

Needs/Expectations/Risks/Opportunities of Interested Parties

Vandagraph Sensor Technologies 26 Oct 2017

Identified External Parties

Interested Parties Vandagraph Sensor Technologies 26 Oct 2017

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
ISO Auditing Bodies	Certified / Notified Bodies British Standards	Audits Compliance Certificates Notifications Communications
Supplier	Suppliers of products and services UK and Export	Product Trace Ability Payments Product Feedback Returns Purchase Orders Communications
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 storage Computer maintenance 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 salaries. Perform Pension requirements	PAYE To Staff Finalise Accounts
Regulations		New Regulations
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 withdrawl from the diving market.	Communications Payments Product Feedback Product Trace Ability Purchase Orders Returns OEM Specifications

Finance Banks

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

Finance Banks

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	2	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	0	0	Task 12M
55	Business Continuity Plan	Business Continuity Plan	to wide to list here	plan in Place	1	1	1	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	3	Audit 1M
11	Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	5	1	5	Task 1D

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	4	1	4	Task 1W Audit 1M
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	4	1	4	Task 1W Audit 2W
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	4	1	4	Task 1W 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/net work breakdown	Ensure adequate IT equipment maintenance	4	1	4	Task 1W Audit 1M
5897	Franking Mail	Task to Frank outgoing Mail	Franking machine breakdown	Ensure franking machine receives regular maintenance	5	1	5	Task 1D Audit 1D
7711	Import Bank CSV	Download the most recent bank statement from the bank website	Computer/net work breakdown	Ensure IT equipment is regularly maintained	5	1	5	Task 1D Audit 1W
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	2	Audit 3M
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk			0	
16	Photocopying						0	

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	1	

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	2	
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	1	
6813	Management Meeting Turnover Report	Ensure the turnover report is accurate	Incorrect figures could be financially catastrophic	rolling issues	3	1	3	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					0	

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	2	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	2	Task 1M

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	4	Task 1W Audit 12M
5914	End Of Year Reports For Accountants	The closing down of Opera 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	1	Task 12M
7084	Accounts Issues	this is a very wide heading and is dealt with in other tasks	N/A	N/A			0	
7195	Loans Between Companies						0	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	4	Task 6M Audit 12M

Finance Agreements Risk / Opportunity
Responsibility Share Holder

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7834	Financial Review	Shareholder review of the Financial position of the Companies	Non	Non	3	1	3	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	3	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	3	Task 1M Audit 6M

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.			0	

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	2	3	6	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	4	1	4	Task 1W Audit 2W

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	1	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 excercise	Rolling Issue no audit required as Accounts will chase up for the invoice when they find they don't have it	3	1	3	Task 1M
7701	AWS Amazon Web Services	Amazon Web Services, is an online service, which basically 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	n/a	3	1	3	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.	4	1	4	Task 1W Audit 12M
5930	VAT Return	VAT return filled in on the HMRC Web site. The information for this is taken from intrastats and manual cashbooks and then filled in on the HMRC web site.	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 intrastats so as to less the risk of error. The accountants check the VAT figures and returns quarterly for us.	2	3	6	Task 3M Audit 12M
6819	Supplier Payments And Invoice Processing						0	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.	3	2	6	Task 1M Audit 24M

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.	4	1	4	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.	4	1	4	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 performance as can be shipped	Computer network breakdown	Ensure IT equipment is regularly maintained	5	1	5	Task 1D Audit 1W

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
5	Proc essi ng Of Sale s Orde rs	Ente r Cust ome r orde rs into the syst em, Che ckin g Orde rs ente red into the syst em so the orde r drop s into the Activ e / Orde r picki ng list	Hum an Error lead ing to cust ome r getti ng the wron g good s, Loss of cust ome rs	All orders are doubled checked via a different employee	1	1	1	
6	Upd ating Con tact Man age ment Syst em						0	

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
8	Order Acknowledgment And Status Liaison With Customers Regarding						0	
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	Incorrect name given to Invoice when saving the PDF . customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	4	1	4	Task 1W Audit 1M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7676	PDFi ng Of Invoi ces	Proc ess of PDF ing Invoi ces into the syst em for easy of use in the futur e and the Ema iling of Invoi ces to cust ome rs	Incor rect nam e give n to Invoi ce whe n savi ng the PDF . cust ome r gets incor rect invoi ce.	Invoices visually checked prior to send to customers.	5	1	5	Task 1D Audit 1W
5949	Fillin g Cred it Card Slip s						0	

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.	3	3	9	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.	3	3	9	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.	4	1	4	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	3	Task 1M Audit 6M
5937	Review The Delivered Not Invoiced Reports	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	3	Task 1M
7789	Withdraw Funds From Paypal	To remove the receipts that have come into Paypal over the month. So they can be entered in to Opera sales.	That a payment is not entered Opera, 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.	3	1	3	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.	3	3	9	Task 1M Audit 6M
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.	3	2	6	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	1	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 opera 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	3	Task 1M Audit 12M
5923	Credits Processed	A credit in Opera, 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.	4	2	8	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	3	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	1	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	1	Task 12M

ISO Auditing Bodies

Risk / Opportunity
Audits
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 risks identified	non required, Rolling Issue to log paperwork - No audit required	1	0	0	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			0	Task 12M
22	Company Polycys	Ensure the company polycys are still current and upto date	Company shoots of in directions that are not laid out in its polycys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	1	Task 12M
7713	Review Roles And Responsibility s	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.	3	2	6	Task 1M
55	Business Continuity Plan	Business Continuity Plan	to wide to list here	plan in Place	1	1	1	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	2	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	Keep enough trained staff to perform our tasks	Traning records, roles and titles	2	1	2	Task 3M Audit 6M

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.	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.	4	1	4	Task 2W
7753	Management Meeting	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.	3	1	3	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	3	Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
11	Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	5	1	5	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	4	1	4	Task 1W Audit 1M

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	1	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	4	Task 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6828	Non Conformance Issues	<p>To review any non conformances created during the previous month, and produce a non conformance report.</p> <p>Review history of non conformances and see if there has been any improvement.</p>	Na	Na	3	1	3	Task 1M Audit 12M
7743	Customer Complaints Paper File	<p>Major Customer Complaints get escalated to Paper Customer Complaints file.</p> <p>Check the File is being Maintained and any relevant documentation is in the File.</p>	na	na	2	1	2	Task 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.	3	4	12	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.	4	3	12	Task 2W Audit 12M
7672	Off Site Backup	To take a copy of the important data off-site	now as its a backup process Back is unrestorable	Development server is off site and data is restored from the backup data to keep the development server upto date so backup data is regularly tested	5	1	5	Task 3D Audit 1M

Audits Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
41	Documentation Control	Allocation of overall responsibility					0	
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	3	Task 1M Audit 6M

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	3	Task 1M Audit 6M
5852	Retention Of Records						0	

Audits Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5905	Price Checking	Check we have constant pricing across the different databases	Incorrect pricing can cause customer confusion	Rolling task and Audit to check the List	3	1	3	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	4	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	2	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	2	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	2	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	2	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	2	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	2	Audit 12M

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	2	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	2	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	2	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	2	Audit 12M
7723	Audit 10b Process Verification Viamed	To carry out Audit 10b Process Verification 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	2	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	2	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	2	Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	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	2	Audit 12M
7771	Audit 10b Process Verification VST	To carry out Audit 10b Process Verification 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	2	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	2	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	2	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	2	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	2	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	2	Audit 12M

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	2	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	2	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	2	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	2	Audit 12M
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	2	Audit 12M

Compliance Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7754	Ensure Procedure s Are Up-to-date	Ensure procedures are relevant and up to date, update as required	Computer/network breakdown	Ensure IT equipment is regularly maintained	5	1	5	

Compliance 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	1	Task 12M

Supplier

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

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	3	Audit 1M
11	Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	5	1	5	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	4	1	4	Task 1W Audit 1M

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.	4	1	4	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.	4	1	4	Task 2W
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.	4	1	4	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	3	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.	3	1	3	Task 1M

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.	3	4	12	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 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.	3	2	6	Task 1M

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	4	1	4	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	1	

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.	5	2	10	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.	5	1	5	Task 1D

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.	4	1	4	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.	4	1	4	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.	4	1	4	Task 2W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7682	Check Stock Requirements Supplier Bluepoint	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.	4	1	4	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.	4	1	4	Task 2W

Purchase Orders 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	1	Task 12M 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, risks not analysed	Automatic Issues to review	4	1	4	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	4	1	4	Task 2W Audit 1M

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.	4	1	4	Task 1W
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	4	1	4	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	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7706	Upd ate Viru s Soft ware And Sca n For Viru ses	Upd ating of anti- virus soft ware and scan ning com pute rs for virus es	Computer/network breakdown	Ensure IT equipment is regularly maintained	4	1	4	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	now as its a back up process Back is unre storable	Development server is off site and data is restored from the back up data to keep the development server upto date so back up data is regularly tested	5	1	5	Task 3D Audit 1M

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.	4	3	12	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	4	1	4	Task 2W Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7121	General Computer Maintenance						0	
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	9	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	n/a	n/a	4	0	0	Task 1W

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.	3	3	9	Task 1M
5881	Training Records Review	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	Traning records, roles and titles	2	1	2	Task 3M Audit 6M

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	3	Audit 1M
11	Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	5	1	5	Task 1D

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	4	1	4	Task 1W Audit 1M
5893	Answering Website Questions	Answering any questions that are asked via the website from within Intrastats	Computer/net work breakdown	Ensure IT equipment is maintained	5	1	5	Task 1D Audit 1M
7795	Answering UK Web Questions	Answering any questions that are asked via the website from within Intrastats	Computer/net work breakdown	Ensure IT equipment is regularly maintained	5	1	5	Task 1D
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	2	Audit 3M
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	4	1	4	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	4	1	4	Task 1W Audit 1W

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.	na	na	2	1	2	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 / vandagr aph etc..	No risks as its used for development and backups of working websites	n/a	3	1	3	Task 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
44	Secure Socket Level Certificate	Encrypt data sent back and forth to Intrastats so it can be used off site	<p>na 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>	not required	1	1	1	Task 12M
7700	Domain Name Management	Maintain Domains for websites	Loss of website presence	rolling Issue to check domains	3	1	3	Task 1M

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.	3	3	9	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.	3	2	6	Task 1M 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	4	Task 1W Audit 12M

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	1	Task 1M

Computer Maintenance Risk / Opportunity
Responsibility Managing Director

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.	3	2	6	Task 1M

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.	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.	n/a	1	1	1	Task 12M
26	Company Resources	Overview of the Company using various data Reporting Screens	non	non	3	1	3	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	4	Task 1W Audit 1M
7739	Intrastats Amendment Log	Intrastat Changes updates. Logging system to enable roll back should anything break	Non, 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	4	1	4	Task 1W
7755	Fast Hosts Invoice	To Send Invoice for online services to Helen	No risks to system. Accounting excercise	Rolling Issue no audit required as Accounts will chase up for the invoice when they find they don't have it	3	1	3	Task 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7126	Intrastats Requested Page Updates	Fix general errors in intrastats such as Spelling errors or columns not lining up	no risks, simply a mechanism to fix internal typos and spelling errors on intrastat tables	na	3	1	3	Task 1M
7129	Intrastats Cross Reference Database Tables Updates	Update the online Cross reference guides with latest intrastats data.	n/a database maintenance	n/a	3	1	3	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	3	

Computer Maintenance Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	P.A.T. Testing	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	3	Task 60M

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	incorrect staff levels	3 monthly rolling Task to review the data	3	0	0	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	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	4	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	4	Task 3M

Databases Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7124	Intrastats	No Process, Responsibility only					0	

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	non	non	1	1	1	Task 48M

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 immediately	3	1	3	Task 1M Audit 6M

Holidays Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
22	Company Polycys	Ensure the company polycys are still current and upto date	Company shoots of in directions that are not laid out in its polycys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	1	Task 12M

Holidays Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6839	Personnel Holiday s And Time Adjust ments	Book Holidays for staff	Too many staff at one time, leaving not enough to carry out the work function s	Staff holiday clash admin	1	1	1	

Holidays Risk / Opportunity
Responsibility Accounts Processes

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.	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	4	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	3	Task 12M

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	non	n/a	1	1	1	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			0	Task 12M
22	Company Polycys	Ensure the company polycys are still current and upto date	Company shoots of in directions that are not laid out in its polycys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	1	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	3	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	1	
5881	Training Records Review	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	Traning records, roles and titles	2	1	2	Task 3M Audit 6M

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.	3	3	9	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	3	Task 1M
7793	Team Review Meeting	A meeting is arranged between the office team leader and their team either as a group or individually when necessary	Computer/net work breakdown	Ensure IT equipment is regularly maintained	3	1	3	Task 1M

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.	2	4	8	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	3	Task 12M
6855	Risk Assessment HSE	Update the Site HSE file	non	n/a	1	1	1	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	1	Task 1M
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	1	Task 1M

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.	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	4	Task 1W Audit 3M

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	4	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.	4	1	4	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	1	Task 12M

Health And Safety Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	P.A.T. Testing	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	3	Task 60M

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	no risks identified	not applicable	4	1	4	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	1	Task 12M
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.	3	2	6	Task 1M

Organisation Structure Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6828	Non Conformance Issues	<p>To review any non conformances created during the previous month, and produce a non conformance report.</p> <p>Review history of non conformances and see if there has been any improvement.</p>	Na	Na	3	1	3	Task 1M Audit 12M

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	3	Audit 1M
11	Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	5	1	5	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	4	1	4	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	2	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	2	Task 12M
7820	North Yorkshire Council Waste Tranfer	The renewal of our waste transfer agreement with North Yorkshire County Cououncil	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	2	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	3	1	3	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.	4	1	4	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 Supplementar y 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.	3	2	6	Task 1M Audit 12M
5930	VAT Return	VAT return filled in on the HMRC Web site. The information for this is taken from intrastats and manual cashbooks and then filled in on the HMRC web site.	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 intrastats so as to less the risk of error. The accountants check the VAT figures and returns quarterly for us.	2	3	6	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	2	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	4	Task 6M Audit 12M
5914	End Of Year Reports For Accountants	The closing down of Opera 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	1	Task 12M

Pay Roll Risk / Opportunity
Responsibility Managing Director

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.	3	2	6	Task 1M

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 to add items in to Opera 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	2	Task 1M Audit 12M
5917	Fill In Cashbook / Bank Rec For Previous Month	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	1	Task 1M 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	1	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	no risks identified	not applicable	4	1	4	Task 1W Audit 6M
7741	Review Ethical Policy	Review the current Ethical Policy in intrastates	That something is missed that we would like to include	Complete task when issue come.	1	1	1	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.	4	1	4	Task 2W

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	3	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	3	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	4	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	2	Task 12M Audit 12M

Sales Region Reporting Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5915	Operating Sales Ledger Close	Closing down of the Month end in Operas, Or year end if applicable	Reports more difficult to perform after shutdowns, no commercial risk if not performed	Rolling Issue. Remote access available to perform shutdown remotely if away from office.	1	1	1	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 operational 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 calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	3	Task 1M Audit 12M

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.	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.	3	4	12	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.	4	1	4	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.	4	1	4	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	2	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.	4	3	12	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	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	5	1	5	Task 3D Audit 1M

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)	no risks	n/a	2	1	2	Task 3M

Equipment Safety Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	P.A.T. Testing	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	3	Task 60M

Equipment Safety Risk / Opportunity
Responsibility Repairs Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7823	Saftey 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	1	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.	4	1	4	Task 3W
54	Gents Toilets	Bleech the Gents Toilets	n/a	n/a	3	1	3	Task 1M 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.	4	1	4	Task 1W Audit 1M
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.	4	1	4	Task 1W Audit 1M

General Maintenance Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7742	Boiler Check	Get Boiler / Heating Checked / Serviced before Winter	no risks	n/a	1	1	1	Task 12M
7836	Central Heating For Winter	Reset the Heating for Winter	Building too hot / cold	rolling Issues	1	1	1	Task 12M
5919	Check Out Side Drain	Check outside drain is not BLocked	n/a	n/a	2	1	2	Task 3M
5921	Clearing Water Downstairs	Check the Archives for Signs of Water, ensure the pump is working	n/a	n/a	3	1	3	Task 1M
7835	Electrics Need Checking	To get the Electrics checked by External Electrician, so certificate can be provided for Employee Safety	non	non	1	1	1	Task 48M
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	1	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.	2	4	8	Task 6M
6855	Risk Assessment HSE	Update the Site HSE file	non	n/a	1	1	1	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	4	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	3	Task 12M

Health Safety Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	2	Audit 12M
7729	Audit 19 Health And Safety 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	2	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	2	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	2	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.	4	1	4	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	1	
48	Internet	Internet Access for building(s)	Internet Fails	Have backup BT adsl if main internet line goes down	2	1	2	

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	1	
50	Guest Access Wifi	Backup Internet Connection	Na as this is a backup to the main system	na	3	1	3	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	Stock valuations will get inaccurate if the process is not performed.	Rolling Issue and Rolling Audit	4	1	4	Task 1W Audit 1M

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/s witch breakdown Network cabling breakage License expiry	Staff trained in accuracy Orders checked for errors on processing	1	1	1	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	3	Task 1M Audit 12M
6838	Opera Negative Stock	To find and correct opera when it reads Negative stock values.	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	1	Task 12M

Finalise Accounts Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5852	Retention Of Records						0	

Finalise Accounts Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7032	Document Requirements						0	

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 Opera 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	1	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5915	Opera Sales Ledger Close	Closing down of the Month end in Operas, 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	1	Task 1M Audit 3M
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and opera 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	3	Task 1M Audit 12M
5917	Fill In Cashbook / Bank Rec For Previous Month	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	1	Task 1M Audit 12M
5918	Journals For The End Of Month Accounts	Journal to add items in to Opera 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	2	Task 1M Audit 12M
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	2	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5923	Credits Processed	<p>A credit in Opera, either a part or in full -</p> <p>When either goods have been returned, re a sales invoice from a customer.</p> <p>An internal error has taken place and a sales invoice need to be re entered.</p> <p>On the purchasing if a supplier has sent a credit for goods or an error.</p>	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.	4	2	8	Task 1W Audit 12M
5926	Petty Cash Expenses Receipts And Cash	<p>To receive the cash receipts / invoices from those staff who work away from the office.</p> <p>These are then filed in the petty cash file in the accounts office.</p>	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	1	Task 1M

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	4	Task 6M Audit 12M
5930	VAT Return	VAT return filled in on the HMRC Web site. The information for this is taken from intrastats and manual cashbooks and then filled in on the HMRC web site.	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 intrastats so as to less the risk of error. The accountants check the VAT figures and returns quarterly for us.	2	3	6	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.	4	1	4	Task 1W Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	4	1	4	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	3	Task 1M Audit 6M
5937	Review The Delivered Not Invoiced Reports	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	3	Task 1M

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.	3	3	9	Task 1M Audit 6M
6819	Supplier Payments And Invoice Processing						0	Task 1W Audit 12M
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	1	Task 12M Audit 48M
7084	Accounts Issues	this is a very wide heading and is dealt with in other tasks	N/A	N/A			0	
7195	Loans Between Companies						0	Task 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	3	2	6	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	3	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.	3	4	12	Task 1M Audit 12M
7819	Issues For Accountant - Check Contra Account 8000 And Clear It	A review of the contra nominal account in Opera, number 8000, for the previous three 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	4	Task 3M 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.	3	3	9	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.	3	3	9	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.	3	3	9	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	3	3	9	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	4	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 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	4	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	4	Task 3W

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	No risks	N/a	5	0	0	Task 2D
7685	Repairs Ready For Invoice	Process Invoice for completed repairs	non	n/a	5	0	0	Task 2D

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.	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.	4	1	4	Task 2W
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.	4	1	4	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.	4	1	4	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.	4	1	4	Task 1W Task 2D Audit 1M
7798	Orders And Items Shipped Per Month	Review the orders and items shipped per month	Problem with report	Review regularly	3	1	3	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	1	

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	1	1	1	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	3	Audit 1M
11	Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	5	1	5	Task 1D

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
36	Ema iling Of Invoi ces	Invoi ces are emai led to cust ome rs	Computer or network failure	Ens ure smo oth runni ng of IT equi pme nt. Invoi ces can be post ed if nece ssar y	4	1	4	Task 1W Audit 1W

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
37	Wes t York shire Am bula nce Stoc k	<p>Via med has a cons ignm ent stoc k with Wes t York shire Am bula nce,</p> <p>We scan stoc k to a shelf , then send the m the cons ignm ent stoc k As and whe n they use stoc k each wee k we do a ratio nal and invoi ce them for the used stoc k and reple nish the</p>	<p>Synchronisation Fails</p> <p>Stock shortage</p>	<p>Reg ular Offic e chec ks on the sync ronis ation of the cons ignm ent shelf agai nst the web site.</p> <p>Stoc k level s take n care of in the stoc k revie w.</p>	4	1	4	Task 1W Audit 1M

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
		cons ignm ent stoc k. WY A Stoc k chec k via the web site. We can now chec k their stoc k agre es with ours.						
5899	Prof orm a And Quot e Cha sing	Cha se outst andi ng Quot es and Prof orm as	Computer/network breakdown	Ens ure IT equi pme nt is regul arly main taine d. Cust ome rs can be calle d if nece ssar y	5	1	5	Task 1D Audit 1M

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
5943	Che ck Card ea And Multi quot e	Che ckin g the Card ea and Multi quot e web sites for outst andi ng orde rs or requ ests	Computer/network breakdown	Ens ure IT equi pme nt is regul arly main taine d	4	1	4	Task 1W Audit 1M
5913	Che ck For Hum anm ed Orde rs In Logi stics Mail box	Che ckin g the mail box from with in the main inbo x for outst andi ng Hum anm ed orde rs.	Computer/network breakdown	Rolli ng issu e and Audi t Ens ure IT equi pme nt is regul arly main taine d	4	1	4	Task 1W Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7676	PDFing Of Invoices	Process of PDFing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	5	1	5	Task 1D Audit 1W
7686	Thorough Checking Of Awaiting Action Tray	Check that outstanding orders with unresolved issues are being followed up and addressed	Computer/network breakdown	Ensure IT equipment is regularly maintained	5	1	5	Task 1D Audit 1M

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
7678	Che ck Cata log 360 Circl e For Quot es And Orde rs	Che ckin g the Cata log 360 Circl e web site for outst andi ng orde rs or requ ests	Computer/network breakdown	Ens ure IT equi pme nt is regul arly main taine d	4	1	4	Task 1W Audit 1M
7709	Hum anm ed Invoi cing	Ens ure invoi ces are gene rate d for ship ped orde rs	Computer/network breakdown	Ens ure IT equi pme nt is regul arly main taine d	5	1	5	Task 1D Audit 1M
7712	Revi ew Inwa rd Pay ment s	Revi ew the pay ment s recei ved to ensu re prof orm as can be ship ped	Computer network breakdown	Ens ure IT equi pme nt is regul arly main taine d	5	1	5	Task 1D Audit 1W

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
7735	Ens ure SOR 's Are Follo wed Up	Ens ure sam ples and Sale or Retu rn item s are follo wed up after 4 wee ks for feed back and the item(s) is retur ned as appr opria te	Computer/network breakdown	Ens ure IT equi pme nt is regul arly main taine d	4	1	4	Task 1W Audit 1M
5896	Ens uring OR D's Are Take n To Goo ds Out And Invoi ces Are Retri eved						0	

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	3	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.	5	2	10	Task 1D
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.	5	2	10	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.	5	1	5	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.	5	1	5	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	4	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.	4	1	4	Task 2W 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	4	Task 1W Audit 12M
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and opera 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	3	Task 1M Audit 12M
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.	3	3	9	Task 1M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5923	Credits Processed	A credit in Opera, 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.	4	2	8	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.	4	1	4	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	2	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.	4	1	4	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	3	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 Opera sales.	That a payment is not entered Opera, 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.	3	1	3	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.	3	2	6	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.	3	3	9	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.	3	3	9	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 without informing the sales team. 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.	3	2	6	Task 1M

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	3	Task 1M Audit 3M

Agreements Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5905	Price Checking	Check we have constant pricing across the different databases	Incorrect pricing can cause customer confusion	Rolling task and Audit to check the List	3	1	3	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	2	Audit 3M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
14	Fax Pap er	Ens uring that fax repo rts have bee n gene rate d for both sent and recei ved faxe s and ensu ring ther e is pape r in the fax mac hine	Pho ne lines go dow n The pape r tray is empt y	Set task and audit to ensure there is always paper in the fax machine	4	1	4	Task 1W Audit 1M
15	Filin g And Arch iving	Pap erwo rk to be filed in the corr ect orde r	Pap erwo rk is filed incor rectl y	Train staff to take time and ensure it is filed in order	4	1	4	Task 1W Audit 2W

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7761	Sen d VST Deliv ery Notif icati ons	Ema iling Notif icati ons of ship ment s	Limit ed risks , and if the emai l fails to get deliv ered the cust ome r will still recei ve their ship ment .	n/a	5	1	5	Task 1D Audit 1W
9	Distr ibuti on Of Fax es	Distr ibute reci eved faxes	lost faxes	minimal risk			0	
17	Prep arati on Of Cata logu es	Offic e no long er prep are catal ogue s					0	
8	Orde r Ackn owle dgm ent And Stat us Liais on With Cus tome rs Reg ardin g						0	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6958	Shipped Order Queries						0	

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	3	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.	na	na	2	1	2	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.	n/a database maintenance	n/a	3	1	3	Task 1M Audit 3M
7832	Cleardown Emailed Invoices	Backup of all Sent Emails sent to External Address for Verification	Non	Non	4	1	4	Task 2W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
53	Emails	Maintain the Online EMail boxs currently hotchilli 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.			0	

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	2	Task 12M Audit 12M

ISO Standards Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
22	Company Polycys	Ensure the company polycys are still current and upto date	Company shoots of in directions that are not laid out in its polycys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	1	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			0	Task 12M
7713	Review Roles And Responsibility s	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.	3	2	6	Task 1M
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	2	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	Keep enough trained staff to perform our tasks	Traning records, roles and titles	2	1	2	Task 3M Audit 6M

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	3	Task 1M Audit 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.	3	4	12	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	3	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						0	

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.	4	1	4	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.	3	1	3	Task 1M
6952	Lost In Shipping Claims						0	
6955	Production Requirements						0	
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 communicatio ns between Viamed and the supplier.	4	1	4	Task 2W
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 communicatio ns between Viamed and the supplier.	4	1	4	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	na	na	3	1	3	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/net work breakdown	Ensure adequate IT equipment maintenance	4	1	4	Task 1W Audit 1M
7707	Send Purchase Orders To Suppliers	Emailing purchase orders to suppliers	Computer/net work breakdown	Ensure IT equipment is regularly maintained	5	1	5	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	4	1	4	Task 1W Audit 1W
7822	Review Oxylink Stock	To check we have the stock available to supply our customer Oxylink.	The we do not have the stock needed to satisfy the orders for this customer.	Issues and regular review to check.	3	1	3	Task 1M Audit 1M

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	1	
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/sw itch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.			0	
5894	Checking Of Active List						0	
7734	Humanmed Order Processing						0	

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility UK Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5876	E.Com merce Carde a And Multiq uote	To Collect E.Co mmerc e Carde a And Multiq uote Orders	Orders go unnoticed	rolling Issue to check website	5	1	5	

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	4	1	4	Task 1W Audit 1M
6954	Back Orders Review - By Customer						0	
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	2	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.	3	4	12	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	3	2	6	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	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	4	1	4	Task 1W Audit 1M

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	2	Task 12M Audit 12M
6921	Customer Pricing Agreements						0	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6922	Special Price Quotes To Customers						0	

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.	3	2	6	Task 1M

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	1	

Pricing Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6950	Opera Partnumber Prices Updates						0	

Product Compliance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6931	Customer Complaints	Review the Customer Complaints Heading	non	non	4	1	4	Task 1W Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7838	Review VIAMED Feedback - Customer Feedback Negative	Review Customer Feedback Negative	Rolling Issues No risk to process	non	3	1	3	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	Rolling Issue, No Risk	n/a	3	1	3	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	Rolling Issue, No Risk	n/a	3	1	3	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	Rolling Issue, No Risk	n/a	3	1	3	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	Rolling Issue, No Risk	n/a	3	1	3	Task 1M
27	Management Reviews And Quality Audits	To review and Close all automatic rolling Issues. Including all rolling tasks and audits	no risks identified	not applicable	4	1	4	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	4	3	12	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	3	Task 1M Audit 1M
7091	Calibration Index	To ensure that all equipment that requires calibration is done. In the correct timescale and manor.	That equipment we use to may not be calibrated when we need it.	Follow the calibration index in intrastats.	3	2	6	Task 1M Audit 3M
6845	Quarantine Production						0	
7051	Control Of Nonconforming Product						0	

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	3	Task 1M Audit 3M
6827	Customer Or Product Feedback						0	

Product Compliance Risk / Opportunity
Responsibility Design Products

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
43	Product Post Market Survelance						0	

Product Compliance Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	P.A.T. Testing	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	3	Task 60M

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.	4	1	4	Task 1W
6847	Quarantine Repairs						0	

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	Computer/network breakdown	Ensure IT equipment is regularly maintained	3	1	3	Task 1M Audit 3M
5879	Customer Returning Goods On Our UPS Account						0	

Returns Risk / Opportunity
Responsibility Goods In

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5938	Receive Goods						0	

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	1	Task 12M Audit 24M

Returns Risk / Opportunity
Responsibility Repairs Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7816	Repairs In Process Review						0	

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	4	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	3	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	3	Audit 1M
11	Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	5	1	5	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	4	1	4	Task 1W Audit 1M

OEM Specifications Risk / Opportunity Responsibility Managing Director

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.	3	2	6	Task 1M

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, risks not analysed	Automatic Issues to review	4	1	4	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	4	1	4	Task 2W 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	4	1	4	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.	4	1	4	Task 1W
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	4	1	4	Task 2W Audit 1M

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.	4	1	4	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	3	Task 1M Audit 1M

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	1	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.	4	1	4	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 goods will be delayed and therefore not available to customers.	Regular contact with the suppliers.	4	1	4	Task 2W
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.	3	1	3	Task 1M

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.	3	4	12	Task 2M 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	1	

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.	5	2	10	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.	5	1	5	Task 1D

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.	4	1	4	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.	4	1	4	Task 2W

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.	4	1	4	Task 2W
7682	Check Stock Requirements Supplier Bluepoint	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.	4	1	4	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.	4	1	4	Task 2W