

Needs/Expectations/Risks/Opportunities of Interested Parties

Viamed Ltd 02 Oct 2017
Identified External Parties

Interested Partys Viamed Ltd 02 Oct 2017

External Party	Scope	Risks/Opportunities
Finance Banks	Banks and Financial Institutions Insurance Paypal Accountant Owners share holders	Service Debts Finance agreements Communications Payments to Suppliers Receipts From Customers Forbidden Countries
ISO Auditing Bodies	Certified / Notified Bodies British Standards	Audits Compliance Certificates Notifications Communications
Supplier	Suppliers of products and services UK and Export	product trace ability payments product feedback returns purchase orders Communications
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
MHRA	Medicines and Healthcare products Regulatory Agency - GOV.UK	Regulatory Agency Registrations Product certifications Technical Files CE EC Certifications 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 maintinance new equipment	Space Health safety Equipment Safety Access Communications Phone Systems Security General Maintenance
Internet Providers	Provide Key Services regarding the Internet outside of normal suppliers review Skype	email internet routing
Competitors	General Competitors to our products and services	

Finance Banks

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

Finance Banks

Communications Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 3M
Insurance Is Upto Date	Ensure the latest version of our Insurance / master indemnity letters are up to date	companies are uninsured	Rolling Issue before expiry date, Document expiry date UK Sales and Export Sales also have reminders set for this documentation	0	0	0	Task 12M
Business Continuity Plan	Business Continuity Plan	to wide to list here	plan in Place	1	1	1	Task 12M
Grants						0	

Communications Risk / Opportunity
Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 1M
Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	1	1	1	Task 1D
Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	1	Task 1W Audit 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Filing And Archiving	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	Train staff to take time and ensure it is filed in order	1	1	1	Task 1D Audit 1W
Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	1	1	1	Task 1D Audit 1W
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/netw ork breakdown	Ensure adequate IT equipment maintence	1	1	1	Task 1W Audit 1M
Franking Mail	Task to Frank outgoing Mail	Franking machine breakdown	Ensure franking machine receives regualr maintenance	1	1	1	Task 1D Audit 1D
Import Bank CSV	Download the most recent bank statement from the bank website	Computer/netw ork breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1D Audit 1W
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	1	1	1	Audit 3M
Distribution Of Faxes	Distribute recieved faxs	lost faxes	minimal risk			0	
Photocopying						0	
Filling Credit Card Slips						0	

Communications Risk / Opportunity
Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Vandagraph Pay Pay Retrieve Funds	To remove money from the P Ay 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	1	1	1	Task 1M
Internet	Internet Access for building(s)	Internet Fails	Have backup BT adsl if main internet line goes down	2	1	2	
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	
Management Meeting Turnover Report	Ensure the turnover report is accurate	Incorrect figures could be financially catastrophic	rolling issues	1	1	1	Task 1M Audit 12M

Communications Risk / Opportunity Responsibility Documentation And Records Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Documentation Control	Allocation of overall responsibility					0	

Communications Risk / Opportunity Responsibility Product Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Document Requirements						0	

Communications Risk / Opportunity Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1M
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.	2	1	2	Task 1M Audit 6M
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	1	1	1	Task 1W Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
End Of Year Reports For Accountants	The closing down of Opera at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	1	Task 12M
Accounts Issues	this is a very wide heading and is dealt with in other tasks	N/A	N/A			0	
Loans Between Companies						0	Task 1M

Finance Agreements Risk / Opportunity Responsibility EX Sales Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	1	2	Task 1M Audit 3M

Finance Agreements Risk / Opportunity Responsibility Documentation And Records Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M Audit 6M

Forbidden Countries Risk / Opportunity Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Checking Of Sales Orders	Process to check customer orders and enable picking	Human error in checking the order Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage	Order is checked by a different person to whom put it on the system in the first place.			0	

Payments To Suppliers Risk / Opportunity Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1W Audit 2W

Payments To Suppliers Risk / Opportunity Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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 Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M Audit 6M
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.	1	1	1	Task 1W Audit 12M
VAT Return	VAT return filled in on the HMRC Web site. The information for this is taken from intrastats and manual cashbooks and then filled in on the HMRC web site.	The VAT Return is not filled on time or at all. Or filled in incorrectly.	Issue sent to remind of this quarterly. The figure are found in intrastats so as to less the risk of error. The accountants check the VAT figures and returns quarterly for us.	2	3	6	Task 3M Audit 12M
Supplier Payments And Invoice Processing						0	Task 1W Audit 12M
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.	2	2	4	Task 1M Audit 24M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	2	4	Task 1M Audit 24M

Receipts From Customers Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1W Audit 1M
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.	1	1	1	Task 2W Audit 3M

Receipts From Customers Risk / Opportunity
Responsibility Office Processes

	Risk	Action	Level	Likely	Overall	Freq
	Com puter /netw ork break down	Ensure IT equipment is regularly maintained	1	1	1	Task 1D Audit 1W

	Risk	Action	Level	Likely	Overall	Freq
	Human Error leading to customer getting the wrong goods, Loss of customers	All orders are doubled checked via a different employee			0	
					0	
					0	
	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	1	1	1	Task 1D Audit 1W
	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	1	1	1	Task 1W Audit 1M

Receipts From Customers Risk / Opportunity
Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Fast Hosts Invoice	To Send Invoice for online services to Helen	No risks to system. Accounting excersise	Rolling Issue no audit required as Accounts will chase up for the invoice when they find they don't have it	1	1	1	Task 1M

Receipts From Customers Risk / Opportunity Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and opera reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	2	1	2	Task 1M Audit 12M
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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.	1	1	1	Task 1W Audit 24M
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.	1	1	1	Task 1M Audit 6M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Review The Delivered Not Invoiced Reports	This report allows us to add a figure to the end of month accounts. It is a report of suppliers delivered items that have not been invoiced and therefore do not show on the accounts but do show as in stock.	It is an internal adjustment that is reversed out at the end of the next month. The only real risk is the figure from the previous month is not adjusted out correctly.	This is check by the accountants.	1	1	1	Task 1M
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.	1	2	2	Task 6M Audit 12M
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Credits Processed	<p>A credit in Opera, either a part or in full -</p> <p>When either goods have been returned, re a sales invoice from a customer.</p> <p>An internal error has taken place and a sales invoice need to be re entered.</p> <p>On the purchasing if a supplier has sent a credit for goods or an error.</p>	<p>the wrong company or items could be credited.</p> <p>Customers could end up paying twice or not at all for somethings.</p>	double checking the information and limiting those who can process credits.	1	2	2	Task 1W Audit 12M
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
Issues For Accountants - P11D Form Re Benefits To Revenue And Customs	<p>This is a form concerning benefits the staff receive annually.</p> <p>An issue is sent annually to remind of this. We then contact the accountants and ask them to fill this in for us. They ask us about benefits and they fill it in for us. This is then sent to us for signing and posting.</p>	That we forget to fill it in.	Issue is sent annually.	1	1	1	Task 12M Audit 48M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Petty Cash Reconciliation	This is done annually, a report for the accountant. It shows the currency and amount that we have in the building at the last day of the year.	That the report is not done and therefore an accurate figure for the petty cash is not inputted into the system.	An issue is sent at the end of the year to remind.	1	1	1	Task 12M

ISO Auditing Bodies

Risk / Opportunity
Audits
Cerificates
Communications
Compliance
Notifications

ISO Auditing Bodies

Audits Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
MDALL Listings	Complete the CMDCAS Paperwork once per year to Keep the Licence to sell in Canada	no risks identified	non required, Rolling Issue to log paperwork - No audit required	0	0	0	Task 12M
Company Objectives	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	Document reviewed once a year			0	Task 12M
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	0	0	0	Task 12M
Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	4	Task 1M
Business Continuity Plan	Business Continuity Plan	to wide to list here	plan in Place	1	1	1	Task 12M
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.	1	1	1	Task 3M

Audits Risk / Opportunity
Responsibility Human Resources

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Training Records Review	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	Traning records, roles and titles	1	1	1	Task 3M Audit 6M

Audits Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	1	2	Task 2W
Management Meeting	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	Issue are added during the meeting so nothing gets missed. If needed meetings can be minuted.	1	1	1	Task 1M Audit 3M

Audits Risk / Opportunity
Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 1M
Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	1	1	1	Task 1D
Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	1	Task 1W Audit 1M

Audits Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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 Standards / Legislation Regular review of Technical file sections to research each affected standards when updated	2	2	4	Task 3M
Non Conformance Issues	To review any non conformances created during the previous month, and produce a non conformance report. Review history of non conformances and see if there has been any improvement.	Na	Na	1	1	1	Task 1M Audit 12M
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	1	1	1	Task 6M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	4	8	Task 2M Audit 12M

Audits Risk / Opportunity
Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	3	6	Task 2W Audit 12M
Off Site Backup	To take a copy of the important data off-site	now as its a backup process Back is unrestorable	Development server is off site and data is restored from the backup data to keep the development server upto date so backup data is regularly tested	1	1	1	Task 3D Audit 1M

Audits Risk / Opportunity
Responsibility Documentation And Records Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Documentation Control	Allocation of overall responsibility					0	

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M Audit 6M
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	1	1	1	Task 1M Audit 6M
Retention Of Records						0	

Audits Risk / Opportunity
Responsibility Product Controller

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

Audits Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 6M Audit 12M

Audits Risk / Opportunity Responsibility Audits

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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 Audit 12M
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
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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
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
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
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
Audit 10b Process Verification Viamed	To carry out Audit 10b Process Verification Viamed	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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
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
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
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
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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
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
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
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
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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
Audit 10b Process Verification VST	To carry out Audit 10b Process Verification VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M
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
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
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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
Audit 20 Process Verification To Management 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
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
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
Audit 23 Analysis Of Data VST	To carry out Audit 23 Analysis Of Data VST	That something may impede the Audit, so it cannot be carried out fully.	Investigate the process being carried out and ask questions of the staff performing the task.	1	2	2	Audit 12M

Compliance Risk / Opportunity
Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Ensure Procedures Are Up-to-date	Ensure procedures are relevant and up to date, update as required	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 12M Audit 12M

Compliance Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
FDA Device Establishment Registration And Listing	<p>FDA registration and the CMDCAS products</p> <p>In order to sell in the USA / Canada Markets products need to be registered with the FDA.</p>	<p>Its harder to initially get on teh register than maintaining it.</p> <p>Inability to sell products in North America</p>	Rolling Issue,	1	1	1	Task 12M

Supplier

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

Supplier

Communications Risk / Opportunity Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 1M
Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	1	1	1	Task 1D
Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	1	Task 1W Audit 1M

Payments Risk / Opportunity Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1W Audit 12M

Product Feedback Risk / Opportunity Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 2W
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.	1	1	1	Task 2W
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.	1	1	1	Task 1M Audit 1M
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.	1	1	1	Task 1M

Product Feedback Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	4	8	Task 2M Audit 12M

Product Trace Ability Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Review Roles And Responsibilities	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	4	Task 1M

Product Trace Ability Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1W Audit 2M
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	4	Task 1D
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.	1	1	1	Task 1D

Purchase Orders Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1W Audit 1M
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 communication s between Viamed and the supplier.	1	1	1	Task 2W
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 communication s between Viamed and the supplier.	1	1	1	Task 2W
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 communication s between Viamed and the supplier.	1	1	1	Task 2W
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 communication s between Viamed and the supplier.	1	1	1	Task 2W

Purchase Orders Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Supplier Review	Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Supplier certificates go out of date, or they lose ISO standards and we`re unaware	rolling task to do the supplier review	1	1	1	Task 12M Audit 12M

Returns Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	01	1	1	Task 1W Audit 1M
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	1	1	1	Task 2W Audit 1M
Current Repairs	The repairs that are currently in the building.	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.	1	1	1	Task 1W
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	1	1	1	Task 2W Audit 1M

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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 3W
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.	1	1	1	Task 3W

Account Maintenance Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Repairs Ready For Quote	Process Repairs Ready For Quote	No risks	N/a	0	0	0	Task 2D
Repairs Ready For Invoice	Process Invoice for completed repairs	non	n/a	0	0	0	Task 2D

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	1	2	Task 2W
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.	1	1	1	Task 1W
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.	1	1	1	Task 2W Audit 3M
Check Order Are Being Picked In Priority Order	Check order are being picked in order of priority and date.	Orders going at before more urgent ones	Issues, Audit and visual checks.	2	1	2	Task 1W Task 2D Audit 1M
Orders And Items Shipped Per Month	Review the orders and items shipped per month	Problem with report	Review regularly	1	1	1	Task 1M Audit 3M
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Adding New Accounts To Opera	Adding customer accounts to account management software	Incorrect entry of account number (Unusable account) Computer breakdown Broadband connection issues Server breakdown Router/hub/switch breakdown Network cabling breakage License expiry	Staff trained in accuracy Orders checked for errors on processing	1	1	1	Audit 12M
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	1	1	1	Audit 1M
Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	1	1	1	Task 1D
Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	1	1	1	Task 1D Audit 1W

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
West Yorkshire Ambulance Stock	<p>Viamed has a consignment stock with West Yorkshire Ambulance,</p> <p>We scan stock to a shelf, then send them the consignment stock</p> <p>As and when they use stock each week we do a rational and invoice them for the used stock and replenish the consignment stock.</p> <p>WYA Stock check via the website.</p> <p>We can now check their stock agrees with ours.</p>	<p>Synchronisation Fails</p> <p>Stock shortage</p>	<p>Regular Office checks on the synchronisation of the consignment shelf against the website.</p> <p>Stock levels taken care of in the stock review.</p>	1	1	1	Task 1W Audit 1M
Proforma And Quote Chasing	Chase outstanding Quotes and Proformas	Computer/net work breakdown	Ensure IT equipment is regularly maintained. Customers can be called if necessary	1	1	1	Task 1D Audit 1M
Check Cardea And Multiquote	Checking the Cardea and Multiquote websites for outstanding orders or requests	Computer/net work breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1W Audit 1M
Check For Humanmed Orders In Logistics Mailbox	Checking the mailbox from within the main inbox for outstanding Humanmed orders.	Computer/net work breakdown	Rolling issue and Audit Ensure IT equipment is regularly maintained	1	1	1	Task 1W Audit 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
PDFing Of Invoices	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	Invoices visually checked prior to send to customers.	1	1	1	Task 1D Audit 1W
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	1	1	1	Task 1D Audit 1W
Check Catalog 360 Circle For Quotes And Orders	Checking the Catalog 360 Circle website for outstanding orders or requests	Computer/net work breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1W Audit 1M
Humanmed Invoicing	Ensure invoices are generated for shipped orders	Computer/net work breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1D Audit 1M
Review Inward Payments	Review the payments received to ensure proformas can be shipped	Computer/net work breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1D Audit 1W
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/net work breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1W Audit 1M

Account Maintenance Risk / Opportunity
Responsibility OEM Sales Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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,	1	1	1	Task 1M Audit 3M

Account Maintenance Risk / Opportunity
Responsibility Goods Out

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Check Repair Orders	Check the orders against the customer paperwork, that we have generated, for the repair we have received in.	That details will be incorrect and it will affect the customer. That mistakes may be missed.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	4	Task 1D
Check Repair Quotes	Check the quotes that we send out for the repairs we have received in.	That mistakes may be missed. That details will be incorrect and it will affect the customer.	Double checking of work is carried out, as per this issue. Issues and reviews.	2	2	4	Task 1D
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.	1	1	1	Task 1D
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.	1	1	1	Task 1D Audit 1M

Account Maintenance Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 6M Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	3	1	3	Task 2W Audit 3M
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	1	1	1	Task 1W Audit 12M
Bank Details Opera Reports Entered Intrastats	Enter the current bank account details and opera reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	2	1	2	Task 1M Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
Credits Processed	A credit in Opera, either a part or in full - When either goods have been returned, re a sales invoice from a customer. An internal error has taken place and a sales invoice need to be re entered. On the purchasing if a supplier has sent a credit for goods or an error.	the wrong company or items could be credited. Customers could end up paying twice or not at all for somethings.	double checking the information and limiting those who can process credits.	1	2	2	Task 1W Audit 12M
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.	1	1	1	Task 1W
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.	1	1	1	Task 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1W Audit 24M
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.	1	1	1	Task 1M Audit 6M

Account Maintenance Risk / Opportunity Responsibility Vandagraph

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 1M

Agreements Risk / Opportunity Responsibility EX Sales Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	1	2	Task 1M Audit 3M

Agreements Risk / Opportunity Responsibility Product Controller

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

Communications Risk / Opportunity Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 3M
Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	1	Task 1W Audit 1M
Filing And Archiving	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	Train staff to take time and ensure it is filed in order	1	1	1	Task 1D Audit 1W

ISO Standards Risk / Opportunity Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	0	0	0	Task 12M
Company Objectives	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	Document reviewed once a year			0	Task 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	4	Task 1M
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.	1	1	1	Task 3M

ISO Standards Risk / Opportunity Responsibility Human Resources

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Training Records Review	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	Traning records, roles and titles	1	1	1	Task 3M Audit 6M

ISO Standards Risk / Opportunity Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M Audit 6M
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.	2	4	8	Task 2M Audit 12M

ISO Standards Risk / Opportunity Responsibility Documentation And Records Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M Audit 6M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 2W
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.	1	1	1	Task 1M

Order Fulfillment / Accuracy Risk / Opportunity
Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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/netw ork breakdown	Ensure adequate IT equipment maintence	1	1	1	Task 1W Audit 1M
Send Purchase Orders To Suppliers	Emailing purchase orders to suppliers	Computer/netw ork breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1D Audit 1W
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	1	1	1	Task 1W Audit 1W

Product Compliance Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1M Audit 1M

Product Compliance Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 6M

Product Disposal Risk / Opportunity
Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
SRS Folder	Ensure all outstanding repairs are being dealt with	Computer/netw ork breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1M Audit 1M
Processing Depleted Sensors	Dispose of depleted oxygen sensors and send customer replacement disposal bags	Sensors are not handled correctly	Ensure all staff performing the task wear designated gloves	1	1	1	Task 1W Audit 1W

Servicing Risk / Opportunity
Responsibility Office Processes

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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	1	2	Audit 1W

Trace Ability / Recalls Risk / Opportunity
Responsibility Warehouse Team Leader

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

Trace Ability / Recalls Risk / Opportunity
Responsibility Production Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	4	4	Task 1M Audit 3M
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	1	2	2	Task 1M Audit 3M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1M Audit 3M

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

		Risk	Action	Level	Likely	Overall	Freq
		Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1W

Backups Risk / Opportunity
Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Off Site Backup	To take a copy of the important data off-site	now as its a backup process Back is unrestorable	Development server is off site and data is restored form the backup data to keep the development server upto date so backup data is regularly tested	1	1	1	Task 3D Audit 1M
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.	2	3	6	Task 2W Audit 12M
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	1	1	1	Task 2W Audit 3M
General Computer Maintenance						0	

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Management Meeting Review Weekly Meeting	Non Minuted Management discussions on issues	n/a	n/a	0	0	0	Task 1W

Communications Risk / Opportunity
Responsibility Human Resources

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	3	3	Task 1M
Training Records Review	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	Traning records, roles and titles	1	1	1	Task 3M Audit 6M

Communications Risk / Opportunity
Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 1M
Distribution Of Mail	Distibuting incoming post to correct person	Royal Mail fail to deliver post	N/A	1	1	1	Task 1D
Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	1	Task 1W Audit 1M
Answering Website Questions	Answering any questions that are asked via the website from within Intrastats	Computer/netw ork breakdown	Ensure IT equipment is maintained	1	1	1	Task 1D Audit 1M
Answering UK Web Questions	Answering any questions that are asked via the website from within Intrastats	Computer/netw ork breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1D
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	1	1	1	Audit 3M
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	1	1	1	Task 1W Audit 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Emailing Of Invoices	Invoices are emailed to customers	Computer or network failure	Ensure smooth running of IT equipment. Invoices can be posted if necessary	1	1	1	Task 1D Audit 1W

Communications Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 6M

Communications Risk / Opportunity
Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
AWS Amazon Web Services	Amazon Web Services, is an online service, which basically simply provides a Linux PC out on the Web. Viamed uses this, for Web development of Websites: It hosts a working backup of many websites. Viamed / vst / vandagraph etc..	No risks as its used for development and backups of working websites	n/a	1	1	1	Task 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
Domain Name Management	Maintain Domains for websites	Loss of website presense	rolling Issue to check domains	1	1	1	Task 1M

Communications Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
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	1	1	1	Task 1W Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	4	Task 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
7.1.4 Environment Of Operations	Determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services.	no risk. to the process, however risk maybe some problems may be brought up that are better left un-brought up, which may result in loss of staff while dealing with a problem that is suddenly brought to light that was better not addressed.	n/a	1	1	1	Task 12M
Company Resources	Overview of the Company using various data Reporting Screens	non	non	1	1	1	Task 3M

Computer Maintenance Risk / Opportunity
Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1W Audit 1M
Intrastats Amendment Log	Intrastat Changes updates. Logging system to enable roll back should anything break	Non, The updates are automatically logged and stored for easy retrieval. This process is simply to add notes to new updates	Rolling Issue to add notes	1	1	1	Task 1W
Fast Hosts Invoice	To Send Invoice for online services to Helen	No risks to system. Accounting excersise	Rolling Issue no audit required as Accounts will chase up for the invoice when they find they don't have it	1	1	1	Task 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M
Intrastats Cross Reference Database Tables Updates	Update the online Cross reference guides with latest intrastats data.	n/a database maintenance	n/a	1	1	1	Task 1M Audit 3M
Computer Failure Diagnostics	To Keep The computer systems running within the organisation. This is a reactionary process so there is no rolling tasks associated	Staff unable to do the Work. Internet Failure.	Most Staff can use other Systems is theirs goes down. a Backup link is available for using the systems without internet,	3	1	3	

Computer Maintenance Risk / Opportunity
Responsibility Health And Safety Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
P.A.T. Testing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	3	Task 48M

Databases Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	0	0	0	Task 3M Audit 12M
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 6M

Databases Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

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

Databases Risk / Opportunity
Responsibility Maintenance Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M Audit 6M

Holidays Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	0	0	0	Task 12M

Holidays Risk / Opportunity
Responsibility Human Resources

Descripti on	Scope	Risk	Action	Level	Likely	Overall	Freq
Personn el Holidays And Time Adjustme nts	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	

Holidays Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Staff Training	To check that any training that has been done is valid and then checked off the training record.	That training has not been signed off. Or is not up to date.	Intrastats flags up unverified training. Issues are sent to remind staff to up date their training records.	1	1	1	Task 1W Audit 3M

Personnel Manual Risk / Opportunity
Responsibility Human Resources

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Health Declaration Sheet	Information from the staff that would be used in case of emergency health issue. These are filled in by staff and filled securely.	That information is not up to date or received.	Regular issue and review of forms not returned.	1	3	3	Task 12M

Personnel Manual Risk / Opportunity
Responsibility Health And Safety Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Risk Assessment HSE	Update the Site HSE file	non	n/a	1	1	1	Task 12M

Staff

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

Staff

Communications Risk / Opportunity Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Company Objectives	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	Document reviewed once a year			0	Task 12M
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	0	0	0	Task 12M

Communications Risk / Opportunity Responsibility Human Resources

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Health Declaration Sheet	Information from the staff that would be used in case of emergency health issue. These are filled in by staff and filled securely.	That information is not up to date or received.	Regular issue and review of forms not returned.	1	3	3	Task 12M
Personnel 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	
Training Records Review	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	Traning records, roles and titles	1	1	1	Task 3M Audit 6M

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

Communications Risk / Opportunity
Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M
Team Review Meeting	A meeting is arranged between the office team leader and their team either as a group or individually when necessary	Computer/network breakdown	Ensure IT equipment is regularly maintained	1	1	1	Task 1M

Communications Risk / Opportunity
Responsibility Health And Safety Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Fire Alarms	To ensure the fire alarms, MPC (manual call points), fire extinguishers and emergency lights are all in place, working and tested regularly. The log booked filled in. Tested by Keybury (alarms and emergency lights) annually and Airedale Fire protection (Fire extinguishers) annually. Evacuation Drills to check staff readiness.	If these checks are not carried out correctly and we have a fire then we are less prepared and this puts staff at risk.	Testing done regularly as per supplier recommendations. Issue sent to remind of testing and monitoring.	1	4	4	Task 6M
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
Risk Assessment HSE	Update the Site HSE file	non	n/a	1	1	1	Task 12M

Communications Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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
Staff Training	To check that any training that has been done is valid and then checked off the training record.	That training has not been signed off. Or is not up to date.	Intrastats flags up unverified training. Issues are sent to remind staff to up date their training records.	1	1	1	Task 1W Audit 3M

Health And Safety Risk / Opportunity
Responsibility Human Resources

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 6M

Health And Safety Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Clean Toilets	Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	Dirty and unhygienic bathrooms. Inadequate supply of cleaning products.	Ensure the toilets are tidy, bins etc, so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	1	Task 3W

Health And Safety Risk / Opportunity
Responsibility Maintenance Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Central Heating For Winter	Reset the Heating for Winter	Building too hot / cold	rolling Issues	1	1	1	Task 12M

Health And Safety Risk / Opportunity
Responsibility Health And Safety Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
P.A.T. Testing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	3	Task 48M

Organisation Structure Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Management Reviews And Quality Audits	To review and Close all automatic rolling Issues. Including all rolling tasks and audits	no risks identified	not applicable	1	1	1	Task 1W
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
Review Roles And Responsibility	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	4	Task 1M

Organisation Structure Risk / Opportunity Responsibility ISO Controller

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

Government E.G. HMRC

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

Government E.G. HMRC

Communications Risk / Opportunity Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 1M
Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	1	1	1	Task 1D
Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	1	Task 1W Audit 1M
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	1	1	1	Audit 3M

Communications Risk / Opportunity Responsibility Maintenance Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Weights Per Region Needed To Submit EC Sales List	Filling in HMRC data requires Weights and dimensions per region in the EC This process ensures all the data is in place for the report	Fines for late submission	Rolling Monthly Issue to complete the data	1	1	1	Task 1M Audit 12M
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.	1	1	1	Task 1W
HMRC Intrastats Sales Data	HMRC Intrastats Sales Data. Information is taken from intrastats and then uploaded and filled in on the two HMRC web site. VAT and EC sales site and Supplementary date site.	The forms are not filled on time or at all. They are filled in incorrectly.	Issue sent to remind of this monthly, The information comes straight out of intrastats so this reduces the risk of error. When uploading the site check the data as it is entered.	1	2	2	Task 1M Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
VAT Return	VAT return filled in on the HMRC Web site. The information for this is taken from intrastats and manual cashbooks and then filled in on the HMRC web site.	The VAT Return is not filled on time or at all. Or filled in incorrectly.	Issue sent to remind of this quarterly. The figure are found in intrastats so as to less the risk of error. The accountants check the VAT figures and returns quarterly for us.	2	3	6	Task 3M Audit 12M

Notifications Risk / Opportunity
Responsibility Managing Director

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

Notifications Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 6M Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
End Of Year Reports For Accountants	The closing down of Opera at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	The accountant reviews all end of year accounts.	1	1	1	Task 12M

Pay Roll Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Review Roles And Responsibilitys	Ensure All tasks allocated to active Members of staff,	That not all jobs will be allocated to a member of staff. That we may not share out jobs in a appropriate way. Risk of being over faced.	Regular meetings and feed back. Review of relevant issues.	2	2	4	Task 1M

Pay Roll Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Journals For The End Of Month Accounts	Journal to add items in to Opera that are not included in the scope of the sales and purchase ledger.	That journal will be entered incorrectly.	Double checking work. Checking the figure match at the end of month close.	1	1	1	Task 1M Audit 12M
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.	1	1	1	Task 1M Audit 12M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Descripti on	Scope	Risk	Action	Level	Likely	Overall	Freq
Manage ment Reviews And Quality Audits	To review and Close all automati c rolling Issues. Including all rolling tasks and audits	no risks identified	not applicable	1	1	1	Task 1W
Review Ethical Policy	Review the current Ethical Policy in intrastats	That somethin g 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

Descripti on	Scope	Risk	Action	Level	Likely	Overall	Freq
Supplier Review - Outstan ding Orders	Orders that have not been supplied in the time scale provided .	That good will be delayed and therefore not available to custome rs.	Regular contact with the suppliers.	1	1	1	Task 2W

Product Compliance Risk / Opportunity
Responsibility Marketing Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1M Audit 3M

Product Compliance Risk / Opportunity
Responsibility Documentation And Records Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M Audit 6M

Sales Region Reporting Risk / Opportunity
Responsibility Marketing Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 3M Audit 3M

Sales Region Reporting Risk / Opportunity
Responsibility Product Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Yearly Pricing Review	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	Regular reviews and research.	2	2	4	Task 12M Audit 12M

Sales Region Reporting Risk / Opportunity
Responsibility Accounts Processes

		Action	Level	Likely	Overall	Freq
		Rolling Issue. Remote access available to perform shut down remotly if away from office.	1	1	1	Task 1M Audit 3M
		Copy and paste figures so there is less risk of mistyping. Issues to remind us to enter the figures.	2	1	2	Task 1M Audit 12M

		Action	Level	Likely	Overall	Freq
		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.	1	4	4	Task 1M Audit 12M

Tax / Vat Risk / Opportunity
Responsibility Accounts Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 1W Audit 12M
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.	1	1	1	Task 1W Audit 24M

MHRA

Risk / Opportunity
CE EC Certifications
Communications
Product Certifications
Registrations
Regulatory Agency
Technical Files

MHRA

CE EC Certifications Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
MHRA Licences And Notifications						0	
Management Reviews And Quality Audits	To review and Close all automatic rolling Issues. Including all rolling tasks and audits	no risks identified	not applicable	1	1	1	Task 1W

CE EC Certifications Risk / Opportunity
Responsibility Warehouse Team Leader

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 1M Audit 3M

CE EC Certifications Risk / Opportunity
Responsibility ISO Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	4	8	Task 2M Audit 12M

Communications Risk / Opportunity
Responsibility Managing Director

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Task 1M

Communications Risk / Opportunity Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 3M
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	1	1	1	Audit 1M
Distribution Of Mail	Distributing incoming post to correct person	Royal Mail fail to deliver post	N/A	1	1	1	Task 1D
Fax Paper	Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Phone lines go down The paper tray is empty	Set task and audit to ensure there is always paper in the fax machine	1	1	1	Task 1W Audit 1M

Technical Files Risk / Opportunity Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Intrastats Amendmen t Log	Intrastat Changes updates. Logging system to enable roll back should anything break	Non, The updates are automatical ly logged and stored for easy retrieval. This process is simply to add notes to new updates	Rolling Issue to add notes	1	1	1	Task 1W

Physical Sites

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

Physical Sites

Communications Risk / Opportunity Responsibility Office Processes

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	1	1	1	Audit 3M

Communications Risk / Opportunity Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	2	3	6	Task 2W Audit 12M
Off Site Backup	To take a copy of the important data off-site	now as its a backup process Back is unrestorable	Development server is off site and data is restored form the backup data to keep the development server upto date so backup data is regularly tested	1	1	1	Task 3D Audit 1M

Equipment Safety Risk / Opportunity
Responsibility Maintenance Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
General Maintenance Requirements	Review any General Maintenance required on the physical Site(s)	no risks	n/a	1	1	1	Task 3M

Equipment Safety Risk / Opportunity
Responsibility Health And Safety Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
P.A.T. Testing	Examination of electrical appliances and equipment to ensure they are safe to use	Missed items not tested. Tests not carried out regularly.	Issues to instruct when tests are due and a log in the system of what was done when and by whom.	1	3	3	Task 48M

Equipment Safety Risk / Opportunity
Responsibility Repairs Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Clean Toilets	Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	Dirty and unhygienic bathrooms. Inadequate supply of cleaning products.	Ensure the toilets are tidy, bins etc, so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	1	Task 3W
Gents Toilets	Bleech the Gents Toilets	n/a	n/a	1	1	1	Task 1M Audit 1M

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Sweep Warehouse	Cleaning of floors. Tidying so as to clean more effectively.	Dirty and unhygienic work space. Inadequate supply of cleaning products.	Ensure area is tidy so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	1	Task 1W Audit 1M
Hoover Warehouse	Cleaning of floors. Tidying so as to clean more effectively.	Dirty and unhygienic work space. Inadequate supply of cleaning products.	Ensure area is tidy so it can be cleaned. Carry out the cleaning issue when received. Cleaning product supplies are maintained.	1	1	1	Task 1W Audit 1M

General Maintenance Risk / Opportunity
Responsibility Maintenance Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Boiler Check	Get Boiler / Heating Checked / Serviced before Winter	no risks	n/a	1	1	1	Task 12M
Central Heating For Winter	Reset the Heating for Winter	Building too hot / cold	rolling Issues	1	1	1	Task 12M
Check Out Side Drain	Check outside drain is not BLocked	n/a	n/a	1	1	1	Task 3M
Clearing Water Downstairs	Check the Archives for Signs of Water, ensure the pump is working	n/a	n/a	1	1	1	Task 1M
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
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
Fire Alarms	To ensure the fire alarms, MPC (manual call points), fire extinguishers and emergency lights are all in place, working and tested regularly. The log booked filled in. Tested by Keybury (alarms and emergency lights) annually and Airedale Fire protection (Fire extinguishers) annually. Evacuation Drills to check staff readiness.	If these checks are not carried out correctly and we have a fire then we are less prepared and this puts staff at risk.	Testing done regularly as per supplier recommendations. Issue sent to remind of testing and monitoring.	1	4	4	Task 6M
Risk Assessment HSE	Update the Site HSE file	non	n/a	1	1	1	Task 12M

Health Safety Risk / Opportunity
Responsibility Human Resources

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	2	2	Task 6M

Health Safety Risk / Opportunity
Responsibility Health And Safety Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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
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

Phone Systems Risk / Opportunity Responsibility Audits

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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.	1	1	1	Task 2W

Internet Providers

Risk / Opportunity
Email
Internet
Routing

Internet Providers

Email Risk / Opportunity
Responsibility IT Controller

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	
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

Description	Scope	Risk	Action	Level	Likely	Overall	Freq
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	
Guest Access Wifi	Backup Internet Connection	Na as this is a backup to the main system	na	1	1	1	Task 1M Audit 3M

Competitors

Risk / Opportunity

Competitors