requiring conformation are missed or the wrong information is given	the person putting on the order confirms it to the customer to minimize the risk of missing the request.	1	1	No Action	
6958	Shipped Order Queries							

Communications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7743	Customer Complaints Paper File	Major Customer Complaints get escalated to Paper Customer Complaints file. Check the File is being Maintained and any relevant documentation is in the File.	Customer Complaints could be missed or not filed correctly	Digital system Regular reviews and issues and management meeting	2	1	No Action	Task 6M

Communications Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7832	Cleardown Emailed Invoices	Backup of all Sent Emails sent to External Address for Verification	that we may loose some emails	regular issues to remind to do job	1	1	No Action	Task 2W Audit 12M
53	Emails	Maintain the Online Email boxes currently Google and Goldmine	incorrect email routing can lead to emails not getting to were they are supposed to be	Email is a common tool, any problems with emailing is apparently quickly.	1	1	No Action	Audit 1W

Contracts Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5905	Price Checking	Check we have consistent pricing across the different databases.	Incorrect pricing can cause customer confusion	Rolling task and Audit to check the List	3	1	No Action	Task 1M Audit 3M
7697	Yearly Pricing Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	No Action	Task 12M Audit 12M

ISO Standards Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
22	Company Policys	Ensure the company policys are still current and upto date	Company shoots of in directions that are not laid out in its policys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	No Action	Task 12M
23	Company Objectives	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	Document reviewed once a year	1	1	No Action	Task 12M
7713	Review Roles And Responsibilityys	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M
7070	Management Review	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	2	1	No Action	Task 3M

ISO Standards Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5881	Training Records Review	Keep Staff Training records upto date See if any records need updating, also see if any records need signing off	Keep enough trained staff to perform our tasks	Training records, roles and titles	2	1	No Action	Task 6M Audit 12M

ISO Standards Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5890	Check Website ISO Documents	Ensure the online available copies of our ISO standards are upto date	customers download out of date documents.	rolling Issue to check the online documents	3	1	No Action	Task 1M Audit 6M
7071	Post Market Surveillance	The process by which review and risk assess all product files, check that no Products / Designs have changed significantly to warrant informing any notified bodies eg. MDD / BSI / CMDCAS or any other related Body.	Loss of certifications Unforeseen product risks.	Rolling tasks and Issue. This process is audited.	1	3	No Action	Task 2M Audit 12M

ISO Standards Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	No Action	Task 1M Audit 6M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Office Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6956	Sales Order Issues							

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6850	Current Stock Levels	Review current stock levels	If the levels are incorrect or we have a shortages then customers will not receive their goods in a timely manor.	Regularly review the stock levels. Supplier lead times and orders. Customer froward orders.	2	1	No Action	Task 2W Audit 6M
6832	Supplier Review Future Orders	Orders that will be placed in the future.	That we will not place the correct orders and the right time.	Regular check and issues.	2	1	No Action	Task 1M Audit 12M
6952	Lost In Shipping Claims							
7680	Check Stock Requirements Supplier Envitec	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6955	Production Requirements	To set production job for any stock item that is needed for customer back order, warehouse requests or marketing	that jobs will not be added and customers orders will be delayed	regular review of the active list by a production controller	2	1	No Action	Task 1W Audit 3M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
57	Temporary Stock Notices	To Review Memos on Stock references tagged as Temporary	That an out of date memo is left on the account	Regular reviews	2	1	No Action	Task 1M Audit 3M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5875	Check Paypal For Orders	Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox	Computer/network breakdown	Ensure adequate IT equipment maintenance	2	1	No Action	Task 1W Audit 1M
7686	Thorough Checking Of Awaiting Action Tray - Priority 8s	Check that outstanding orders with unresolved issues are being followed up and addressed	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	Task 7D Audit 1M
7707	Send Purchase Orders To Suppliers	Emailing purchase orders to suppliers	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	Task 1D Audit 1W
7751	VST Purchase Order Log	Check the VST PO log is up to date with confirmations and expected shipping dates	The order is not checked and the supplier has not received it ergo we do not receive the order	check all orders regularly	2	1	No Action	Task 1W Audit 1W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5	Processing Of Sales Orders	Enter Customer orders into the system, Checking Orders entered into the system so the order drops into the Active / Order picking list	Human Error leading to customer getting the wrong goods, Loss of customers	All orders are doubled checked via a different employee	1	1	No Action	
7	Checking Of Sales Orders	Process to check customer orders and enable picking	Human error in checking the order Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.	1	1	No Action	Audit 1W
5894	Checking Of Active List	Check the Active Back orders ensure no orders get missed	List is not reviewed and orders do not get shipped	regular review of tasks several reviewing the list	1	1	No Action	Task 1W Audit 2M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility UK Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5876	E.Commerce Cardea And Multiquote	To Collect E.Commerce Cardea And Multiquote Orders	Orders go unnoticed	rolling Issue to check website	1	1	No Action	

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5859	Review Un-shipped Parcels	audit and snap shot - this is an audit of a part of goods out, listing of the parcels that are sat waiting on a customer response	Customer forgets to come back to us and parcels stay ready for shipping. As the package is already pick pack and ready to leave the building all computer traces will show as shipped.	Rolling Issue triggers a review of all parcels ready to ship but not shipped	2	1	No Action	Task 1W Audit 1M
6954	Back Orders Review - By Customer	To check the back orders in the tray in goods out and check the active list back orders has been reviewed	goods not shipped in a timely manner	review list regularly by different people.	1	1	No Action	Task 1W Audit 1M
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	No Action	Audit 12M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Production Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7736	Production Start Job List	When a new production is needed we the production job to the list of procedures. Check to make sure that every new job has a procedure linked to it.	That a job will be carried out without a procedure.	Intrastats prevents jobs from being started with out a valid procedure available.	2	2	No Action	Task 1M Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7737	Production In Production List	<p>Review the Production List, check and list those items that were started more than 30 days ago have not been through QA.</p> <p>Audit is carried out and production is reviewed and chased at this point.</p>	Production jobs is finished but not been QA, may get lost in the system	Audit is carried out after rolling issue is sent	2	2	No Action	Task 1M Audit 3M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5927	Accounts Filing	To file the paperwork received and the digital items in a place where they are easily retrievable.	That documents are lost if they are not filed sensibly and in the correct place.	Care need to be taken and if something is of greater importance then the same document can be filed in more than one sensible location. ie. proof of shipments needed by the HMRC - the customer file and the file of shipping document. These are historic and there for will not change over time.	2	2	No Action	Task 6M Audit 12M

Orders Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6862	Current Repairs	The repairs that are currently in the building. Confirm the Stage and Location of repairs	Repairs not being worked on in a timely manor. Repairs being processed with out authorisation from customer.	Regular contact with the customer and filling in intrastats details. Issues to review.	2	1	No Action	Task 1W Audit 3M

Orders Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7783	PDF VST Invoices And Purchase Orders	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	2	1	No Action	

Pricing Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6921	Customer Pricing Agreements	Usual standard price from price list - but may offer quantity discount for less ordered. This is logged in a memo on opera, dated and initial and review date added where needed.	that a price will be charged that is not suitable or appropriate	office sales team reviewing the memos on Opera when putting orders on.	1	1	No Action	
6922	6922 Needs Reviewing							

Pricing Risk / Opportunity
Responsibility UK Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6898	GHX Web Pricing	To review the GHX Web Pricing	That the prices are in correct and we may have to let them have the old price if we have not up dated them	regular reviews of the system and issues.	1	2	No Action	

Pricing Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6971	Freight Courier Cost Request	To get cost of shipping from freight companies	incorrect shipping costs	Training	1	1	No Action	

Pricing Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6950	6950 Needs Reviewing							

Product Compliance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7840	Review VST Feedback - Customer Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	That an issue or report might be missed. That a Negative feedback form Products might not be reviewed	Regular review of the issues - feedbacks and customer complaints. Review meetings and management review	3	1	No Action	Task 1M
7841	Review VST Feedback - Customer Complaints	To review Customer Complaints see if Non Conformance need to be raised	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	3	1	No Action	Task 1M
7843	Review VST Product Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raise	Issues could be missed	regular reviews	3	1	No Action	Task 1M
27	Management Reviews And Quality Audits	To review and close all automatic rolling Issues. Including all rolling tasks and audits	that the task is missed that follow ups are missed	Regular reviews and issues Management review meeting	3	1	No Action	Task 1W Audit 6M
7849	Review Product Failures New Codes	Review the Customer Returns and Review Product Failures New Codes	Product failures / returns do not get reviewed and a new Risk may occur	Intrastats Rolling Task and Audits	1	3	No Action	Task 1W Audit 3M

Product Compliance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7787	Check Returns All Supplier	Review the returns that are present in the duckets, for each supplier as per the issues.	Goods not returned in a timely manor so causing items to be out of warranty.	To review the issues and contact the regularly supplier. Follow there returns procedures.	3	1	No Action	Task 1M Audit 1M
7091	Calibration Index	To ensure that all equipment that requires calibration is done. In the correct timescale and manor. Make sure all equipment has a date of calibration on it	That equipment we use to may not be calibrated when we need it. Or the date may not be attached.	Follow the calibration index in intrastats. Checking the equipment for a date label on calibration	1	2	No Action	Task 1M Audit 3M
6845	Quarantine Production							
7051	Control Of Nonconforming Product							
6847	Quarantine Repairs							

Product Compliance Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7810	Research Activities	Investigating products and applications, existing and potential products.	That the data is incorrect or out of date. Investigations are not thorough.	Double check sources and review facts and data.	3	1	No Action	Task 1M Audit 3M
6827	Customer Or Product Feedback							

Product Compliance Risk / Opportunity
Responsibility Design Products

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
43	Product Post Market Survelance	To monitor the products we have sold	reports not available	reports pre-programmed in to intrastats	1	1	No Action	

Returns Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7752	SRS Folder	Ensure all outstanding repairs are being dealt with	repairs get stuck in the system	Rolling task	2	1	No Action	Task 1M Audit 3M
5879	Customer Returning Goods On Our UPS Account	Goods being returned to us usually from customers on our UPS account. We would usually give our account number or send a UPS returns label to them.	That customers will have to return goods without this service and we will have to credit them the carriage value.	Office have good communication with the customers	1	1	No Action	

Returns Risk / Opportunity
Responsibility Goods In

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5938	Receive Goods							

Returns Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7863	Maintain Repair Codes List	To confirm the current repairs codes for various products in the system are up to date and available to office members of staff.	use of incorrect repair codes	annual review	1	1	No Action	Task 12M Audit 24M

Returns Risk / Opportunity
Responsibility Repairs Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7816	Repairs In Process Review	Review the Repairs In Process	That the process is not updated and not as effective as it could be	regular review	1	1	No Action	

Trace Ability / Recalls Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7826	Goods In Processes	To Receive Goods from Suppliers	incorrectly booked in not booked in	procedures Goods in notices	2	2	No Action	Task 1M Audit 3M

Trace Ability / Recalls Risk / Opportunity
Responsibility Production Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7738	Production Statistics	Production Review, Identify any production jobs taking a long amount of time	No procedure	It is a simple checking list, no procedure is required as all required information is in the Task.	3	1	No Action	Task 1M Audit 3M

VST Supplier

Risk / Opportunity
Communications
OEM Specifications
Payments
Product Feedback
Product Trace Ability
Purchase Orders
Returns

VST Supplier

Communications Risk / Opportunity Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distibuting incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	

Communications Risk / Opportunity Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7071	Post Market Surveillance	The process by which re view and risk assess all product files, check that no Products / Designs have changed significantly to warrant informing any notified bodies eg. MDD / BSI / CMDCAS or any other related Body.	Loss of certifications Unforeseen product risks.	Rolling tasks and Issue. This process is audited.	1	3	No Action	Task 2M Audit 12M

OEM Specifications Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7713	Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M

OEM Specifications Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7784	Check Returns Supplier Envitec	Supplier returns to Envitec, return any products waiting to be returned	Product not returned so missing the supplier warranty	Automatic Issues to review	2	1	No Action	Task 1W Audit 1M
5868	Return Goods To Suppliers	To get Returns numbers from suppliers with return shipments pending.	Not performing the process can lead to products being returned within the warranty period causing financial loss.	Rolling Issue system and rolling audit against the procedure	2	1	No Action	Task 1W Audit 2M
6862	Current Repairs	The repairs that are currently in the building. Confirm the Stage and Location of repairs	Repairs not being worked on in a timely manor. Repairs being processed with out authorisation from customer.	Regular contact with the customer and filling in intrastats details. Issues to review.	2	1	No Action	Task 1W Audit 3M
6850	Current Stock Levels	Review current stock levels	If the levels are incorrect or we have a shortages then customers will not receive their goods in a timely manor.	Regularly review the stock levels. Supplier lead times and orders. Customer froward orders.	2	1	No Action	Task 2W Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7787	Check Returns All Supplier	Review the returns that are present in the duckets, for each supplier as per the issues.	Goods not returned in a timely manor so causing items to be out of warranty.	To review the issues and contact the regularly supplier. Follow there returns procedures.	3	1	No Action	Task 1M Audit 1M

OEM Specifications Risk / Opportunity
Responsibility OEM Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7894	VST Customer Agreements	To check the Current Customer Agreements are still Valid	minimal risk	Rolling Issue	1	1	No Action	Task 6M Audit 12M

OEM Specifications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
28	Supplier Review	Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Supplier certificates go out of date, or they lose ISO standards and we`re unaware	rolling task to do the supplier review	1	1	No Action	Task 12M Audit 12M

Payments Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5931	Purchase Invoices In To Opera	Putting into opera the purchase invoices that are received from our suppliers, by Email, fax, post or by hand.	Invoices missed, not received or entered incorrectly.	Opera has a purchase orders that are invoiced on the system when they are received, this means they are entered correctly. A report is run monthly to check orders that have been delivered but not invoiced.	2	1	No Action	Task 1W Audit 12M

Product Feedback Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6829	Supplier Review - Outstanding Orders	Orders that have not been supplied in the time scale provided.	That good will be delayed and therefore not available to customers.	Regular contact with the suppliers.	2	2	No Action	Task 1M Audit 3M
6832	Supplier Review Future Orders	Orders that will be placed in the future.	That we will not place the correct orders and the right time.	Regular check and issues.	2	1	No Action	Task 1M Audit 12M

Product Trace Ability Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7825	Order Picking	To Pick and Pack customer Orders	Computer Failure Incorrect orders	Rolling Issues Order Checking Active List review	1	1	No Action	
7826	Goods In Processes	To Receive Goods from Suppliers	incorrectly booked in not booked in	procedures Goods in notices	2	2	No Action	Task 1M Audit 3M

Product Trace Ability Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7748	Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	No Action	Task 7D Audit 12M
7691	Ship Sale Or Returns	Review the sale or return shelf and ship those items.	Goods will be missed	Regular review and issues sent. Audit carried out.	2	1	No Action	Task 1D

Purchase Orders Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7680	Check Stock Requirements Supplier Envitec	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W Audit 1M

Purchase Orders Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	No Action	Audit 12M

Customer

Risk / Opportunity
Account Maintenance
Agreements
Communications
Contracts
ISO Standards
Order Fulfillment / Accuracy
Orders
Pricing
Product Compliance
Product Disposal
Returns
Servicing
Trace Ability / Recalls
Warranty

Customer

Account Maintenance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5864	Sales Meeting EX	To review the current sales. Look at future sales including potential customer, tenders, markets, exhibitions, problems or barriers to sales.	That the salesman has not prepared for the review or does not have all the information to hand.	Regular issues and regular meetings including feedback and support.	4	1	Risk Benefits	Task 3W
5863	Sales Meetings UK	To review the current sales. Look at future sales including potential customer, tenders, markets, exhibitions, problems or barriers to sales.	That the salesman has not prepared for the review or does not have all the information to hand.	Regular issues and regular meetings including feedback and support.	4	1	Risk Benefits	Task 4W

Account Maintenance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7684	Repairs Ready For Quote	Process Repairs Ready For Quote	If process does not get performed, we likely to lose customers, get complaints over not responding to customers returned goods	rolling task	1	1	No Action	Task 1D

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7685	Repairs Ready For Invoice	Process Invoice for completed repairs.	repair has errors on it	secondary checking carried out on all customer orders.	1	1	No Action	Task 2D
5935	Stock Allocations	To allocate stock that has not automatically be linked to a repair or invoice. No longer required with replacement order system	Items that should be linked to a invoice are not in the allocations list. That items are allocated incorrectly on the list.	Care is taken where allocating stock to invoices and credits. Research is done where it is not clear what item should be allocated.	2	1	No Action	
7683	Check Stock For Proforma	To check that we have stock in for customer proformas. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between office and warehouse.	2	1	No Action	Task 1W
7674	Check Repairs Ready For Invoice List	Review the repairs ready For invoice List in intrastats.	That repairs will be missed.	Review the list regularly and issues.	2	1	No Action	Task 2W Audit 3M
7797	Check Order Are Being Picked In Priority Order	Check order are being picked in order of priority and date.	Orders going at before more urgent ones	Issues, Audit and visual checks.	2	1	No Action	Task 8W Task 2D Audit 3M
7798	Orders And Items Shipped Per Month	Review the orders and items shipped per month	Problem with report	Review regularly	3	1	No Action	Task 1M Audit 3M
7825	Order Picking	To Pick and Pack customer Orders	Computer Failure Incorrect orders	Rolling Issues Order Checking Active List review	1	1	No Action	

Account Maintenance Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5948	Adding New Accounts To Opera	Adding customer accounts to account management software	Incorrect entry of account number (Unusable account) Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage License expiry	Staff trained in accuracy Orders checked for errors on processing	3	1	No Action	Audit 12M
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	No Action	Audit 1M
11	Distribution Of Post	Distibuting incoming post to correct person	Royal Mail fail to deliver post	regular issues to remind staff of the job	3	1	No Action	Task 1D
36	Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	2	1	No Action	Task 1D Audit 1W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
37	West Yorkshire Ambulance Stock	<p>Viamed has a consignment stock with West Yorkshire Ambulance,</p> <p>We scan stock to a shelf, then send them the consignment stock As and when they use stock each week we do a rational and invoice them for the used stock and replenish the consignment stock.</p> <p>WYA Stock check via the website.</p> <p>We can now check their stock agrees with ours.</p>	<p>Synchronisation Fails</p> <p>Stock shortage</p>	<p>Regular Office checks on the synchronisation of the consignment shelf against the website.</p> <p>Stock levels taken care of in the stock review.</p>	1	1	No Action	
5899	Proforma And Quote Chasing	Chase outstanding Quotes and Proformas	Computer/network breakdown Not chased up.	Ensure IT equipment is regularly maintained. Customers can be called if necessary Audit issues to check being carried out.	3	1	No Action	Task 1W Audit 1M
5943	Check Cardea And Multiquote	Checking the Cardea and Multiquote websites for outstanding orders or requests	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	Task 1W Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5913	Check For Humanmed Orders In Logistics Mailbox	Checking the logistics mailbox from within and the main inbox for outstanding Humanmed orders. NO LONGER REQUIRED HUMANEMD STOPPED	Computer/network breakdown	Rolling issue and Audit Ensure IT equipment is regularly maintained	2	1	No Action	
7676	PDFing Of Invoices Viamed	Process of PDFing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NO LONGER REQUIRED AS DONE BY THE SYSTEM AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	2	1	No Action	
7686	Thorough Checking Of Awaiting Action Tray - Priority 8s	Check that outstanding orders with unresolved issues are being followed up and addressed	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	Task 7D Audit 1M
7678	Check Catalog 360 Circle For Quotes And Orders	Checking the Catalog 360 Circle website for outstanding orders or requests SYSTEM NO LONGER USED	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	
7709	Delivered Not Invoiced	Ensure invoices are generated for shipped orders	Computer/network breakdown delivery is missed and remains un invoiced.	regular review of tasks / issues	2	2	No Action	Task 1D Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7712	Review Inward Payments	Review the payments received to ensure proformas can be shipped	Computer network breakdown	Ensure IT equipment is regularly maintained. Regular review of the folder and the bank.	3	1	No Action	Task 1D Audit 1W
7735	Ensure SOR`s Are Followed Up	Ensure samples and Sale or Return items are followed up after 4 weeks for feedback and the item(s) is returned as appropriate	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	Task 1W Audit 1M
5896	Ensuring ORD`s Are Taken To Goods Out And Invoices Are Retrieved							
5949	Filling Credit Card Slips	Check Square transactions for any anomalies or problems	wrong amounts charged and wrong customers	training and checking, allowing staff to send invoices to the customer so they can just pay themselves. Less risk of mistakes	2	2	No Action	Task 1M Audit 1M

Account Maintenance Risk / Opportunity
Responsibility OEM Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7808	Ensure All Invoice Correctly Tagged	To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes	Pay a Sales rep for special sales in the relevant area. and make a loss on the sale	Rolling monthly Issue to Tag the Invoices,	3	1	No Action	Task 1M Audit 3M

Account Maintenance Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7748	Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	No Action	Task 7D Audit 12M
7749	Check Repair Quotes	Check the quotes that we send out for the repairs we have received in.	That mistakes may be missed. That details will be incorrect and it will affect the customer.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	No Action	Task 1D
7691	Ship Sale Or Returns	Review the sale or return shelf and ship those items.	Goods will be missed	Regular review and issues sent. Audit carried out.	2	1	No Action	Task 1D
7690	Ship Repairs	Review the Repairs completed shelf and ship those items that are ready for return to the customer.	That a repair will be missed	Regular review and issues sent. Audit carried out.	2	1	No Action	Task 1D Audit 1M

Account Maintenance Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5927	Accounts Filing	To file the paperwork received and the digital items in a place where they are easily retrievable.	That documents are lost if they are not filed sensibly and in the correct place.	Care need to be taken and if something is of greater importance then the same document can be filed in more than one sensible location. ie. proof of shipments needed by the HMRC - the customer file and the file of shipping document. These are historic and there for will not change over time.	2	2	No Action	Task 6M Audit 12M
5867	Accounts On Stop	Accounts placed on stop as they owe money. To prevent orders being dispatched.	accounts being on stop when they have paid and preventing orders, that should be sent, from being shipped. Payments coming in and them not being picked up in a timely manner.	Scheduled issue ID223 to review accounts on stop.	2	1	No Action	Task 2W Audit 3M
5920	Cheques To Bank - Fill In Paying In Book	Cheques that are received in from customers as payments, refunds from Royal Mail, HMRC in the form of Duty refunds etc. These are filled in to the paying in book, located in the accounts office. Then taken to Barclays bank.	Cheques being lost as this is a physical process. The book being filled in wrong and having to be corrected at the bank when they deposit the cheques.	Double check figure and take the paying in book to the bank in a bag with all the cheques included, so they cannot fall out. Scheduled issue ID432	4	1	Risk Benefits	Task 1W Audit 12M
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	No Action	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5942	Chase The Debtors Viamed	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M
5923	Credits Note Processing	A credit either a part or in full - When either goods have been returned, re a sales invoice from a customer. An internal error has taken place and a sales invoice need to be re entered. On the purchasing if a supplier has sent a credit for goods or an error.	the wrong company or items could be credited. Customers could end up paying twice or not at all for somethings.	double checking the information and limiting those who can process credits.	2	2	No Action	Task 1W Audit 12M
5925	Customs Clearance	Customs contact us for information. So they can clear incoming and outgoing parcels.	Goods not cleared, so goods can be returned or fines can be issued.	Respond immediately to requests for clearance and templates are in place to minimize errors.	2	1	No Action	Task 1W
5924	Export Cheques Sent By Currency Lodgement	Export \$ USD or €, Euro cheques from customers have to be sent to the bank processing department in Poole. With a form.	Cheque could be lost	Copies are taken before sending in case anything is lost.	2	1	No Action	Task 1M
5932	Remit Processing And Entry Into Opera	Remits are identified, matched to the bank statement and then entered into Opera on the customer account.	That remits are missed.	The bank is checked at the end of each month against Opera and any remits that are missed are entered then.	3	1	No Action	Task 1W Audit 24M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5933	Sales Accounts Reminders	The sales account reminders or debtors are up dated and then any outstanding invoices are chased for payment.	That the wrong person is chased or that one is missed.	We use the Bank statement and Intrastats, as well as Opera, to work out what is owing. This way the debtors report is up to date before reminder are done. This is reviewed and issues sent. All contact details are in intrastats and Gmail.	3	1	No Action	Task 1M Audit 6M
7789	Withdraw Funds From Paypal	To remove the receipts that have come into Paypal over the month. So they can be entered in to accounts sales.	That a payment is not entered accounts , or onto the correct sales account.	This is done monthly to minims that quantity of payments. The debtors report reviews these payments in. If they are on incorrectly the account would still be outstanding or not balance.	1	1	No Action	Task 1M Audit 6M
7824	Chase The Debtors VST	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	1	No Action	Task 1M Audit 3M
6946	Accounts Debtors Review - Export	Checking the export debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	1	No Action	Task 1M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6951	Accounts Debtors Review - UK	Checking the UK debtors are up to date and reminding customers where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	2	2	No Action	Task 1M Audit 6M
7790	Humanmed Invoice Them For Previous Month	A invoice is generate at the end of each month to charges Humanmed for the admin fee, carriage charges and any special carriage charges.	That this invoice is not produced.	Issue reminding of this monthly.	3	1	No Action	
7794	V1000 Commissions Review	To review the payments of commissions for the v1000 Product line	This may be missed	Issues sent to remind this.	2	1	No Action	Task 3M
7800	Opera Nominal Ledger Close	The closing down of the previous months nominal ledger for accounts purposes.	The system crashes.	Back ups are taken before any close down in opera to protect against crashes or corrupted data. Missed items can added in the current month and manually corrected and if necessary.	1	2	No Action	Task 1M Audit 24M
7817	Issues For Accountants - Check Suggested Invoice Report In Operas	This is a report that is run to make sure we have not missed the invoicing of an order during the preceding month, on the sales ledger.	That sales deliveries are missed and not invoiced.	An Issue is sent monthly.	3	1	No Action	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7819	Issues For Accountant - Check Contra Account 8000 And Clear It	A review of the contra nominal account in accounts package, number 8000, for the previous 12 months. To see if the adjustments that go through this account, have been handled correctly and the amount at the end is zero.	That the account will not have a zero balance.	Issue is sent to ensure this has been reviewed and monitored.	2	2	No Action	Task 1M Audit 24M

Account Maintenance Risk / Opportunity
Responsibility Vandagraph

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7791	Price List Check	Changing of the prices lists. Issue to check these are current *Vandagraph is not an ISO company	That people will quote the wrong price to the customer.	Review and regular monitoring.	1	2	No Action	Task 1M

Agreements Risk / Opportunity
Responsibility UK Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6888	Viamed Automotive UK	Report generate to give a idea of the current and future sales.	That the salesmen will not have prepared for this so a substandard report, or no report is produced.	Regular issues and meetings. Support offered where needed.	2	1	No Action	

Agreements Risk / Opportunity
Responsibility EX Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5873	Distributor Contract Reviews	To check through list of export distributors	That we sell to someone in a country that already has a distributor.	Regularly review the list and meeting where necessary.	3	1	No Action	Task 1M Audit 3M

Agreements Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5857	Customer Service Logs	Ensuring customer onsite service visits are completed	Engineer or equipment is unavailable	Liaison with customer and engineer to find best times and dates for visit to take place	2	1	No Action	Task 1W Audit 1M

Agreements Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5905	Price Checking	Check we have consistent pricing across the different databases.	Incorrect pricing can cause customer confusion	Rolling task and Audit to check the List	3	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	No Action	Audit 3M
14	Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	No Action	
15	Filing And Archiving	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	Train staff to take time and ensure it is filed in order	1	1	No Action	Task 31D Audit 12M
7761	Send VST Delivery Notifications	Emailing Notifications of shipments	Limited risks, and if the email fails to get delivered the customer will still receive their shipment.	Regular issues	2	1	No Action	Task 1D Audit 1W
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk	1	1	No Action	
17	17 Needs Reviewing	Office no longer prepare catalogues						
8	Order And Status Liaison With Customers	To contact customers who require order confirmations and let them know their orders have been received.	that orders requiring conformation are missed or the wrong information is given	the person putting on the order confirms it to the customer to minimize the risk of missing the request.	1	1	No Action	
6958	Shipped Order Queries							
19	Maintaining Leaflet Stocks	Ensure required leaflets are in stock	Stock is not checked	Regualr stock take	2	1	No Action	Task 1W Audit 1M
20	Processing Of Mail Shots	Ensuring mail shots are printed and sent	Depleted stock of leaflets	Ensure leaflet stocks are maintained	1	1	No Action	Task 1W Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5892	Checking EBay And Amazon For Orders And Messages	Checking the eBay and Amazon accounts for orders that have not been emailed to the main inbox and checking to see if there are messages or questions.	Computer/network breakdown	Ensure IT equipment is maintained and task is regularly being performed	2	2	No Action	Task 1D Audit 1W
5893	Answering Website Questions	<p>Answering any questions that are asked via the website from within Intrastats</p> <p>PROCESS NO LONGER REQUIRED Web QUESTIONS NOW COME IN VIA shopify, and Email</p>	Computer/network breakdown	Ensure IT equipment is maintained	1	1	No Action	
7696	Send VIAMED Delivery Notifications	Emailing Notifications of shipments	limited risks, and if email fails to get delivered the customer will still receive their shipment.	Regular issues	2	1	No Action	Task 1D Audit 1W
7699	Shred Sensitive Paperwork In JL Office	Shredding of sensitive information	Broken shredder	Ensure shredder is regularly maintained	1	1	No Action	Task 2W Audit 1M
7705	Checking For Uploaded Files	Checking if a customer has uploaded an order directly to our website	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	2	No Action	
7758	Check For GHX Orders	Check the emails for orders from GHX	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	No Action	Task 1W Audit 1M
7795	Answering UK Web Questions	Answering any questions that are asked via the website from within Intrastats	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	
21	Office Sales Projects	Ensuring office job list is being updated and completed	Office is short staffed or over worked	Ensure there is adequate office staff to meet demands	2	1	No Action	Task 1W Audit 1M

Communications Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6894	Product Cross References	Maintenance and research of cross reference tables	Out of date databases linking products to equipment	Rolling issue to start the research project.	3	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility UK Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5871	Check Sale Or Returns	Review the Sale or Return list in intrastats. Ensure it is up to date.	That goods could be sent to a customer or goods returned but the list is not updated	To regularly review the list and associated issues.	2	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility EX Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5872	Check Sale Or Returns Export	Review the Sale or Return list in intrastats. Ensure it is up to date.	That goods could be sent to a customer or goods returned but the list is not updated	To regularly review the list and associated issues.	2	1	No Action	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7743	Customer Complaints Paper File	Major Customer Complaints get escalated to Paper Customer Complaints file. Check the File is being Maintained and any relevant documentation is in the File.	Customer Complaints could be missed or not filed correctly	Digital system Regular reviews and issues and management meeting	2	1	No Action	Task 6M

Communications Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7129	Intrastats Cross Reference Database Tables Updates	Update the online Cross reference guides with latest intrastats data.	The online Cross reference guide not updated	database maintenance Regular issues	3	1	No Action	Task 1M Audit 3M
7832	Cleardown Emailed Invoices	Backup of all Sent Emails sent to External Address for Verification	that we may loose some emails	regular issues to remind to do job	1	1	No Action	Task 2W Audit 12M
53	Emails	Maintain the Online Email boxes currently Google and Goldmine	incorrect email routing can lead to emails not getting to were they are supposed to be	Email is a common tool, any problems with emailing is apparently quickly.	1	1	No Action	Audit 1W

Contracts Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6972	UPS Shipping Fuel Surcharge	task no longer required, WE switched toups online WITH LIVE PRICES Update the UPS rates to ensure we charge the correct amount of carriage	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	2	No Action	

Contracts Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7697	Yearly Pricing Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	No Action	Task 12M Audit 12M

ISO Standards Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
22	Company Policys	Ensure the company policys are still current and upto date	Company shoots of in directions that are not laid out in its policys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	No Action	Task 12M
23	Company Objectives	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	Document reviewed once a year	1	1	No Action	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7713	Review Roles And Responsibilities	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	No Action	Task 1M Audit 6M
7070	Management Review	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	2	1	No Action	Task 3M

ISO Standards Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5881	Training Records Review	Keep Staff Training records upto date See if any records need updating, also see if any records need signing off	Keep enough trained staff to perform our tasks	Training records, roles and titles	2	1	No Action	Task 6M Audit 12M

ISO Standards Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5890	Check Website ISO Documents	Ensure the online available copies of our ISO standards are upto date	customers download out of date documents.	rolling Issue to check the online documents	3	1	No Action	Task 1M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7071	Post Market Surveillance	The process by which review and risk assess all product files, check that no Products / Designs have changed significantly to warrant informing any notified bodies eg. MDD / BSI / CMDCAS or any other related Body.	Loss of certifications Unforeseen product risks.	Rolling tasks and Issue. This process is audited.	1	3	No Action	Task 2M Audit 12M
6871	ISO14001 Environmental Management Systems	Not yet Applied Rolling Issue to see if we should apply this standard in the future	If we went for this, the risks would be incomplete data or ineffective system	If we went for this, we would carry out regular review and meetings	1	1	No Action	Task 12M

ISO Standards Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	No Action	Task 1M Audit 6M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Office Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6956	Sales Order Issues							

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6850	Current Stock Levels	Review current stock levels	If the levels are incorrect or we have a shortages then customers will not receive their goods in a timely manor.	Regularly review the stock levels. Supplier lead times and orders. Customer froward orders.	2	1	No Action	Task 2W Audit 6M
6832	Supplier Review Future Orders	Orders that will be placed in the future.	That we will not place the correct orders and the right time.	Regular check and issues.	2	1	No Action	Task 1M Audit 12M
6952	Lost In Shipping Claims							
6955	Production Requirements	To set production job for any stock item that is needed for customer back order, warehouse requests or marketing	that jobs will not be added and customers orders will be delayed	regular review of the active list by a production controller	2	1	No Action	Task 1W Audit 3M
7680	Check Stock Requirements Supplier Envitec	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W Audit 1M
7679	Check Stock Requirements Supplier Teledyne	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W
7681	Check Stock Requirements Supplier Posey	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	2	1	No Action	Task 2W

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
57	Temporary Stock Notices	To Review Memos on Stock references tagged as Temporary	That an out of date memo is left on the account	Regular reviews	2	1	No Action	Task 1M Audit 3M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5875	Check Paypal For Orders	Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox	Computer/network breakdown	Ensure adequate IT equipment maintenance	2	1	No Action	Task 1W Audit 1M
7707	Send Purchase Orders To Suppliers	Emailing purchase orders to suppliers	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	Task 1D Audit 1W
7751	VST Purchase Order Log	Check the VST PO log is up to date with confirmations and expected shipping dates	The order is not checked and the supplier has not received it ergo we do not receive the order	check all orders regularly	2	1	No Action	Task 1W Audit 1W
7822	Review Oxylink Stock	To check we have the stock available to supply our customer Oxylink. NOTE THIS PROCESS HAS BEEN STOPPED. Part number has been superseded	The we do not have the stock needed to satisfy the orders for this customer.	Issues and regular review to check.	3	1	No Action	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5	Processing Of Sales Orders	Enter Customer orders into the system, Checking Orders entered into the system so the order drops into the Active / Order picking list	Human Error leading to customer getting the wrong goods, Loss of customers	All orders are doubled checked via a different employee	1	1	No Action	
7	Checking Of Sales Orders	Process to check customer orders and enable picking	Human error in checking the order Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.	1	1	No Action	Audit 1W
5894	Checking Of Active List	Check the Active Back orders ensure no orders get missed	List is not reviewed and orders do not get shipped	regular review of tasks several reviewing the list	1	1	No Action	Task 1W Audit 2M
7734	Humanmed Order Processing	To make sure Humanmed orders are processed in a timely manner	orders getting missed	reviewed by several members of the team	1	1	No Action	

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility UK Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5876	E.Commerce Cardea And Multiquote	To Collect E.Commerce Cardea And Multiquote Orders	Orders go unnoticed	rolling Issue to check website	1	1	No Action	

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5859	Review Un-shipped Parcels	audit and snap shot - this is an audit of a part of goods out, listing of the parcels that are sat waiting on a customer response	Customer forgets to come back to us and parcels stay ready for shipping. As the package is already pick pack and ready to leave the building all computer traces will show as shipped.	Rolling Issue triggers a review of all parcels ready to ship but not shipped	2	1	No Action	Task 1W Audit 1M
6954	Back Orders Review - By Customer	To check the back orders in the tray in goods out and check the active list back orders has been reviewed	goods not shipped in a timely manner	review list regularly by different people.	1	1	No Action	Task 1W Audit 1M
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	No Action	Audit 12M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Production Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7736	Production Start Job List	When a new production is needed we the production job to the list of procedures. Check to make sure that every new job has a procedure linked to it.	That a job will be carried out without a procedure.	Intrastats prevents jobs from being started with out a valid procedure available.	2	2	No Action	Task 1M Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7737	Production In Production List	Review the Production List, check and list those items that were started more than 30 days ago have not been through QA. Audit is carried out and production is reviewed and chased at this point.	Production jobs is finished but not been QA, may get lost in the system	Audit is carried out after rolling issue is sent	2	2	No Action	Task 1M Audit 3M

Orders Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6829	Supplier Review - Outstanding Orders	Orders that have not been supplied in the time scale provided.	That good will be delayed and therefore not available to customers.	Regular contact with the suppliers.	2	2	No Action	Task 1M Audit 3M

Orders Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7783	PDF VST Invoices And Purchase Orders	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	2	1	No Action	
5891	Processing Of Repair Quotes And Orders	To process the Repair Quotes And Orders as they come in.	Repairs missed or delayed. Order numbers not received before processing.	Follow the repairs procedure and train staff.	3	1	No Action	

Pricing Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7801	VST Price Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	No Action	Task 12M Audit 12M
6921	Customer Pricing Agreements	Usual standard price from price list - but may offer quantity discount for less ordered. This is logged in a memo on opera, dated and initial and review date added where needed.	that a price will be charged that is not suitable or appropriate	office sales team reviewing the memos on Opera when putting orders on.	1	1	No Action	
6922	6922 Needs Reviewing							

Pricing Risk / Opportunity
Responsibility UK Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6898	GHX Web Pricing	To review the GHX Web Pricing	That the prices are in correct and we may have to let them have the old price if we have not up dated them	regular reviews of the system and issues.	1	2	No Action	

Pricing Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6971	Freight Courier Cost Request	To get cost of shipping from freight companies	incorrect shipping costs	Training	1	1	No Action	

Pricing Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6950	6950 Needs Reviewing							

Product Compliance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6931	Customer Complaints	Review the Customer Complaints Heading	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	1	3	No Action	Task 1W Audit 6M
7838	Review VIAMED Feedback - Customer Feedback Negative	Review Customer Feedback Negative	Rolling Issues No risk to process	Regular review of the issues	3	1	No Action	Task 1M
7842	Review VIAMED Product Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	That an issue or report might be missed. That a Negative feedback form Products might not be reviewed	Regular review of the issues - feedbacks and customer complaints. Review meetings and management review	3	1	No Action	Task 1M
7840	Review VST Feedback - Customer Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	That an issue or report might be missed. That a Negative feedback form Products might not be reviewed	Regular review of the issues - feedbacks and customer complaints. Review meetings and management review	3	1	No Action	Task 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7841	Review VST Feedback - Customer Complaints	To review Customer Complaints see if Non Conformance need to be raised	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	3	1	No Action	Task 1M
7843	Review VST Product Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raise	Issues could be missed	regular reviews	3	1	No Action	Task 1M
27	Management Reviews And Quality Audits	To review and close all automatic rolling Issues. Including all rolling tasks and audits	that the task is missed that follow ups are missed	Regular reviews and issues Management review meeting	3	1	No Action	Task 1W Audit 6M
7849	Review Product Failures New Codes	Review the Customer Returns and Review Product Failures New Codes	Product failures / returns do not get reviewed and a new Risk may occur	Intrastats Rolling Task and Audits	1	3	No Action	Task 1W Audit 3M
7839	Review VIAMED Feedback - Customer Complaints	To Review Viamed Customer Complaints	Rolling Issue No Risk	Keep detailed records and review	3	1	No Action	Task 1M

Product Compliance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7787	Check Returns All Supplier	Review the returns that are present in the duckets, for each supplier as per the issues.	Goods not returned in a timely manor so causing items to be out of warranty.	To review the issues and contact the regularly supplier. Follow there returns procedures.	3	1	No Action	Task 1M Audit 1M
7091	Calibration Index	To ensure that all equipment that requires calibration is done. In the correct timescale and manor. Make sure all equipment has a date of calibration on it	That equipment we use to may not be calibrated when we need it. Or the date may not be attached.	Follow the calibration index in intrastats. Checking the equipment for a date label on calibration	1	2	No Action	Task 1M Audit 3M
6845	Quarantine Production							

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7051	Control Of Nonconforming Product							

Product Compliance Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7810	Research Activities	Investigating products and applications, existing and potential products.	That the data is incorrect or out of date. Investigations are not thorough.	Double check sources and review facts and data.	3	1	No Action	Task 1M Audit 3M
6827	Customer Or Product Feedback							

Product Compliance Risk / Opportunity
Responsibility Design Products

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
43	Product Post Market Survelance	To monitor the products we have sold	reports not available	reports pre-programmed in to intrastats	1	1	No Action	

Product Compliance Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	No Action	

Product Disposal Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7752	SRS Folder	Ensure all outstanding repairs are being dealt with	repairs get stuck in the system	Rolling task	2	1	No Action	Task 1M Audit 3M
5898	Processing Depleted Sensors	Dispose of depleted oxygen sensors and send customer replacement disposal bags	Sensors are not handled correctly	Ensure all staff performing the task wear designated gloves	1	1	No Action	Task 2W Audit 2W

Returns Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6862	Current Repairs	The repairs that are currently in the building. Confirm the Stage and Location of repairs	Repairs not being worked on in a timely manor. Repairs being processed with out authorisation from customer.	Regular contact with the customer and filling in intrastats details. Issues to review.	2	1	No Action	Task 1W Audit 3M
6847	Quarantine Repairs							

Returns Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5879	Customer Returning Goods On Our UPS Account	Goods being returned to us usually from customers on our UPS account. We would usually give our account number or send a UPS returns label to them.	That customers will have to return goods without this service and we will have to credit them the carriage value.	Office have good communication with the customers	1	1	No Action	

Returns Risk / Opportunity
Responsibility Goods In

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5938	Receive Goods							

Returns Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7863	Maintain Repair Codes List	To confirm the current repairs codes for various products in the system are up to date and available to office members of staff.	use of incorrect repair codes	annual review	1	1	No Action	Task 12M Audit 24M

Returns Risk / Opportunity
Responsibility Repairs Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7816	Repairs In Process Review	Review the Repairs In Process	That the process is not updated and not as effective as it could be	regular review	1	1	No Action	

Servicing Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6916	Service Existing							
6917	Service Extension							

Servicing Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7760	Send Service Offers	Send letters to existing customers to remind them that a service is due on their equipment	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	No Action	Task 1W Audit 4W

Trace Ability / Recalls Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7826	Goods In Processes	To Receive Goods from Suppliers	incorrectly booked in not booked in	procedures Goods in notices	2	2	No Action	Task 1M Audit 3M

Trace Ability / Recalls Risk / Opportunity
Responsibility Production Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7738	Production Statistics	Production Review, Identify any production jobs taking a long amount of time	No procedure	It is a simple checking list, no procedure is required as all required information is in the Task.	3	1	No Action	Task 1M Audit 3M

Weee Care Reporting

Risk / Opportunity
Requirement To Report

Weee Care Reporting

Requirement To Report Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7904	Check Weeee Waste Pallet And Sensor Bin	Check Weeee waste pallet and sensor bin, arrange collection if FULL	over full bins can be a hazard over full weee area can be a hazard	<p>The weee waste</p> <p>is kept in a designated area in the warehouse and full we arrange collection and safe disposal by a recognised company</p> <p>The sensors bins are kept in a locked cage outside When they are full we arrange collection and safe disposal by a recognised company</p>	1	1	No Action	Task 6M Audit 12M

Requirement To Report Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7969	Weee Waste Reporting	To report official weee waste Weights we have placed in the Markets	Lose Certification to Weee Regulations	Rolling Task to perform task,	1	3	No Action	Task 12M Audit 12M

External Partners

Risk / Opportunity

External Partners