

Needs/Expectations/Risks/Opportunities of Interested Parties
Opera Replaced with Xero, Goldmine Replaced with Intrastats / CRM
Vandagraph Sensor Technologies 01 Oct 2021
Identified External Parties

Interested Parties Vandagraph Sensor Technologies 01 Oct 2021

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

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

External Party	Scope	Risks/Opportunities
VST Supplier	<p>VST Oxygen Sensor Manufacturer does not want to directly associate itself with supplying to the Diving Industry.</p> <p>Due to past complications and the actions of Teledyne and withdrawal from the diving market.</p>	<p>Communications</p> <p>Payments</p> <p>Product Feedback</p> <p>Product Trace Ability</p> <p>Purchase Orders</p> <p>Returns</p> <p>OEM Specifications</p>
Weee Care Reporting	Requirements to report Electrical sales	Requirement To Report

Finance Banks

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

Finance Banks

Accounts In Order Risk / Opportunity
Responsibility Accounts Processes

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

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7819	Issues For Accountant - Check Contra Account 8000 And Clear It	A review of the contra nominal account in 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 1M Audit 24M

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 documentatio n	1	1	1	Task 12M
55	Business Continuity Plan	Business Continuity Plan	If the list is not comprehensiv e enough and the plan not good enough or reviewed enough then the company will not be able to be back up and running if a problem occurs.	plan in Place reviewed regularly	1	1	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
11	Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	3	1	3	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	
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 31D Audit 12M
36	Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	4	1	4	Task 1D Audit 1W
5875	Check Paypal For Orders	Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox	Computer/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 6M
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

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
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk	1	1	1	
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	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
49	Wifi	Ensure Viamed Wifi is operational	Loss of 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	Task 1M Audit 3M
6813	Management Meeting Turnover Report	Ensure the turnover report is accurate	Incorrect figures could be financially catastrophic	rolling issues	3	1	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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 the accounts package at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	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

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

Finance Agreements Risk / Opportunity
Responsibility Share Holder

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7834	Financial Review	The review the Financial requirements	Non	Non	1	1	1	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

Finance Agreements Risk / Opportunity Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5874	Childcare Vouchers Edenred	Edenred childcare voucher. these are purchased from Edenred and then the staff that are signed up for the service, salary sacrifice from their pay. Done by the Payroll people, Then childcare vouchers are sent directly to the nursery designate. It is a government scheme to help working families with childcare there are tax benefits for using the service.	The wrong amount being invoiced or a change in staff requiring them. That the law will change and the amounts or process will alter over time.	Double check with the staff who wants what and how much. Also adhering to the laws relating to this benefit. Schedule ID165	1	1	1	Task 1M

Forbidden Countries Risk / Opportunity Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7	Checking Of Sales Orders	Process to check customer orders and enable picking	Human error in checking the order Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.	1	1	1	Audit 1W

Forbidden Countries Risk / Opportunity Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7872	Embargo Countries NOT Allowed To Sell To	To review with the banks any embargo countries	Selling to an Embargo countries can get bank account frozen and loss of facilities	Communications with banks	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 1M

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	Keep up to date with issues.	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 Viamed	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	Inputting the invoices from suppliers for the correct month. Ensuring they are all entered in to the correct period.	invoices missed and therefore absent from accounts and Vat return	Regular checks	2	2	4	Task 1W Audit 12M

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
7882	Purchase Payments	Pay suppliers within terms	pay the wrong amount or to the wrong company. Not pay in terms	Double checking and balancing of the bank to the accounts package	2	2	4	Task 1W Audit 3M

Receipts From Customers Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5855	Purchase Order Requirements Teledyne	To contact Teledyne and confirm the purchase orders we have outstanding for them	That good that are required will not be available.	Regular contact with Teledyne and regular review.	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 proformas can be shipped	Computer network breakdown	Ensure IT equipment is regularly maintained. Regular review of the folder and the bank.	3	1	3	Task 1D Audit 1W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5	Processing Of Sales Orders	Enter Customer orders into the system, Checking Orders entered into the system so the order drops into the Active / Order picking list	Human Error leading to customer getting the wrong goods, Loss of customers	All orders are doubled checked via a different employee	1	1	1	
6	Updating Contact Management System	Updating Contact Management System	no ISO risk to system	none required	1	1	1	
8	Order And Status Liaison With Customers	To contact customers who require order confirmations and let them know their orders have been received.	that orders requiring conformation are missed or the wrong information is given	the person putting on the order confirms it to the customer to minimize the risk of missing the request.	1	1	1	
7783	PDF VST Invoices And Purchase Orders	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATIC ALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	4	1	4	
7676	PDFing Of Invoices Viamed	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NO LONGER REQUIRED AS DONE BY THE SYSTEM AUTOMATIC ALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	2	1	2	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5949	Filling Credit Card Slips	Inputting the accurate data on to our pre-printed credit card slips for processing on dispatch of good. Secure storing and processing	incorrect information slips left unsecured	ORD checking to verify the information Security measure / procedures in place to keep the information secure	1	3	3	Task 1W Audit 1M
5899	Proforma And Quote Chasing	Chase outstanding Quotes and Proformas	Computer/net work breakdown Not chased up.	Ensure IT equipment is regularly maintained. Customers can be called if necessary Audit issues to check being carried out.	3	1	3	Task 1W Audit 1M

Receipts From Customers Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7703	Vandagraph Pay Pal Retrieve Funds	To remove money from the Pay Pal system into Vandagraph Bank account	No risk to the process as such as its pay pal driven, Can only withdraw funds to allocated bank account	n/a	3	1	3	Task 1M Audit 6M

Receipts From Customers Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5942	Chase The Debtors Viamed	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	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.	3	1	3	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	NO LONGER REQUIRED WITH XERO This report allows us to add a figure to the end of month accounts. It is a report of suppliers delivered items that have not been invoiced and therefore do not show on the accounts but do show as in stock.	It is an internal adjustment that is reversed out at the end of the next month. The only real risk is the figure from the previous month is not adjusted out correctly.	This is check by the accountants.	3	1	3	
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 minimis 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 the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	3	Task 1M Audit 12M
5923	Credits Note Processing	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
Audits And Monitoring
Cerificates
Communications
Compliance
Notifications

ISO Auditing Bodies

Audits Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
32	MDALL Listings	Complete the CMDCAS Paperwork once per year to Keep the Licence to sell in canada NO LONGER KEEP THIS CERTIFICATE	no risks identified	non required, Rolling Issue to log paperwork - No audit required	1	0	0	Task 12M
23	Company Objectives	Ensure the company Objects are still current and upto date	Company shoots of in directions that are not laid out in its objectives	Document reviewed once a year	1	1	1	Task 12M
22	Company Policys	Ensure the company policys are still current and upto date	Company shoots of in directions that are not laid out in its policys or does not meet its objectives	Out of date documents will force a review each year since 2015 rolling task to review	1	1	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
55	Business Continuity Plan	Business Continuity Plan	If the list is not comprehensive enough and the plan not good enough or reviewed enough then the company will not be able to be back up and running if a problem occurs.	plan in Place reviewed regularly	1	1	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7753	Management Meeting Warehouse	To discuss any problems, to assess work load and staffing. To review issues with regard the Warehouse.	Meetings not carried out regularly.	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
11	Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	3	1	3	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	

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

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
7743	Customer Complaints Paper File	Major Customer Complaints get escalated to Paper Customer Complaints file. Check the File is being Maintained and any relevant documentatio n is in the File.	na	na	2	1	2	Task 6M
7071	Post Market Surveillance	The process by which re view and risk assess all product files, check that no Products / Designs have changed significantly to warrant informing any notified bodies eg. MDD / BSI / CMDCAS or any other related Body.	Loss of certifications Unforeseen product risks.	Rolling tasks and Issue. This process is audited.	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 thats not being automatically backup by the system, Currently T Drive being the primary files to be backed up	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 7D Audit 1M
7881	Software Validation - Live Orders	To compare Opera Live Orders to Intrastats Back order Active List NO LONGER REQUIRED Opera is now out of the system	no risks, confirmation back orders is working as inteneded	not applicable	1	3	3	

Audits Risk / Opportunity Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
41	Documentatio n Control	Allocation of overall responsibility					0	

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
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 consistent 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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
7719	Audit 07 Handling And Storage Viamed	To carry out 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 Documentatio n Control Viamed	To carry out Audit 10 Documentatio n 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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7723	Audit 10b Process Verification Viamed	To carry out Audit 10b Process Verification Viamed Now Defunct - See Audit 20	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	
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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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 Now Defunct - See Audit 20	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7781	Audit 23 Analysis Of Data VST	To carry out Audit 23 Analysis Of Data VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7889	Audit 24 Servicing Viamed	To carry out Audit 24 Servicing Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7887	Audit 18 Management Review VST	To carry out Audit 18 Management Review VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7886	Audit 18 Management Review Viamed	To carry out Audit 18 Management Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7732	Audit 22 Post Market Surveillance Viamed	To carry out Audit 22 Post Market Surveillance Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7885	Audit 04 Accounts And Finance	Carry out Audit 04 Accounts for Both VST and 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	Task 12M Audit 12M

Audits And Monitoring Risk / Opportunity
Responsibility Share Holder

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7862	Review The Audit Calender Screen	Review The Audit Calendar Screen	Requirement of ISO	review of calander	1	1	1	Audit 12M

Audits And Monitoring Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
39	Environmental Policy Document Review	Ensure our Viamed Environment and WEEE Policys are upto date and suitable for current legislation	Potential to break the Law of the land with unsuitable policys	Rolling task and audits	1	0	0	Task 12M
7741	Review Ethical Policy	Review the current Ethical Policy in intrastats	That something is missed that we would like to include	Complete task when issue come.	1	1	1	Task 12M
7830	Review Q.A. Failures Report	To review the Quantities of Failed product per Stock reference Passing through the Q.A. system	No risk	n/a	3	1	3	Task 1M Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7839	Review VIAMED Feedback - Customer Complaints	To Review Viamed Customer Complaints	Rolling Issue No Risk	Keep detailed records and review	3	1	3	Task 1M
7871	Review Exclusion From Viamed 13485:2016 And VST 9001:2015	To review the Exclusions / boundaries to ISO 13485:2016 for Viamed	Something is missed.	Keep up to date with issues.	1	1	1	Task 12M
7874	Review For Latest Version Med Dev 2.12.	To Ensure we have the latest version of Med Dev 2.12. and update management if its been updated	Using out of date Med Dev	Rolling Issue	1	1	1	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7876	Maintain Update Of ISO Route Maps	To review Route map VIAME D 13485:2016 and VST 9001:2015 See if a new Summary sheet needs producing, print new PDF, and upload on top of the old summary	Summary sheet gets out of date.	Rolling Issue	2	1	2	Task 1W Audit 1M
7878	Review Possible Upcoming Regulation Changes	Review possible legal / regulator changes that might affect Viamed / VST	Legal / Regulatory changes stop us being able to carry out our processes as per QMS	rolling Issues	3	3	9	Task 3M

Audits And Monitoring Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6829	Supplier Review - Outstanding Orders	Orders that have not been supplied in the timescale provided.	That goods will be delayed and therefore not available to customers.	Regular contact with the suppliers.	4	1	4	Task 1W Audit 1M
7138	Non Conformance Issues Any New QC 21 Forms	To review any new QC 21 Forms	potential non conformance s go undetected	rolling Issue	3	1	3	Task 1M Audit 12M
7797	Check Order Are Being Picked In Priority Order	Check order are being picked in order of priority and date.	Orders going at before more urgent ones	Issues, Audit and visual checks.	4	1	4	Task 8W Task 2D Audit 3M

Audits And Monitoring Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7792	Shipped Order Success Report	A report is generated from figures in Intrastats to display how many orders have been shipped without errors	Computer/network breakdown	Ensure IT equipment is regularly maintained	2	1	2	Task 3M Audit 3M

Audits And Monitoring Risk / Opportunity
Responsibility Production Processes

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

Audits And Monitoring Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6871	ISO14001 Environmental Management Systems	Not yet Applied Rolling Issue to see if we should apply this standard in the future	none	none	1	1	1	Task 12M
7829	7829 Needs Reviewing	Complete Systems Review	missed updates / issues	regular checks	1	1	1	
7093	BSI Audits Calendar	Review of outstanding Audits	Audits dont get completed	rolling Issue 725	1	1	1	Task 12M

Audits And Monitoring Risk / Opportunity Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7739	Intrastats Amendment Log	Intrastat Changes updates. Logging system to enable roll back should anything break	None, The updates are automatically logged and stored for easy retrieval. This process is simply to add notes to new updates	Rolling Issue to add notes	4	1	4	Task 1W

Audits And Monitoring Risk / Opportunity
Responsibility Humanmed Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7671	Humanmed Non Conformances	Humanmed Non Conformances	non conformations not logged.	Regular issue to prompt staff to report problems .	3	2	6	Task 1M

Cerificates Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7895	FDA Device Establishment Registration	To continue our FDA registration (for the Apgar timer)	unable to sell in U.S.A	rolling task	1	1	1	Task 12M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	2	Audit 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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 31D Audit 12M

Compliance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6931	Customer Complaints	Review the Customer Complaints Heading	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	4	1	4	Task 1W Audit 6M
7838	Review VIAMED Feedback - Customer Feedback Negative	Review Customer Feedback Negative	Rolling Issues No risk to process	none	3	1	3	Task 1M
7837	Review External Parties Influencing The QMS VST / Viamed	To Review the External Parties Influencing The QMS VST / Viamed Checked the Scopes and Risks, Review the Underlining Processes and Tasks	External party has un-reviewed expectations	Customer complaints / Non conformance reviews should highlight any missing expectations	1	1	1	Task 12M Audit 12M
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.	Keep up to date with issues.	1	1	1	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
7846	ISO System Management Review	To Comply with Top Level Re-authorise the Current Audits for next 12 Months Cover the Agenda as Per VOP13	Failure to do may cause major non conformites in QMS System	Rolling Issue to flag its due	1	1	1	Task 12M
7848	Review ISO Scopes	To Review the Scope of the ISO 9001 / ISO 13485 Standards	No risks Rolling issue to perform task	Rolling issue to perform task	1	1	1	Task 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
38	Audits Up To Date And Confirm Next Years Audit Schedule	Management oversight of Internal Tasks and Audits Issue(s). Review the responses to Tasks and Audits. ensure they are being fulfilled and completed.	No risks to the process itself as its a review process.	n/a	1	1	1	Task 12M
7849	Review Product Failures New Codes	Review the Customer Returns and Review Product Failures New Codes	Product failures / returns do not get reviewed and a new Risk may occur	Intrastats Rolling Task and Audits	4	3	12	Task 1W Audit 3M

Compliance Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7754	7754 Needs Reviewing	Ensure procedures are relevant and up to date, update as required	Using out of date procedures,	rolling issue	5	1	5	
7699	Shred Sensitive Paperwork In JL Office	Shredding of sensitive information	Broken shredder	Ensure shredder is regularly maintained	4	1	4	Task 2W Audit 1M

Compliance Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7744	FDA Device Establishment Registration And Listing	FDA registration and the CMDCAS products In order to sell in the USA / Canada Markets products need to be registered with the FDA .	Its harder to initially get on the register than maintaining it. Inability to sell products in North America	Rolling Issue	1	1	1	Task 12M
7827	Review The Quality Policy VST	To review the Quality policy and check it is still valid and upto date.	that policy will go out of date	Keep up to date with issues.	1	1	1	Task 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7828	Revi ew The Qual ity Polic y Via med	To revie w the Qual ity polic y and chec k it is still valid and upto date.	That the polic y will go out of date	Keep up to date with issues.	1	1	1	Task 12M
7833	Impo rtanc e Of Effe ctive Qua lity Man age ment	To Rem ind Staff of the Impo rtanc e of the ISO syst ems and they shou ld be follo wing the proc edur es	peop le may beco me carel ess	Keep up to date with issues.	2	1	2	Task 6M
6866	Inter nal Proc ess Verif icati on Com plete Syst ems Revi ew	Revi ew the Inter nal Proc ess and Verif icati on`s are suita ble for the curr ent stan dard s	none	Keep up to date with issues.	1	1	1	Task 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
5890	Che ck Web site ISO Doc ume nts	Ens ure the onlin e avail able copi es of our ISO stan dard s are upto date	cust ome rs dow nloa d out of date docu ment s.	rolling Issue to check the online documents	3	1	3	Task 1M Audit 6M

Compliance Risk / Opportunity
Responsibility IT Controller

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7851	Soft ware Vali datio n Sca n Un- QA Prod uct To Orde r	To test intra stats doe s not allo w picki ng of unpr oces sed prod ucts to live cust ome r orde rs	Unpr oces sed prod uct gets out into the field, resu lting in recal ls	Intrastats Controlled	3	4	12	Task 6M Audit 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7850	Soft ware Vali dation Sca n In Corr ect Prod uct	Test the Goo ds out proc ess disa bling pick ing of item s not relati ng to an orde r	syst em allo ws incor rect item s to be pick ed to cust ome r orde rs	Intrastats Controlled	3	2	6	Task 9M Audit 12M
7852	Soft ware Vali dation Expi red Stoc k	To atte mpt to Sca n a prod uct that has gone past its expir e date.	Expi red prod uct leav es the build ing and unus able prod ucts get to cust ome rs	Intrastats Controlled	3	2	6	Task 12M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7853	Software Validation Non Sell Able Shelf If	Warehouse shelves can be tagged as sellable stock / unsellable stock. Either for quarantine purposes or holding items for other customer orders. Test that Order picking cannot pick unsellable stock locations to an Order	quarantine stock leaves the building to a customer order, or stock on hold for a customer gets shipped to another customer.	Intrastats Controlled	3	3	9	Task 12M Audit 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7854	Soft ware Vali dation In Prod uction List	Soft ware Vali dation of the prod uction lists. By confi rmin g no extra pro ducti on jobs are stuc k in the syst em, and all liste d prod uctio n jobs are foun d. the prod uctio n track ing is valid ated	Soft ware trac king of prod uction jobs fails.	Intrastats controlled rolling Issues to check the system	2	2	4	Task 3M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7855	Software Validation - Production Lists	Software Validation - Production Lists Review the current active production lists in intrastats to the actual in progress production lists	Software inaccuracies in production	Intrastats controlled rolling issues to confirm	2	2	4	Task 3M Audit 6M
7856	Software Validation Unchecked Orders	To check order picking cannot pick against an unchecked order	Customer receives incorrect items due to order not being checked.	Intrastats Controlled. Rolling Issue to prove system works as intended	2	2	4	Task 12M Audit 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7857	Soft ware Vali dation Stoc k Trac king Che ck	To confi rm Soft ware Vali dation Stoc k Trac king Che ck, is funct ionin g as expe cted	Stoc k gets misl aid in the ware hous e	rolling issue to check the system	2	1	2	Task 6M
7858	Soft ware Vali dation Atte mpt To QA Some Stoc k	Test the QA Syst em that Staff not train ed for QA are unab le to QA a Prod uct.	Untr aine d staff QA/ Proc essi ng Prod uct	Rolling Test Task	3	3	9	Task 6M

Supplier

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

Supplier

Communications Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7830	Review Q.A. Failures Report	To review the Quantities of Failed product per Stock reference Passing through the Q.A. system	No risk	n/a	3	1	3	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7796	Review Franking Label Errors	To collate all the franking slips that have errors on them and so where not useable. These are returned to Royal mail for a refund of the carriage.	That they are lost or not returned quickly enough to get a refund	Follow the issue reminding staff to return them.	2	1	2	Task 3M Audit 3M

Communications Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
57	Temporary Stock Notices	To Review Memos on Stock references tagged as Temporary	na	na	3	1	3	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
10	Distribution Of Emails	Distribute Emails	Sent to incorrect person	Any email landing in the wrong box can simply be redirected to the correct user. Limited risk	3	1	3	Audit 1M
11	Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	3	1	3	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	
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 31D Audit 12M
20	Processing Of Mail Shots	Ensuring mail shots are printed and sent	Depleted stock of leaflets	Ensure leaflet stocks are maintained	4	1	4	Task 1W Audit 1M

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
9	Distribution Of Faxes	Distribute received faxes	lost faxes	minimal risk	1	1	1	
7699	Shred Sensitive Paperwork In JL Office	Shredding of sensitive information	Broken shredder	Ensure shredder is regularly maintained	4	1	4	Task 2W Audit 1M

Communications Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7810	Research Activities	Investigating products and applications, existing and potential products.	That the data is incorrect or out of date. Investigations are not thorough.	Double check sources and review facts and data.	3	1	3	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
28	Supplier Review	Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Supplier certificates go out of date, or they lose ISO standards and we're unaware	rolling task to do the supplier review	1	1	1	Task 12M Audit 12M
6871	ISO14001 Environmental Management Systems	Not yet Applied Rolling Issue to see if we should apply this standard in the future	none	none	1	1	1	Task 12M

Communications Risk / Opportunity
Responsibility IT Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
53	Emails	Maintain the Online Email boxes currently Google and Goldmine	incorrect email routing can lead to emails not getting to where they are supposed to be	Email is a common tool, any problems with emailing is apparently quickly.	1	1	1	Audit 1W

Communications Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	3	Task 1M Audit 6M

Communications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7745	UPS Invoices Viamed	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	Issues to remind. UPS send us statements regularly and this can be checked to the accounts package. If we do not pay they would chase us.	3	2	6	Task 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7747	UPS Invoices Vandagraph	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	Issues to remind. UPS send us statements regularly and this can be checked to the accounts package. If we do not pay they would chase us.	3	2	6	Task 1W Audit 1M
7746	UPS Invoices VST	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	Issues to remind. UPS send us statements regularly and this can be checked to the accounts package. If we do not pay they would chase us.	3	2	6	Task 1M
7794	V1000 Commissions Review	To review the payments of commissions for the v1000 Product line	This may be missed	Issues sent to remind this.	2	1	2	Task 3M
6819	Supplier Payments And Invoice Processing	Inputting the invoices from suppliers for the correct month. Ensuring they are all entered in to the correct period.	invoices missed and therefore absent from accounts and Vat return	Regular checks	2	2	4	Task 1W Audit 12M

Communications Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7717	Audit 05 Purchasing Suppliers Viamed	To carry out Audit 05 Purchasing Suppliers Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	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 good will be delayed and therefore not available to customers.	Regular contact with the suppliers.	4	1	4	Task 1W 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
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 Audit 12M

Product Feedback Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7071	Post Market Surveillance	The process by which 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

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.	3	2	6	Task 7D Audit 1M
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.	3	1	3	Task 1D

Product Trace Ability Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7719	Audit 07 Handling And Storage Viamed	To carry out Audit Audit 07 Handling And Storage Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	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

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 Audit 1M
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7685	Repairs Ready For Invoice	Process Invoice for completed repairs.	non	n/a	5	1	5	Task 2D
7684	Repairs Ready For Quote	Process Repairs Ready For Quote	No risks	N/a	5	0	0	Task 1D
7683	Check Stock For Proforma	To check that we have stock in for customer proformas. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between office and warehouse.	4	1	4	Task 1W
7826	Goods In Processes	To Receive Goods from Suppliers	incorrectly booked in not booked in	procedures Goods in notices	2	2	4	Task 1M Audit 3M
5866	UPS Shipping Fuel Surcharge	UPS surcharges change on a monthly basis. The internal system requires updating so the postage rates can be calculated by anyone correctly.	We pay more for shipping than we charge to the customer	We have a built in safety net of X % set in the admin side of the UPS rates section. Rolling Issue and Audit the process is being performed	3	1	3	
6955	Production Requirements	To set production job for any stock item that is needed for customer back order, warehouse requests or marketing	that jobs will not be added and customers orders will be delayed	regular review of the active list by a production controller	2	1	2	Task 1W Audit 1M

Purchase Orders Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7801	VST Price Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	2	Task 12M Audit 12M

Purchase Orders Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5850	Purchase Order Log	Check the PO log is up to date with confirmations and expected shipping dates	The order is not checked and the supplier has not received it ergo we do not receive the order	check all orders regularly	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

Purchase Orders Risk / Opportunity
Responsibility Goods In

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7859	Check POR File For Items Delivered But Not Removed From File	Checking of the POR File For Items Delivered But Not Removed From File	POR are left in the file when goods booked in.	regular check prompted by rolling issues.	3	1	3	Task 1M

Purchase Orders Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7697	Yearly Pricing Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	2	Task 12M Audit 12M

Purchase Orders Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7765	Audit 05 Purchasing Suppliers VST	To carry out Audit 05 Purchasing Suppliers VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	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 Audit 3M
7786	Check Returns Supplier Maxtec	Supplier returns to Maxtec, return any products waiting to be returned	Product not returned, risks not analysed	Automatic Issues to review	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	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7706	Update Viruses Software And Scan For Viruses	Updating of anti-virus software and scanning computers for viruses	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 that's not being automatically backup by the system, Currently T Drive being the primary files to be backed up	now as it's a backup process Back is unrestoreable	Development server is off site and data is restored from the backup data to keep the development server up to date so backup data is regularly tested	5	1	5	Task 7D 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	
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	1	4	Task 1W

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

Communications Risk / Opportunity
Responsibility Human Resources

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5936	Wages Calculations	To print the time sheets and add any extras, overtime, sick days, or commissions.	That items will be missed.	This is reviewed before submitting to the accountants. All information is from intrasts or individual members of staff.	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	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	3	1	3	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	
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5857	Customer Service Logs	Ensuring customer onsite service visits are completed	Engineer or equipment is unavailable	Liaison with customer and engineer to find best times and dates for visit to take place	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 1D Audit 1W

Communications Risk / Opportunity
Responsibility OEM Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7894	VST Customer Agreements	To check the Current Customer Agreements are still Valid	minimal risk	Rolling Issue	1	1	1	Task 6M Audit 12M

Communications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7743	Customer Complaints Paper File	Major Customer Complaints get escalated to Paper Customer Complaints file. Check the File is being Maintained and any relevant documentation is in the File.	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	Keep up to date with issues.	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 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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7893	VST Price Lists	To confirm the Document index Price Lists	Prices go out of sync between Opera Main listing and the documented price lists	Rolling Issue	1	1	1	Task 3M

Communications Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5942	Chase The Debtors Viamed	Reminding debtors, where needed.	That a receipt in will be missed or entered incorrectly. That goods will go out to a customer when they have outstanding items that need to be paid. That customers will default or result in a charge back or bad debt.	Do the debtors regularly and enter the new information into the debtors report as it is received. Double check figures.	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

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
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 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
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.	Keep up to date with issues.	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	None, The updates are automatically logged and stored for easy retrieval. This process is simply to add notes to new updates	Rolling Issue to add notes	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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	
7832	Cleardown Emailed Invoices	Backup of all Sent Emails sent to External Address for Verification	Non	Non	4	1	4	Task 2W

Computer Maintenance Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	3	

Computer Maintenance Risk / Opportunity
Responsibility Humanmed Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7782	Remove Started But Not Used Order Numbers	Remove Started But Not Used Order Numbers from intrastats.	not clear regularly, accidental usage of an old ORDER number generated by mistake	issues	2	1	2	Task 3M

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	1	3	Task 1M Audit 12M
7741	Review Ethical Policy	Review the current Ethical Policy in intrastats	That something is missed that we would like to include	Complete task when issue come.	1	1	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 Policies	Ensure the company policies are still current and up to date	Company shoots of in directions that are not laid out in its policies 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. Including enough detail to describe what has been covered in the training and any material used.	That training has not been signed off. Or is not up to date.	Intrastats flags up unverified training. Issues are sent to remind staff to up date their training records.	4	1	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7847	Health And Safety Review	<p>Perform HSE Risk Assessment,</p> <p>Re issue Message of the Day or send company issue with regard to Employees being aware of HSE documentation / policy. and Location of Fire Exits and First Aid Kits.</p> <p>Send new Issue to Projects Asking if New HSE implications have arisen from new products.</p> <p>Review Online the Local Community Risk Register.</p> <p>Check the Viamed Overall Risk Analysis Program Document in the Index to check its still current.</p>	HSE Risks to Staff and business	Rolling Issue to Review	1	1	1	Task 12M Audit 12M
7883	Appraisal	to review the staff, give feedback and discuss issues	that targets are missed or discussions not had	be thorough and speak to all supervisors	1	1	1	Task 12M Audit 24M
7884	Pay Review	Review the staff pay, ensure its above minimum living wage and at a level appropriate to the work	that staff are not paid what they are worth or paid too much	review and carry out appraisals	1	1	1	Task 12M Audit 24M

Personnel Manual Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6855	Risk Assessment HSE	Update the Site HSE file	Issues not done in terms.	Keep up to date with issues.	1	1	1	Task 12M
7891	Fire Alarm Evacuation Drill	To test the evacuation of the buildings in case of fire	That staff will not know what to do in case of a fire	Regular training and reviews, documents in required reading and plenty of signs up, regular checks of the system, MCP, emergency lights, fire alarm and fire extinguishers.	1	4	4	Task 3M Audit 12M

Production Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7866	Oxygen Cylinder Check	Ensure we do not run out of oxygen	run out of oxygen	rolling issue	2	1	2	Task 3M
7902	Empty Depleted Sensor Bin From The Office	Empty depleted sensor bin from the office	non	not required	1	1	1	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7904	Check Weeee Waste Pallet And Sensor Bin	Check Weeee waste pallet and sensor bin, arrange collection if FULL	non	not applicable	1	1	1	Task 6M Audit 12M

QMS System Risk / Opportunity
Responsibility Share Holder

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7862	Review The Audit Calender Screen	Review The Audit Calendar Screen	Requirement of ISO	review of calander	1	1	1	Audit 12M

QMS System Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7839	Review VIAMED Feedback - Customer Complaints	To Review Viamed Customer Complaints	Rolling Issue No Risk	Keep detailed records and review	3	1	3	Task 1M
7838	Review VIAMED Feedback - Customer Feedback Negative	Review Customer Feedback Negative	Rolling Issues No risk to process	none	3	1	3	Task 1M
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7840	Review VST Feedback - Customer Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	Rolling ISsue, No Risk	n/a	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
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
7846	ISO System Management Review	To Comply with Top Level Re-authorise the Current Audits for next 12 Months Cover the Agenda as Per VOP13	Failure to do may cause major non conformites in QMS System	Rolling Issue to flag its due	1	1	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
7837	Review External Parties Influencing The QMS VST / Viamed	To Review the External Parties Influencing The QMS VST / Viamed Checked the Scopes and Risks, Review the Underlining Processes and Tasks	External party has un-reviewed expectations	Customer complaints / Non conformance reviews should highlight any missing expectations	1	1	1	Task 12M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7895	FDA Device Establishment Registration	To conitune our FDA registration (for the Apgar timer)	unable to sell in U.S.A	rolling task	1	1	1	Task 12M

QMS System Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7753	Management Meeting Warehouse	To discuss any problems, to assess work load and staffing. To review issues with regard the Warehouse.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	3	1	3	Task 1M Audit 3M
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

QMS System Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7793	Team Review Meeting	Duplicate Issue needs process removing see processid 7750	Computer/net work breakdown	Ensure IT equipment is regularly maintained	3	1	3	
7901	UPS Exceptions Checkup	To check the emails that come in from UPS or other shippers, for problems delivering or clearing goods.	That goods will be unable to be delivered or cleared through customs.	Regular reviews of the notification	2	1	2	Task 1D

QMS System Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	2	Audit 12M

QMS System Risk / Opportunity
Responsibility Goods In

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7898	Stamp Deliveries	Stamp Acceptance of parcels in goods in with date stamp, log entry into the goods in database	parcels go missing.	daily task to stamp parcels	1	1	1	Task 1D

QMS System Risk / Opportunity
Responsibility ISO Controller

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7199	Non Conf ormit ies Revi ew	To revie w any non conf orm ance s creat ed durin g the previ ous mont h, and prod uce a non conf orm ance rep ort. Revi ew histo ry of non conf orm ance s and see if ther e has been any impr ove ment .	non	non	3	1	3	Task 1M Audit 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7827	Revi ew The Qual ity Polic y VST	To revie w the Qual ity polic y and chec k it is still valid and upto date.	that policy will go out of date	Keep up to date with issues.	1	1	1	Task 12M
7828	Revi ew The Qual ity Polic y Via med	To revie w the Qual ity polic y and chec k it is still valid and upto date.	That the policy will go out of date	Keep up to date with issues.	1	1	1	Task 12M
7829	7829 Nee ds Revi ewin g	Com plete Syst ems Revi ew	missed updates / issues	regular checks	1	1	1	
7093	BSI Audi ts Cala nder	Revi ew of outst andi ng Audi ts	Audits dont get completed	rolling Issue 725	1	1	1	Task 12M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7888	Revi ew Proc esse s Link ed To VOP s And Audi ts	Ens ure All Sub Proc esse s are linke d to a VOP and an Audi t.	process can go un-monitored	rolling task to link appropriately	3	1	3	Task 1M Audit 12M

QMS System Risk / Opportunity
Responsibility IT Controller

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
7858	Soft ware Vali datio n Atte mpt To QA Som e Stoc k	Test the QA Syst em that Staff not train ed for QA are unabl e to QA a Prod uct.	Untrained staff QA/Processing Product	Rolli ng Test Task	3	3	9	Task 6M
7861	Soft ware Vali datio n Of Trai ning Doc ume nts Forc ed Rea ding	Soft ware Vali datin g Of Trai ning Doc ume nts via Forc ed Req uired Rea ding	required reading not read.	Rolli ng audit of requi red readi ng	1	2	2	Task 12M

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
7879	Soft ware Vali dation Sch edul ed Task s And Audi ts	To chec k the Sch edul ed Task s and Audi ts is work ing as Inten ded. To also Che ck the Out of Date doc ume nts is work ing as Inten ded.	Tasks and Audit Rolling Issues Key to ISO requirements. risk of losing standards	Dual Test of Out of Date Doc ume nts and Rolli ng Task s and Audi ts	1	4	4	Task 12M Audit 6M
7880	Soft ware Vali dation Out Of Date Doc ume nts	To confi rm the out of docu ment s com pute r soft ware func tions as expe cted flagg ing out of date item s on to the list	Old document in the system	rollin g task	1	1	1	Task 12M Audit 6M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7881	Software Validation - Live Orders	To compare Operational Live Orders to Intra stats Back order Active List NO LONGER REQUIRED Operational is now out of the system	no risks, confirmation back orders is working as intended	not applicable	1	3	3	

QMS System Risk / Opportunity
Responsibility Maintenance Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7864	ESD Work Stations	Check the workshop benches ESD equipment is in place	can damage equipment if not used or suitable	rolling task	2	1	2	Task 6M Audit 12M

QMS System Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7900	Royal Mail - Mail Retention Form	Royal Mail - Mail retention form. That is sent to us in March for the next year, they retain our mail on a Saturday and deliver it the next Monday	Non	Non	1	1	1	Task 12M

QMS System Risk / Opportunity
Responsibility Audits

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7714	Audit 01 Picking Packing Viamed	To carry out Audit 01 Picking Packing Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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
7732	Audit 22 Post Market Surveillance Viamed	To carry out Audit 22 Post Market Surveillance Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	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
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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
7770	Audit 10 Documentatio n Control VST	To carry out Audit 10 Documentatio n 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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7772	Audit 11 Repairs And Service VST	To carry out Audit 11 Repairs And Service VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	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
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
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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
7885	Audit 04 Accounts And Finance	Carry out Audit 04 Accounts for Both VST and 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	Task 12M Audit 12M
7887	Audit 18 Management Review VST	To carry out Audit 18 Management Review VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7886	Audit 18 Management Review Viamed	To carry out Audit 18 Management Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7889	Audit 24 Servicing Viamed	To carry out Audit 24 Servicing Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
7892	Audit 27 Software Validation	To confirm the Prime functions of the Software used is verified.	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M

Technical Files Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7744	FDA Device Establishment Registration And Listing	<p>FDA registration and the CMDCAS products</p> <p>In order to sell in the USA / Canada Markets products need to be registered with the FDA.</p>	<p>Its harder to initially get on teh register than maintaining it.</p> <p>Inability to sell products in North America</p>	Rolling Issue	1	1	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	1	1	1	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	Duplicate Issue needs process removing see processid 7750	Computer/net work breakdown	Ensure IT equipment is regularly maintained	3	1	3	

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	Issues not done in terms.	Keep up to date with issues.	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. Including enough detail to describe what has been covered in the training and any material used.	That training has not been signed off. Or is not up to date.	Intrastats flags up unverified training. Issues are sent to remind staff to up date their training records.	4	1	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	

Health And Safety Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	3	

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 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

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	3	1	3	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	
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 Viamed	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 the accounts package at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	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/adjust ments to add items in to the accounts package that are not included in the scope of the sales and purchase ledger.	That journal will be entered incorrectly.	Double checking work. Checking the figure match at the end of month close.	2	1	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 intrastats	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 1W Audit 1M

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	Oper a Sales Ledger Close	Closi ng down of the Month end in the acco unts packages , Or year end if appli cabl e	Rep orts mor e diffic ult to perf orm after shut dow ns, no com merc ial risk if not perf orm ed	Rolling Issue. Remote access available to perform shut down remotly if away from office.	1	1	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 the accounts package 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.	3	1	3	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 that's not being automatically backed up by the system, Currently T Drive being the primary files to be backed up	now as its a backup process Back is unrestoreable	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 7D 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	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	3	

Equipment Safety Risk / Opportunity
Responsibility Repairs Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7823	Safety Tester Data	Backup the Fluke ESA615 Safety tester CE Copy any files to the Z Drive - safety tester backupdata	That this will not be carried out.	Issues sent to remind and audited.	1	1	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	
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	Issues not done in terms.	Keep up to date with issues.	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	Task 1M Audit 3M
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 NO LONGER REQUIRED, New system live counts these now	Stock valuations will get inaccurate if the process is not performed.	Rolling Issue and Rolling Audit	4	1	4	

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	3	1	3	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 the accounts package at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	1	Task 12M
5915	Opera Sales Ledger Close	Closing down of the Month end in the accounts packages, Or year end if applicable	Reports more difficult to perform after shut downs, no commercial risk if not performed	Rolling Issue. Remote access available to perform shut down remotely if away from office.	1	1	1	Task 1M Audit 3M
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	3	Task 1M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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/adjustments to add items in to the accounts package that are not included in the scope of the sales and purchase ledger.	That journal will be entered incorrectly.	Double checking work. Checking the figure match at the end of month close.	2	1	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
5923	Credits Note Processing	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
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
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 Viamed	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

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.	3	1	3	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5937	Review The Delivered Not Invoiced Reports	<p>NO LONGER REQUIRED WITH XERO</p> <p>This report allows us to add a figure to the end of month accounts. It is a report of suppliers delivered items that have not been invoiced and therefore do not show on the accounts but do show as in stock.</p>	It is an internal adjustment that is reversed out at the end of the next month. The only real risk is the figure from the previous month is not adjusted out correctly.	This is check by the accountants.	3	1	3	
5942	Chase The Debtors Viamed	Reminding debtors, where needed.	<p>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.</p>	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	<p>Inputting the invoices from suppliers for the correct month. Ensuring they are all entered in to the correct period.</p>	invoices missed and therefore absent from accounts and Vat return	Regular checks	2	2	4	Task 1W Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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

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 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 1M Audit 24M
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

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

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 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 1D
7685	Repairs Ready For Invoice	Process Invoice for completed repairs.	non	n/a	5	1	5	Task 2D
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 8W Task 2D Audit 3M
7798	Orders And Items Shipped Per Month	Review the orders and items shipped per month	Problem with report	Review regularly	3	1	3	Task 1M Audit 3M

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	

Account Maintenance Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5948	Adding New Accounts To Opera	Adding customer accounts to account management software	Incorrect entry of account number (Unusable account) Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage License expiry	Staff trained in accuracy Orders checked for errors on processing	3	1	3	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

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
11	Distr ibuti on Of Mail	Disti butin g inco ming post to corr ect pers on	Royal Mail fail to deliver post	N/A	3	1	3	Task 1D
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 1D Audit 1W

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
7676	PDFi ng Of Invoi ces Via med	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 NO LON GER RE QUI RED AS DON E BY THE SY STE M AUT OM ATI CAL LY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoi ces visu ally chec ked prior to send to cust ome rs.	2	1	2	

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7712	Review Inward Payments	Review the payments received to ensure perform as can be shipped	Computer network breakdown	Ensure IT equipment is regularly maintained. Regular review of the folder and the bank.	3	1	3	Task 1D Audit 1W
5896	Ensuring OR D's Are Taken To Goods Out And Invoices Are Retrieved						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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7894	VST Customer Agreements	To check the Current Customer Agreements are still Valid	minimal risk	Rolling Issue	1	1	1	Task 6M Audit 12M

Account Maintenance Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7748	Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	3	2	6	Task 7D Audit 1M
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.	3	1	3	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 Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7893	VST Price Lists	To confirm the Document index Price Lists	Prices go out of sync between Opera Main listing and the documented price lists	Rolling Issue	1	1	1	Task 3M

Account Maintenance Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5867	Accounts On Stop	Accounts placed on stop as they owe money. To prevent orders being dispatched.	accounts being on stop when they have paid and preventing orders, that should be sent, from being shipped. Payments coming in and them not being picked up in a timely manner.	Scheduled issue ID223 to review accounts on stop.	4	1	4	Task 2W Audit 3M
5920	Cheques To Bank - Fill In Paying In Book	Cheques that are received in from customers as payments, refunds from Royal Mail, HMRC in the form of Duty refunds etc. These are filled in to the paying in book, located in the accounts office. Then taken to Barclays bank.	Cheques being lost as this is a physical process. The book being filled in wrong and having to be corrected at the bank when they deposit the cheques.	Double check figure and take the paying in book to the bank in a bag with all the cheques included, so they cannot fall out. Scheduled issue ID432	4	1	4	Task 1W Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5916	Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	3	Task 1M Audit 12M
5923	Credits Note Processing	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
5932	Remit Processing And Entry Into Opera	Remits are identified, matched to the bank statement and then entered into Opera on the customer account.	That remits are missed.	The bank is checked at the end of each month against Opera and any remits that are missed are entered then.	3	1	3	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
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
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

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

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 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

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

Communications Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6931	Customer Complaints	Review the Customer Complaints Heading	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	4	1	4	Task 1W Audit 6M

Communications Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
2	Answering Telephones	Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Phone lines go down	Externally maintained with 24hr Help line and call out on faults	2	1	2	Audit 3M

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	
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 31D Audit 12M
7761	Send VST Delivery Notifications	Emailing Notifications of shipments	Limited risks, and if the email fails to get delivered the customer will still receive their shipment.	n/a	5	1	5	Task 1D Audit 1W
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk	1	1	1	
8	Order And Status Liaison With Customers	To contact customers who require order confirmations and let them know their orders have been received.	that orders requiring conformation are missed or the wrong information is given	the person putting on the order confirms it to the customer to minimize the risk of missing the request.	1	1	1	
6958	Shipped Order Queries						0	

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
7832	Cleardown Emailed Invoices	Backup of all Sent Emails sent to External Address for Verification	Non	Non	4	1	4	Task 2W
53	Emails	Maintain the Online Email boxes currently Google and Goldmine	incorrect email routing can lead to emails not getting to where they are supposed to be	Email is a common tool, any problems with emailing is apparently quickly.	1	1	1	Audit 1W

Contracts Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5905	Price Checking	Check we have consistent pricing across the different databases.	Incorrect pricing can cause customer confusion	Rolling task and Audit to check the List	3	1	3	Task 1M Audit 3M
7697	Yearly Pricing Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	1	2	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	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
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 Audit 12M
6952	Lost In Shipping Claims						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 communications between Viamed and the supplier.	4	1	4	Task 2W Audit 1M
6955	Production Requirements	To set production job for any stock item that is needed for customer back order, warehouse requests or marketing	that jobs will not be added and customers orders will be delayed	regular review of the active list by a production controller	2	1	2	Task 1W Audit 1M

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
7686	Thorough Checking Of Awaiting Action Tray	Check that outstanding orders with unresolved issues are being followed up and addressed	Computer/net work breakdown	Ensure IT equipment is regularly maintained	5	1	5	Task 1D 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

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/switch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.	1	1	1	Audit 1W
5894	Checking Of Active List	Check the Active Back orders ensure no orders get missed	not applicable	not applicable	1	1	1	Task 1D Audit 6M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility UK Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5876	E.Commerce Carda And Multiquote	To Collect E.Commerce Carda And Multiquote 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	To check the back orders in the tray in goods out and check the active list back orders has been reviewed	goods not shipped in a timely manner	review list regularly by different people.	1	1	1	Task 1W Audit 1M
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	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	<p>When a new production is needed we the production job to the list of procedures.</p> <p>Check to make sure that every new job has a procedure linked to it.</p>	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
7737	Production In Production List	<p>Review the Production List, check and list those items that were started more than 30 days ago have not been through QA.</p> <p>Audit is carried out and production is reviewed and chased at this point.</p>	Production jobs is finished but not been QA, may get lost in the system	Audit is carried out after rolling issue is sent	3	2	6	Task 1M Audit 3M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Accounts Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5927	Accounts Filing	To file the paperwork received and the digital items in a place where they are easily retrievable.	That documents are lost if they are not filed sensibly and in the correct place.	Care need to be taken and if something is of greater importance then the same document can be filed in more than one sensible location. ie. proof of shipments needed by the HMRC - the customer file and the file of shipping document. These are historic and there for will not change over time.	2	2	4	Task 6M Audit 12M

Orders Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6862	Current Repairs	The repairs that are currently in the building. Confirm the Stage and Location of repairs	Repairs not being worked on in a timely manor. Repairs being processed with out authorisation from customer.	Regular contact with the customer and filling in intrastats details. Issues to review.	4	1	4	Task 1W Audit 3M

Orders Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7783	PDF VST Invoices And Purchase Orders	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	4	1	4	

Pricing Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6921	Customer Pricing Agreements	Usual standard price from price list - but may offer quantity discount for less ordered. This is logged in a memo on opera, dated and initial and review date added where needed.	that a price will be charged that is not suitable or appropriate	office sales team reviewing the memos on Opera when putting orders on.	1	1	1	
6922	6922 Needs Reviewing						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	6950 Needs Reviewing						0	

Product Compliance Risk / Opportunity
Responsibility Managing Director

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7840	Review VST Feedback - Customer Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	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	
6847	Quarantine Repairs						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 Surveillance	To monitor the products we have sold	reports not available	reports pre-programmed in to intrastats	1	1	1	

Returns Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7752	SRS Folder	Ensure all outstanding repairs are being dealt with	repairs get stuck in the system	Rolling task	3	1	3	Task 1M Audit 3M
5879	Customer Returning Goods On Our UPS Account	Goods being returned to us usually from customers on our UPS account. We would usually give our account number or send a UPS returns label to them.	That customers will have to return goods without this service and we will have to credit them the carriage value.	Office have good communication with the customers	1	1	1	

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	Task 1M Audit 3M

Trace Ability / Recalls Risk / Opportunity
Responsibility Production Processes

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

Communications 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

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
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 Audit 3M

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 OEM Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7894	VST Customer Agreements	To check the Current Customer Agreements are still Valid	minimal risk	Rolling Issue	1	1	1	Task 6M Audit 12M

OEM Specifications Risk / Opportunity
Responsibility ISO Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
28	Supplier Review	Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Supplier certificates go out of date, or they lose ISO standards and we`re unaware	rolling task to do the supplier review	1	1	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 1W 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 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	
7826	Goods In Processes	To Receive Goods from Suppliers	incorrectly booked in not booked in	procedures Goods in notices	2	2	4	Task 1M Audit 3M

Product Trace Ability Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7748	Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	3	2	6	Task 7D Audit 1M
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.	3	1	3	Task 1D

Purchase Orders Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7680	Check Stock Requirements Supplier Envitec	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	4	1	4	Task 2W Audit 1M

Purchase Orders Risk / Opportunity
Responsibility Goods Out

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	2	Audit 12M

Customer

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

Customer

Account Maintenance Risk / Opportunity
Responsibility Managing Director

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

Account Maintenance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7684	Repairs Ready For Quote	Process Repairs Ready For Quote	No risks	N/a	5	0	0	Task 1D
7685	Repairs Ready For Invoice	Process Invoice for completed repairs.	non	n/a	5	1	5	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 8W Task 2D Audit 3M
7798	Orders And Items Shipped Per Month	Review the orders and items shipped per month	Problem with report	Review regularly	3	1	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	3	1	3	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	3	1	3	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 1D 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	

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.						

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
5899	Prof orm a And Quot e Cha sing	Cha se outst andi ng Quot es and Prof orm as	Computer/network breakdown Not chased up.	Ens ure IT equi pme nt is regul arly main taine d. Cust ome rs can be called if nece ssar y Audi t issu es to chec k bein g carri ed out.	3	1	3	Task 1W Audit 1M
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

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
5913	Che ck For Hum anm ed Orde rs In Logi stics Mail box	Che ckin g the logis tics mail box from with in and 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 1D Audit 1M

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
7676	PDFi ng Of Invoi ces Via med	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 NO LON GER RE QUI RED AS DON E BY THE SY STE M AUT OM ATI CAL LY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoi ces visu ally chec ked prior to send to cust ome rs.	2	1	2	

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
7686	Thorough Checkin g Of Awaiting Action Tray	Check that outst anding orders with unre solved issues are being follow ed up and addre ssed	Computer/network breakdown	Ens ure IT equi pme nt is regul arly main taine d	5	1	5	Task 1D Audit 1M
7678	Check Cata log 360 Circl e For Quot es And Orde rs	Check ing 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	Deliv ered Not Invoi ced	Ens ure invoi ces are gene rate d for ship ped orde rs	Computer/network breakdown		5	1	5	Task 1D Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7712	Review Inward Payments	Review the payments received to ensure performance can be shipped	Computer network breakdown	Ensure IT equipment is regularly maintained. Regular review of the folder and the bank.	3	1	3	Task 1D Audit 1W
7735	Ensure SOR's Are Followed Up	Ensure samples and Sale or Return items are followed up after 4 weeks for feedback and the item(s) is returned as appropriate	Computer/network breakdown	Ensure IT equipment is regularly maintained	4	1	4	Task 1W Audit 1M

ID	Des cripti on	Sco pe	Risk	Actio n	Level	Likely	Overall	Freq
5896	Ens uring OR D's Are Take n To Goo ds Out And Invoi ces Are Retri eved						0	
5949	Fillin g Cred it Card Slip s	Input ting the accu rate data on to our pre- print ed credi t card slips for proc essi ng on disp atch of good . Sec ure stori ng and proc essi ng	incorrect information slips left unsecured	ORD che ckin g to verif y the infor mati on Sec urity mea sure / proc edur es in plac e to keep the infor mati on secu re	1	3	3	Task 1W Audit 1M

Account Maintenance Risk / Opportunity
Responsibility OEM Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7808	Ensure All Invoice Correctly Tagged	To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes	Pay a Sales rep for special sales in the relevant area. and make a loss on the sale	Rolling monthly Issue to Tag the Invoices,	3	1	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.	3	2	6	Task 7D Audit 1M
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.	3	1	3	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 the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	3	1	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 Note Processing	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.	3	1	3	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
7790	Humanmed Invoice Them For Previous Month	A invoice is generate at the end of each month to charges Humanmed for the admin fee, carriage charges and any special carriage charges.	That this invoice is not produced.	Issue reminding of this monthly.	3	1	3	Task 1M Audit 12M
7794	V1000 Commissions Review	To review the payments of commissions for the v1000 Product line	This may be missed	Issues sent to remind this.	2	1	2	Task 3M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7800	Opera Nominal Ledger Close	The closing down of the previous months nominal ledger for accounts purposes.	The system crashes.	Back ups are taken before any close down in opera to protect against crashes or corrupted data. Missed items can added in the current month and manually corrected and if necessary.	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
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 1M Audit 24M

Account Maintenance Risk / Opportunity
Responsibility Vandagraph

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7791	Price List Check	Changing of the prices lists 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 UK Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6888	Viamed Automotive UK						0	Task 1M Audit 3M

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 Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5857	Customer Service Logs	Ensuring customer onsite service visits are completed	Engineer or equipment is unavailable	Liaison with customer and engineer to find best times and dates for visit to take place	4	1	4	Task 1W Audit 1M

Agreements Risk / Opportunity
Responsibility Product Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5905	Price Checking	Check we have consistent pricing across the different databases.	Incorrect pricing can cause customer confusion	Rolling task and Audit to check the List	3	1	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
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	
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 31D Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7761	Send VST Delivery Notifications	Emailing Notifications of shipments	Limited risks, and if the email fails to get delivered the customer will still receive their shipment.	n/a	5	1	5	Task 1D Audit 1W
9	Distribution Of Faxes	Distribute recieved faxes	lost faxes	minimal risk	1	1	1	
17	17 Needs Reviewing	Office no longer prepare catalogues					0	
8	Order And Status Liaison With Customers	To contact customers who require order confirmations and let them know their orders have been received.	that orders requiring conformation are missed or the wrong information is given	the person putting on the order confirms it to the customer to minimize the risk of missing the request.	1	1	1	
6958	Shipped Order Queries						0	
19	Maintaining Leaflet Stocks	Ensure required leaflets are in stock	Stock is not checked	Regualr stock take	4	1	4	Task 1W Audit 1M
20	Processing Of Mail Shots	Ensuring mail shots are printed and sent	Depleted stock of leaflets	Ensure leaflet stocks are maintained	4	1	4	Task 1W Audit 1M
5892	Checking EBay And Amazon For Orders And Messages	Checking the eBay and Amazon accounts for orders that have not been emailed to the main inbox and checking to see if there are messages or questions.	Computer/net work breakdown	Ensure IT equipment is maintained and task is regularly being performed	5	1	5	Task 1D Audit 1W
5893	Answering Website Questions	Answering any questions that are asked via the website from within Intrastats	Computer/net work breakdown	Ensure IT equipement is maintained	5	1	5	Task 1D Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7696	Send VIAMED Delivery Notifications	Emailing Notifications of shipments	limited risks, and if email fails to get delivered the customer will still receive their shipment.	n/a	5	1	5	Task 1D Audit 1W
7699	Shred Sensitive Paperwork In JL Office	Shredding of sensitive information	Broken shredder	Ensure shredder is regularly maintained	4	1	4	Task 2W Audit 1M
7705	Checking For Uploaded Files	Checking if a customer has uploaded an order directly to our website	Computer/net work breakdown	Ensure IT equipment is regularly maintained	5	1	5	Task 1D Audit 1W
7758	Check For GHX Orders	Check the emails for orders from GHX	Computer/net work breakdown	Ensure IT equipment is regularly maintained	4	1	4	Task 1W 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
21	Office Sales Projects	Ensuring office job list is being updated and completed	Office is short staffed or over worked	Ensure there is adequate office staff to meet demands	4	1	4	Task 1W Audit 1M

Communications Risk / Opportunity
Responsibility Marketing Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6894	Product Cross References	Maintenance and research of cross reference tables	Out of date databases linking products to equipment	Rolling issue to start the research project.	3	1	3	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility UK Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5871	Check Sale Or Returns	Review the Sale or Return list in intrastats. Ensure it is up to date.	That goods could be sent to a customer or goods returned but the list is not updated	To regularly review the list and associated issues.	3	2	6	Task 1M Audit 3M

Communications Risk / Opportunity
Responsibility EX Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5872	Check Sale Or Returns Export	Review the Sale or Return list in intrastats. Ensure it is up to date.	That goods could be sent to a customer or goods returned but the list is not updated	To regularly review the list and associated issues.	3	2	6	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	Cleanup Emailed Invoices	Backup of all Sent Emails sent to External Address for Verification	Non	Non	4	1	4	Task 2W
53	Emails	Maintain the Online Email boxes currently Google and Goldmine	incorrect email routing can lead to emails not getting to where they are supposed to be	Email is a common tool, any problems with emailing is apparently quickly.	1	1	1	Audit 1W

Contracts Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6972	UPS Shipping Fuel Surcharge	Update the UPS rates to ensure we charge the correct amount of carriage	Computer/network breakdown	Ensure IT equipment is regularly maintained	3	1	3	Audit 3M

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	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
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	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
5890	Che ck Web site ISO Doc ume nts	Ens ure the onlin e avail able copi es of our ISO stan dard s are upto date	customers download out of date documents.	rolling Issue to check the online documents	3	1	3	Task 1M Audit 6M

ID	Des cripti on	Sco pe	Risk	Action	Level	Likely	Overall	Freq
7071	Post Mar ket Surv eilla nce	The proc ess by whic h re view and risk asse ss all prod uct files, che ck that no Prod ucts / Desi gns have cha nged sign ifica ntly to warr ant infor ming any notifi ed bodi es eg. MD D / BSI / CM DCA S or any othe r relat ed Bod y.	Loss of certifications Unforeseen product risks.	Rolling tasks and Issue. This process is audited.	3	4	12	Task 2M Audit 12M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6871	ISO 14001 Environmental Management Systems	Not yet Applied Rolling Issue to see if we should apply this standard in the future	none	none	1	1	1	Task 12M

ISO Standards Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
59	Out Of Date Documents	Check the Document Index for any out of date documents,	Not performing task could relate to old out of date information being supplied out of the companies	Monthly rolling task to check the list	3	1	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 Audit 12M
6952	Lost In Shipping Claims						0	
6955	Production Requirements	To set production job for any stock item that is needed for customer back order, warehouse requests or marketing	that jobs will not be added and customers orders will be delayed	regular review of the active list by a production controller	2	1	2	Task 1W Audit 1M
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 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 communicatio ns between Viamed and the supplier.	4	1	4	Task 2W

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7681	Check Stock Requirements Supplier Posey	To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	That a customer is told we have stock and then we are unable to ship.	Regular stock monitoring and good communications between Viamed and the supplier.	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7822	Review Oxylink Stock	<p>To check we have the stock available to supply our customer Oxylink.</p> <p>NOTE THIS PROCESS HAS BEEN STOPPED.</p> <p>Part number has been superseded</p>	The we do not have the stock needed to satisfy the orders for this customer.	Issues and regular review to check.	3	1	3	
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/switch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.	1	1	1	Audit 1W
5894	Checking Of Active List	Check the Active Back orders ensure no orders get missed	not applicable	not applicable	1	1	1	Task 1D Audit 6M
7734	Humanmed Order Processing	To make sure Humanmed orders are processed in a timely manner	orders getting missed	reviewed by several members of the team	1	1	1	

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility UK Sales Force

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5876	E.Commerce Carda And Multiquote	To Collect E.Commerce Carda And Multiquote 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	To check the back orders in the tray in goods out and check the active list back orders has been reviewed	goods not shipped in a timely manner	review list regularly by different people.	1	1	1	Task 1W Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7860	Goods Out Picking	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	Training	1	2	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
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 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 1W Audit 1M

Orders Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7783	PDF VST Invoices And Purchase Orders	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	4	1	4	
5891	Processing Of Repair Quotes And Orders	To process the Repair Quotes And Orders as they come in.	Repairs missed or delayed. Order numbers not received before processing.	Follow the repairs procedure and train staff.	3	1	3	

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	Usual standard price from price list - but may offer quantity discount for less ordered. This is logged in a memo on opera, dated and initial and review date added where needed.	that a price will be charged that is not suitable or appropriate	office sales team reviewing the memos on Opera when putting orders on.	1	1	1	
6922	6922 Needs Reviewing						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	6950 Needs Reviewing						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	things are not followed up in a timely manner or are missed	All none conformance, complaints and feedback are added to intrastats so they should not be missed.	4	1	4	Task 1W Audit 6M
7838	Review VIAMED Feedback - Customer Feedback Negative	Review Customer Feedback Negative	Rolling Issues No risk to process	none	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

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7840	Review VST Feedback - Customer Feedback Negative	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	Rolling ISsue, No Risk	n/a	3	1	3	Task 1M
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
7839	Review VIAMED Feedback - Customer Complaints	To Review Viamed Customer Complaints	Rolling Issue No Risk	Keep detailed records and review	3	1	3	Task 1M

Product Compliance Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7787	Check Returns All Supplier	Review the returns that are present in the duckets, for each supplier as per the issues.	Goods not returned in a timely manor so causing items to be out of warranty.	To review the issues and contact the regularly supplier. Follow there returns procedures.	3	1	3	Task 1M Audit 1M

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	To monitor the products we have sold	reports not available	reports pre-programmed in to intrastats	1	1	1	

Product Compliance Risk / Opportunity
Responsibility Health And Safety Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7092	7092 Needs Reviewing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	3	

Product Disposal Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7752	SRS Folder	Ensure all outstanding repairs are being dealt with	repairs get stuck in the system	Rolling task	3	1	3	Task 1M Audit 3M
5898	Processing Depleted Sensors	Dispose of depleted oxygen sensors and send customer replacement disposal bags	Sensors are not handled correctly	Ensure all staff performing the task wear designated gloves	4	1	4	Task 2W Audit 2W

Returns Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6862	Current Repairs	The repairs that are currently in the building. Confirm the Stage and Location of repairs	Repairs not being worked on in a timely manor. Repairs being processed with out authorisation from customer.	Regular contact with the customer and filling in intrastats details. Issues to review.	4	1	4	Task 1W Audit 3M
6847	Quarantine Repairs						0	

Returns Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
5879	Customer Returning Goods On Our UPS Account	Goods being returned to us usually from customers on our UPS account. We would usually give our account number or send a UPS returns label to them.	That customers will have to return goods without this service and we will have to credit them the carriage value.	Office have good communication with the customers	1	1	1	

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	

Servicing Risk / Opportunity
Responsibility Sales Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
6916	Service Existing						0	
6917	Service Extension						0	

Servicing Risk / Opportunity
Responsibility Office Processes

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7760	Send Service Offers	Send letters to existing customers to remind them that a service is due on their equipment	Computer/net work breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1W Audit 4W

Trace Ability / Recalls Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7826	Goods In Processes	To Receive Goods from Suppliers	incorrectly booked in not booked in	procedures Goods in notices	2	2	4	Task 1M Audit 3M

Trace Ability / Recalls Risk / Opportunity
Responsibility Production Processes

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

Weee Care Reporting

Risk / Opportunity
Requirement To Report

Weee Care Reporting

Requirement To Report Risk / Opportunity
Responsibility Warehouse Team Leader

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7904	Check Weee Waste Pallet And Sensor Bin	Check Weeee waste pallet and sensor bin, arrange collection if FULL	non	not applicable	1	1	1	Task 6M Audit 12M

Requirement To Report Risk / Opportunity
Responsibility Documentation And Records Controller

ID	Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7969	Weee Waste Reporting	To report official weee waste Weights we have placed in the Markets	Lose Certification to Weee Regulations	Rolling Task to perform task,	1	3	3	Task 12M Audit 12M