

| Internal Audit Check list | | | |
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| Contract Review and Sales Order Processing | | | |
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SCOPE

| Company / ISO Section | Criteria of ISO Section | Auditor Comments / Issues |
|---------------------------------|--|---------------------------|
| VST Ltd ISO9001:2015 5.1.2 | Customer focus 5.1.2 Customer focus Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that: a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met; b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; c) the focus on enhancing customer satisfaction is maintained. | |
| VST Ltd ISO9001:2015 8.2.1 | Customer communication Communication with customers shall include: a) providing information relating to products and services; b) handling enquiries, contracts or orders, including changes; c) obtaining customer feedback relating to products and services, including customer complaints; d) handling or controlling customer property; e) establishing specific requirements for contingency actions, when relevant. | |
| VST Ltd ISO9001:2015 8.2.2 | Determining the requirements for products and services When determining the requirements for the products and services to be offered to customers, the organization shall ensure that: a) the requirements for the products and services are defined, including: 1) any applicable statutory and regulatory requirements; 2) those considered necessary by the organization; b) the organization can meet the claims for the products and services it offers. | |
| VST Ltd ISO9001:2015 8.2.3.1 | The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The organization shall conduct a review before committing to supply products and services to a customer, to include: a) requirements specified by the customer, including the requirements for delivery and postdelivery activities; b) requirements not stated by the customer, but necessary for the specified or intended use, when known; c) requirements specified by the organization; d) statutory and regulatory requirements applicable to the products and services; e) contract or order requirements differing from those previously expressed. The organization shall ensure that contract or order requirements differing from those previously | |

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| | <p>defined are resolved.</p> <p>The customers requirements shall be confirmed by the organization before acceptance, when the customer does not provide a documented statement of their requirements.</p> <p>NOTE In some situations, such as internet sales, a formal review is impractical for each order. Instead, the review can cover relevant product information, such as catalogues.</p> | |
| VST Ltd ISO9001:2015 8.2.3.2 | <p>The organization shall retain documented information, as applicable:</p> <p>a) on the results of the review;</p> <p>b) on any new requirements for the products and services.</p> | |
| VST Ltd ISO9001:2015 8.2.4 | <p>Changes to requirements for products and services</p> <p>The organization shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.</p> | |
| Viamed Ltd ISO13485:2016 5.2 | <p>Customer focus</p> <p>Top management shall ensure that customer requirements and applicable regulatory requirements are determined and met.</p> | |
| Viamed Ltd ISO13485:2016 7.2.1 | <p>Determination of requirements related to product</p> <p>The organization shall determine:</p> <p>a) requirements specified by the customer, including the requirements for delivery and postdelivery activities;</p> <p>b) requirements not stated by the customer but necessary for specified or intended use, as known;</p> <p>c) applicable regulatory requirements related to the product;</p> <p>d) any user training needed to ensure specified performance and safe use of the medical device;</p> <p>e) any additional requirements determined by the organization</p> | |
| Viamed Ltd ISO13485:2016 7.2.2 | <p>Review of requirements related to product</p> <p>The organization shall review the requirements related to product. This review shall be conducted prior to the organization's commitment to supply product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that:</p> <p>a) product requirements are defined and documented;</p> <p>b) contract or order requirements differing from those previously expressed are resolved;</p> <p>c) applicable regulatory requirements are met;</p> <p>d) any user training identified in accordance with 7.2.1 is available or planned to be available;</p> <p>e) the organization has the ability to meet the defined requirements.</p> <p>Records of the results of the review and actions arising from the review shall be maintained (see 4.2.5).</p> | |

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| | When the customer provides no documented statement of requirement, the customer requirements shall be confirmed by the organization before acceptance. When product requirements are changed, the organization shall ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements. | |
| Viamed Ltd ISO13485:2016 7.2.3 | Communication The organization shall plan and document arrangements for communicating with customers in relation to: a) product information; b) enquiries, contracts or order handling, including amendments; c) customer feedback, including complaints; d) advisory notices. The organization shall communicate with regulatory authorities in accordance with applicable regulatory requirements. | |
| Viamed Ltd ISO13485:2016 8.2.4 | Internal audit The organization shall conduct internal audits at planned intervals to determine whether the quality management system: a) conforms to planned and documented arrangements, requirements of this International Standard, quality management system requirements established by the organization, and applicable regulatory requirements; b) is effectively implemented and maintained. The organization shall document a procedure to describe the responsibilities and requirements for planning and conducting audits and recording and reporting audit results. An audit program shall be planned, taking into consideration the status and importance of the processes and area to be audited, as well as the results of previous audits. The audit criteria, scope, interval and methods shall be defined and recorded (see 4.2.5). The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work. Records of the audits and their results, including identification of the processes and areas audited and the conclusions, shall be maintained (see 4.2.5). The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities shall include the verification of the actions taken and the reporting of verification results. NOTE Further information can be found in ISO 19011. | |

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| | <u>QUESTION:</u> | | Y/N |
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| | Review Last years Audit Are all follow on Issue resolved satisfactory? | | |
| | Are Telephone orders being logged in the call log correctly. | | |
| | Are Contact Details being updated in the system correctly and fully. Check 5 of this weeks Invoices: Check the Invoice, ORD customer paperwork and CRM are correct. Stamped, initialled and dated correctly 1. 2. 3. 4. 5. | | |
| | Check contacts match to Accounts package. Review 5 contacts. | | |
| | Check 6 invoices match between Intrastats and Accounts package. Address, stock, totals, VAT. 1. 2. 3. 4. 5. 6. | | |
| | Check sales office filing is done correctly and as per GDPR. Archiving processed correctly. | | |
| | Quotes and proformas file used correctly check 4 of each, Box size where relevant, checked as per order, stamped emailed and dated. - check any over the limit set in VM3COP03 have been signed by a director. Quotes 1. 2. 3. 4. Proformas 1. 2. 3. 4. | | |

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Sub Processes Linked to Audit 02

Review the below processes tasks and audits and ensure they are completed in a timely manner.

List Processes Per Title

| | | | | | |
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| Product Controller | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 5905 Check we have consistent pricing across the different databases. | 418 Director 3 (Steve) | 71 Managing Director | Freq 3 Risk 1 Overall 3 | Task 1M Audit 3M | |
| PROCESSID 7697 To review the current pricing and impact of increases | 501 Director 3 (Steve) | 502 Managing Director | Freq 1 Risk 2 Overall 2 | Task 12M Audit 12M | |
| PROCESSID 7893 To confirm the Document index Price Lists | 822 Director 3 (Steve) | | Freq 1 Risk 1 Overall 1 | Task 3M | |
| ISO Controller | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7941 Check Leaflets, Letterhead and other paperwork to see if the correct BSI logo is in use. Remove and dispose of all old items if found. Ask Catrin to review the website for old leaflets. | 1005 Managing Director | | Freq 2 Risk 3 Overall 6 | Task 12M | |
| Humanmed Controller | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7670 Review of Humanmed sales and orders and clear any duplicates or problems. | 611 Office Processes | | Freq 3 Risk 1 Overall 3 | Task 1M | |
| PROCESSID 7782 Remove Started But Not Used Order Numbers from intrastats. | 770 Managing Director | | Freq 2 Risk 1 Overall 2 | Task 3M | |
| Office Team Leader | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 6956 | | | Freq Risk Overall | | |

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| Sales Controller | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 6921 Usual standard price from price list - but may offer quantity discount for less ordered. This is logged in a memo on opera, dated and initial and review date added where needed. | | | Freq 1 Risk 1 Overall 1 | | |
| PROCESSID 6959 All orders appear on the active list and reviewed daily. Forward orders are those the customer has asked a forward date be put on. Those that become due change from gray to yellow and can be picked. | | | Freq 1 Risk 1 Overall 1 | | |
| PROCESSID 7801 To review the current pricing and impact of increases | 653 Office Processes | 654 Director 3 (Steve) | Freq 1 Risk 2 Overall 2 | Task 12M Audit 12M | |
| EX Sales Force | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 5872 Review the Sale or Return list in intrastats. Ensure it is up to date. | 291 EX Sales Controller | 293 Managing Director | Freq 3 Risk 2 Overall 6 | Task 1M Audit 3M | |
| OEM Sales Controller | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7808 To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes | 670 Managing Director | 704 Director 3 (Steve) | Freq 3 Risk 1 Overall 3 | Task 1M Audit 3M | |
| PROCESSID 7894 To check the Current Customer Agreements are still Valid | 823 Managing Director | | Freq 1 Risk 1 Overall 1 | Task 12M | |
| UK Sales Force | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 5871 Review the Sale or Return list in intrastats. Ensure it is up to date. | 292 UK Sales Controller | 293 Managing Director | Freq 3 Risk 2 Overall 6 | Task 1M Audit 3M | |
| PROCESSID 5876 To Collect E.Commerce Cardea And Multiquote Orders | 361 | | Freq 5 Risk 1 Overall 5 | | |

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| Accounts Processes | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7872 To review with the banks any embargo countries | 794 Company Secretary | | Freq 2 Risk 3 Overall 6 | Task 6M | |
| Audits | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7715 To carry out Audit 02 Contract Review Viamed | | 36 Company Secretary | Freq 1 Risk 2 Overall 2 | Audit 12M | |
| PROCESSID 7763 To carry out Audit 02 Contract Review VST | | 187 Company Secretary | Freq 1 Risk 2 Overall 2 | Audit 12M | |
| Vandagraph | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7791 Changing of the prices lists without informing the sales team. Issue to check these are current *Vandagraph is not an ISO company | 636 EX Sales Controller | | Freq 3 Risk 2 Overall 6 | Task 1M | |
| Goods Out | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 6954 To check the back orders in the tray in goods out and check the active list back orders has been reviewed | 905 Goods Out | 906 Company Secretary | Freq 1 Risk 1 Overall 1 | Task 1W Audit 1M | |
| Office Processes | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 2 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 | | 668 | Freq 2 Risk 1 Overall 2 | Audit 3M | |
| PROCESSID 3 What to do when we have guests | | | Freq Risk Overall | | |
| PROCESSID 4 | | | Freq | | |

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| Offering guests a drink and/or snacks/lunch if appropriate. | | | Risk Overall | | |
| PROCESSID 5 Enter Customer orders into the system, Checking Orders entered into the system so the order drops into the Active / Order picking list | | | Freq 1 Risk 1 Overall 1 | | |
| PROCESSID 7 Process to check customer orders and enable picking | | 901 Office Processes | Freq 1 Risk 1 Overall 1 | Audit 1W | |
| PROCESSID 8 To contact customers who require order confirmations and let them know their orders have been received. | | | Freq 1 Risk 1 Overall 1 | | |
| PROCESSID 14 Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine | 367 | 411 | Freq 4 Risk 1 Overall 4 | | |
| PROCESSID 36 Invoices are emailed to customers | 430 Office Processes | 362 Company Secretary | Freq 4 Risk 1 Overall 4 | Task 1D Audit 1W | |
| PROCESSID 37 Viamed has a consignment stock with West Yorkshire Ambulance, We scan stock to a shelf, then send them the consignment stock As and when they use stock each week we do a rational and invoice them for the used stock and replenish the consignment stock. WYA Stock check via the website. We can now check their stock agrees with ours. | 348 | 349 | Freq 4 Risk 1 Overall 4 | | |
| PROCESSID 5875 Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox | 239 Office Processes | 401 | Freq 4 Risk 1 Overall 4 | Task 1W Audit 1M | |
| PROCESSID 5882 Humanedmed post is received, it needs to be forwarded to Humanmed UK Sales Manager | 382 Office Processes | 383 Office Processes | Freq 4 Risk 1 Overall 4 | Task 1W Audit 4W | |
| PROCESSID 5891 To process the Repair Quotes And Orders as they come in. | | 536 | Freq 3 Risk 1 Overall 3 | | |
| PROCESSID 5892 Checking the eBay and Amazon accounts | 397 Office Processes | 398 Office Processes | Freq 5 Risk 1 | Task 1D Audit 1W | |

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| for orders that have not been emailed to the main inbox and checking to see if there are messages or questions. | | | Overall 5 | | |
| PROCESSID 5893 Answering any questions that are asked via the website from within Intrastats | 643 Office Processes | 396 Company Secretary | Freq 5 Risk 1 Overall 5 | Task 1D Audit 1M | |
| PROCESSID 5894 Check the Active Back orders ensure no orders get missed | 896 Office Processes | 897 Managing Director | Freq 1 Risk 1 Overall 1 | Task 1D Audit 6M | |
| PROCESSID 5895 Ensuring that the allocated tasks are being completed | 776 Office Processes | 777 | Freq 3 Risk 1 Overall 3 | Task 1W Audit 1M | |
| PROCESSID 5896 | | | Freq Risk Overall | | |
| PROCESSID 5897 Task to Frank outgoing Mail | 564 Goods Out | 568 | Freq 5 Risk 1 Overall 5 | Task 1D Audit 6M | |
| PROCESSID 5899 Chase outstanding Quotes and Proformas | 409 Office Processes | 410 | Freq 5 Risk 1 Overall 5 | Task 1W Audit 1M | |
| PROCESSID 5913 Checking the logistics mailbox from within and the main inbox for outstanding Humanmed orders. | 465 Office Processes | 466 Office Processes | Freq 4 Risk 1 Overall 4 | Task 1D Audit 1M | |
| PROCESSID 5943 Checking the Cardea and Multiquote websites for outstanding orders or requests | 530 Office Processes | 279 Office Processes | Freq 4 Risk 1 Overall 4 | Task 1W Audit 1M | |
| PROCESSID 5944 As part of the office jobs list - chase customers that have not ordered from us in a set timescale Specific lost customer are added to the list to be chase when the office have time | | | Freq 1 Risk 1 Overall 1 | | |
| PROCESSID 5945 | | | Freq Risk Overall | | |
| PROCESSID 5946 | | | Freq Risk Overall | | |
| PROCESSID 5947 | | | Freq Risk Overall | | |
| PROCESSID 5948 Adding customer accounts to account management software | | 669 Company Secretary | Freq 3 Risk 1 Overall 3 | Audit 12M | |
| PROCESSID 5949 Inputting the accurate data on to our pre- | 903 Goods Out | 904 Company Secretary | Freq 1 Risk 3 | Task 1W Audit 1M | |

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| printed credit card slips for processing on dispatch of good. Secure storing and processing | | | Overall 3 | | |
| PROCESSID 6958 | | | Freq Risk Overall | | |
| PROCESSID 7675 | | | Freq Risk Overall | | |
| PROCESSID 7676 Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers | 504 Office Processes | 505 Office Processes | Freq 2 Risk 1 Overall 2 | Task 1D Audit 1W | |
| PROCESSID 7678 Checking the Catalog 360 Circle website for outstanding orders or requests | 478 Office Processes | 531 Office Processes | Freq 4 Risk 1 Overall 4 | Task 1W Audit 1M | |
| PROCESSID 7686 Check that outstanding orders with unresolved issues are being followed up and addressed | 487 Office Processes | 569 Company Secretary | Freq 5 Risk 1 Overall 5 | Task 1D Audit 1M | |
| PROCESSID 7696 Emailing Notifications of shipments | 496 Office Processes | 537 Office Processes | Freq 5 Risk 1 Overall 5 | Task 1D Audit 1W | |
| PROCESSID 7709 Ensure invoices are generated for shipped orders | 523 Office Processes | 524 | Freq 5 Risk 1 Overall 5 | Task 1D Audit 1M | |
| PROCESSID 7710 | | | Freq Risk Overall | | |
| PROCESSID 7712 Review the payments received to ensure proformas can be shipped | 528 Office Processes | 529 Office Processes | Freq 3 Risk 1 Overall 3 | Task 1D Audit 1W | |
| PROCESSID 7734 To make sure Humanmed orders are processed in a timely manner | | | Freq 1 Risk 1 Overall 1 | | |
| PROCESSID 7735 Ensure samples and Sale or Return items are followed up after 4 weeks for feedback and the item(s) is returned as appropriate | 549 Office Processes | 550 Office Processes | Freq 4 Risk 1 Overall 4 | Task 1W Audit 1M | |
| PROCESSID 7758 Check the emails for orders from GHX | 603 Office Processes | 604 Office Processes | Freq 4 Risk 1 Overall 4 | Task 1W Audit 1M | |
| PROCESSID 7761 Emailing Notifications of shipments | 620 Office Processes | 621 Office Processes | Freq 5 Risk 1 Overall 5 | Task 1D Audit 1W | |
| PROCESSID 7783 Process of PDF ing Invoices into the system for easy of use in the future and the | 612 Office Processes | 613 Office Processes | Freq 4 Risk 1 Overall 4 | Task 1W Audit 1M | |

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| Emailing of Invoices to customers | | | | | |
| PROCESSID 7795 Answering any questions that are asked via the website from within Intrastats | 643 Office Processes | | Freq 5 Risk 1 Overall 5 | Task 1D | |
| PROCESSID 7822 To check we have the stock available to supply our customer Oxylink. NOTE THIS PROCESS HAS BEEN STOPPED. Part number has been superseded | 708 | 709 | Freq 3 Risk 1 Overall 3 | | |
| PROCESSID 7936 Checking external system for orders | 990 Office Processes | 991 Marketing Processes | Freq 2 Risk 2 Overall 4 | Task 1W Audit 1M | |