

Internal Audit Check list			
Contract Review and Sales Order Processing			
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Audit Date	18-9-18	Auditor Helen Lamb	

Vamed +  
VST

#### SCOPE

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 5.1.2	<b>Customer focus</b> 5.1.2 Customer focus Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that: a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met; b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; c) the focus on enhancing customer satisfaction is maintained.	
VST Ltd ISO9001:2015 8.2.1	<b>Customer communication</b> Communication with customers shall include: a) providing information relating to products and services; b) handling enquiries, contracts or orders, including changes; c) obtaining customer feedback relating to products and services, including customer complaints; d) handling or controlling customer property; e) establishing specific requirements for contingency actions, when relevant.	
VST Ltd ISO9001:2015 8.2.2	<b>Determining the requirements for products and services</b> When determining the requirements for the products and services to be offered to customers, the organization shall ensure that: a) the requirements for the products and services are defined, including: 1) any applicable statutory and regulatory requirements; 2) those considered necessary by the organization; b) the organization can meet the claims for the products and services it offers.	
VST Ltd ISO9001:2015 8.2.3.1	The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The organization shall conduct a review before committing to supply	



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	<p>products and services to a customer, to include:</p> <p>a) requirements specified by the customer, including the requirements for delivery and postdelivery activities;</p> <p>b) requirements not stated by the customer, but necessary for the specified or intended use, when known;</p> <p>c) requirements specified by the organization;</p> <p>d) statutory and regulatory requirements applicable to the products and services;</p> <p>e) contract or order requirements differing from those previously expressed.</p> <p>The organization shall ensure that contract or order requirements differing from those previously defined are resolved.</p> <p>The customers requirements shall be confirmed by the organization before acceptance, when the customer does not provide a documented statement of their requirements.</p> <p>NOTE In some situations, such as internet sales, a formal review is impractical for each order. Instead, the review can cover relevant product information, such as catalogues.</p>	
VST Ltd ISO9001:2015 8.2.3.2	<p>The organization shall retain documented information, as applicable:</p> <p>a) on the results of the review;</p> <p>b) on any new requirements for the products and services.</p>	
VST Ltd ISO9001:2015 8.2.4	<p>Changes to requirements for products and services</p> <p>The organization shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.</p>	
Viamed Ltd ISO13485:2016 5.2	<p><b>Customer focus</b></p> <p>Top management shall ensure that customer requirements and applicable regulatory requirements are determined and met.</p>	
Viamed Ltd ISO13485:2016 7.2.1	<p><b>Determination of requirements related to product</b></p> <p>The organization shall determine:</p> <p>a) requirements specified by the customer, including the requirements for delivery and postdelivery activities;</p> <p>b) requirements not stated by the customer but necessary for specified or intended use, as known;</p> <p>c) applicable regulatory requirements related to the</p>	



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	<p>product;</p> <p>d) any user training needed to ensure specified performance and safe use of the medical device;</p> <p>e) any additional requirements determined by the organization</p>	
Viamed Ltd ISO13485:2016 7.2.2	<p><b>Review of requirements related to product</b></p> <p>The organization shall review the requirements related to product. This review shall be conducted prior to the organization's commitment to supply product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that:</p> <p>a) product requirements are defined and documented;</p> <p>b) contract or order requirements differing from those previously expressed are resolved;</p> <p>c) applicable regulatory requirements are met;</p> <p>d) any user training identified in accordance with 7.2.1 is available or planned to be available;</p> <p>e) the organization has the ability to meet the defined requirements.</p> <p>Records of the results of the review and actions arising from the review shall be maintained (see 4.2.5).</p> <p>When the customer provides no documented statement of requirement, the customer requirements shall be confirmed by the organization before acceptance.</p> <p>When product requirements are changed, the organization shall ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements.</p>	
Viamed Ltd ISO13485:2016 7.2.3	<p><b>Communication</b></p> <p>The organization shall plan and document arrangements for communicating with customers in relation to:</p> <p>a) product information;</p> <p>b) enquiries, contracts or order handling, including amendments;</p> <p>c) customer feedback, including complaints;</p> <p>d) advisory notices.</p> <p>The organization shall communicate with regulatory authorities in accordance with applicable regulatory requirements.</p>	
Viamed Ltd ISO13485:2016 8.2.4	<p><b>Internal audit</b></p> <p>The organization shall conduct internal audits at planned intervals to determine whether the quality management system:</p> <p>a) conforms to planned and documented arrangements, requirements of this International Standard,</p>	



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	<p>quality management system requirements established by the organization, and applicable regulatory requirements;</p> <p>b) is effectively implemented and maintained.</p> <p>The organization shall document a procedure to describe the responsibilities and requirements for planning and conducting audits and recording and reporting audit results.</p> <p>An audit program shall be planned, taking into consideration the status and importance of the processes</p> <p>and area to be audited, as well as the results of previous audits. The audit criteria, scope, interval and methods shall be defined and recorded (see 4.2.5). The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.</p> <p>Records of the audits and their results, including identification of the processes and areas audited and the conclusions, shall be maintained (see 4.2.5).</p> <p>The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes. Follow-up activities shall include the verification of the actions taken and the reporting of verification results.</p> <p>NOTE Further information can be found in ISO 19011.</p>	
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INTERNAL AUDIT CHECKLIST / QUESTIONNAIRE		
DATE:	AUDITOR:	AUDIT PROCEDURE
	Audit No 02 Contract Review and Sales Order Processing	COP's 03, 20.5  ISSUE ID:
QUESTION:	RESPONSE:	Y/N
Review Last years Audit Are all follow on Issue resolved satisfactory?	#103237 from 2017 Audits Done	Y
Are Telephone orders being logged in the call log correctly	6164 ✓ 6158 ✓ 6081 ✓ #128252 -	Y
Are Contact Details being updated in the system correctly Check 5 of this weeks Invoices: Check the Invoice, ORD customer paperwork and CRM are correct. Stamped, initialled and dated correctly 1. IN158768 - 2191 - Princess Royal 2. IN158751 - 2609 - Lincoln 3. IN158728 - 14072 - SHA 4. VST1N01095 - VST011 Newark 5. VST1N01096 - VST0004 Envitec	ORD94120 ✓ ORD94101 ✓ ORD94032 ✓ VSORD1001 ✓ VSORD1002 ✗ NO CRM	Reminder sent more details #128418 Details
ORD File(s) are in ORD number order and archived correctly		Y
Quotes and proformas file used correctly check 3 of each, Box size where relevant, checked as per order, stamped emailed and dated. - check any over the limit set in vm3COP03 have been signed by a director. Quotes 1. QU005474 ✓✓ No box size 2. QU005447 ✓✓ 3. QU005432 ✓✓ No box size Proformas 1. PRO05210 ✓✓ ✓ 2. PRO05206 ✓✓ ✓ 3. PRO05197 ✓✓ No box size	No Quotes for VST VS PRO000011 ✓✓ ✓	Y

#### Sub Processes Linked to Audit 02

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

### Product Controller

Process Scope	Roll Task	Roll Audit	Risk/Freq/Ove	Action	Notes / Issues
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#### PROCESSID 5905

Check we have constant pricing across the different databases

418

Director 3 (Steve)

Managing Director

rall

Risk 3

Task 1M

Freq: 1

Audit 3M

Overall 3

#### PROCESSID 7697

To review the current pricing and impact of increases

501

Director 3 (Steve)

502

Managing Director

Risk 1

Task 12M

Freq: 2

Audit 12M

Overall 2

### Sales Controller

#### Process Scope

#### PROCESSID 7801

To review the current pricing and impact of increases

Roll Task

653

Office Processes

Roll Audit

654

Director 3 (Steve)

Risk/Freq/Ove

rall

Risk 1

Task 12M

Freq: 2

Audit 12M

Overall 2

Action

Notes / Issues

### Humanmed Controller

#### Process Scope

#### PROCESSID 7670

Review of Humanmed sales and orders and clear any duplicates or problems.

Roll Task

611

Office Processes

Roll Audit

Risk/Freq/Ove

rall

Risk 3

Task 1M

Freq: 1

Overall 3

#### PROCESSID 7782

Remove Started But Not Used Order Numbers from intrastats.

770

Managing Director

Risk 2

Task 3M

Freq: 1

Overall 2

Action

Notes / Issues

### UK Sales Force

#### Process Scope

#### PROCESSID 5871

Review the Sale or Return list in intrastats. Ensure it is up to date.

Roll Task

292

UK Sales Controller

Roll Audit

293

Managing Director

Risk/Freq/Ove

rall

Risk 3

Task 1M

Freq: 2

Audit 3M

Overall 6

#### PROCESSID 5876

To Collect E.Commerce Cardea And Multiquote Orders

361

Risk 5

Freq: 1

Overall 5

Action

Notes / Issues

### EX Sales Force

#### Process Scope

#### PROCESSID 5872

Review the Sale or Return list in intrastats. Ensure it is up to date.

Roll Task

291

EX Sales Controller

Roll Audit

293

Managing Director

Risk/Freq/Ove

rall

Risk 3

Task 1M

Freq: 2

Audit 3M

Overall 6

Action

Notes / Issues



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## OEM Sales Controller

### Process Scope

#### PROCESSID 7808

To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes

### Roll Task

127131 ✓  
670  
Managing Director

### Roll Audit

123629 ✓  
704  
Director 3 (Steve)

### Risk/Freq/Overall

Risk 3  
Freq: 1  
Overall 3

### Action

Task 1M  
Audit 3M

### Notes / Issues

## Audits

### Process Scope

#### PROCESSID 7715

To carry out Audit 02 Contract Review Viamed

### Roll Task

### Roll Audit

36  
Company Secretary  
*This Audit*

### Risk/Freq/Overall

Risk 1  
Freq: 2  
Overall 2

### Action

Audit 12M

### Notes / Issues

#### PROCESSID 7763

To carry out Audit 02 Contract Review VST

187  
Company Secretary  
*This Audit*

Risk 1  
Freq: 2  
Overall 2

Audit 12M

## Vandagraph

### Process Scope

#### PROCESSID 7791

Changing of the prices lists without informing the sales team.  
Issue to check these are current

### Roll Task

127499 ✓  
636  
EX Sales Controller

### Roll Audit

### Risk/Freq/Overall

Risk 3  
Freq: 2  
Overall 6

### Action

Task 1M

### Notes / Issues

\*Vandagraph is not an ISO company

## Office Processes

### Process Scope

#### PROCESSID 2

Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call

### Roll Task

### Roll Audit

127196 ✓  
668  
Managing Director

### Risk/Freq/Overall

Risk 2  
Freq: 1  
Overall 2

### Action

Audit 3M

### Notes / Issues

#### PROCESSID 14

Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the

367  
Office Processes  
*NO process*

411  
Office Processes  
*NO process*

Risk 4  
Freq: 1  
Overall 4

Task 1W  
Audit 1M



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fax machine

PROCESSID 36

Invoices are emailed to customers

430

Office Processes

362

Company

Risk 4

Task 1W

Freq: 1

Audit 1W

Overall 4

PROCESSID 37

Viamed has a consignment stock with West Yorkshire Ambulance,

348

Office Processes

349

UK Sales

Risk 4

Task 1W

Freq: 1

Audit 1M

Overall 4

We scan stock to a shelf, then send them the consignment stock

As and when they use stock each week we do a rational and invoice them for the used stock and replenish the consignment stock.

WYA Stock check via the website.

We can now check their stock agrees with ours.

PROCESSID 5875

Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox

239

Office Processes

401

Managing Director

Risk 4

Task 1W

Freq: 1

Audit 1M

Overall 4

PROCESSID 5882

Humanedmed post is received, it needs to be forwarded to Humanmed UK Sales Manager

382

Office Processes

383

Office Processes

Risk 4

Task 1W

Freq: 1

Audit 4W

Overall 4

PROCESSID 5891

To process the Repair Quotes And Orders as they come in.

536

Company Secretary

Risk 3

Audit 2M

Freq: 1

Overall 3

PROCESSID 5892

Checking the eBay and Amazon accounts for orders that have not been emailed to the main inbox and checking to see if there are messages or questions.

397

Office Processes

398

Office Processes

Risk 5

Task 1D

Freq: 1

Audit 1M

Overall 5

PROCESSID 5893

Answering any questions that are asked via the website from within Intrastats

395

Office Processes

396

Company Secretary

Risk 5

Task 1D

Freq: 1

Audit 1M

Overall 5

PROCESSID 5895

Task to Frank outgoing Mail

776

Office Processes

777

Managing Director

Risk

Task 1W

Freq:

Audit 1M

Overall

PROCESSID 5897

Task to Frank outgoing Mail

564

Goods Out

568

Office Processes

Risk 5

Task 1D

Freq: 1

Audit 1D

Overall 5

PROCESSID 5899

409

410

Risk 5

Task 1D



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Chase outstanding Quotes and Proformas	Office Processes	Managing Director	Freq: 1 Overall 5	Audit 1M
PROCESSID 5913	465 ✓	466 ✓	Risk 4	Task 1W
Checking the mailbox from within the main inbox for outstanding Humanmed orders.	Office Processes	Office Processes	Freq: 1 Overall 4	Audit 1M
PROCESSID 5943	530 ✓	279 ✓	Risk 4	Task 1W
Checking the Cardea and Multiquote websites for outstanding orders or requests	Office Processes	Office Processes	Freq: 1 Overall 4	Audit 1M
PROCESSID 5948		669 ✓	Risk 1	Audit 12M
Adding customer accounts to account management software		Company Secretary	Freq: 1 Overall 1	
PROCESSID 7676	504 ✓	505 ✓	Risk 5	Task 1D
Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers	Office Processes	Office Processes	Freq: 1 Overall 5	Audit 1W
PROCESSID 7678	478 ✓	531 ✓	Risk 4	Task 1W
Checking the Catalog 360 Circle website for outstanding orders or requests	Office Processes	Office Processes	Freq: 1 Overall 4	Audit 1M
PROCESSID 7686	487 ✓	569 ✓	Risk 5	Task 1D
Check that outstanding orders with unresolved issues are being followed up and addressed	Office Processes	Company Secretary	Freq: 1 Overall 5	Audit 1M
PROCESSID 7696	496 ✓	537 ✓	Risk 5	Task 1D
Emailing Notifications of shipments	Office Processes	Office Processes	Freq: 1 Overall 5	Audit 1W
PROCESSID 7709	523 ✓	524 ✓	Risk 5	Task 1D
Ensure invoices are generated for shipped orders	Office Processes	Managing Director	Freq: 1 Overall 5	Audit 1M
PROCESSID 7712	528 ✓	529 ✓	Risk 5	Task 1D
Review the payments received to ensure proformas can be shipped	Office Processes	Office Processes	Freq: 1 Overall 5	Audit 1W
PROCESSID 7735	549 ✓	550 ✓	Risk 4	Task 1W
Ensure samples and Sale or Return items are followed up after 4 weeks for feedback and the item(s) is returned as appropriate	Office Processes	Office Processes	Freq: 1 Overall 4	Audit 1M
PROCESSID 7758	603 ✓	604 ✓	Risk 4	Task 1W
Check the emails for orders from GHX	Office Processes	Office Processes	Freq: 1 Overall 4	Audit 1M
PROCESSID 7761	620 ✓	621 ✓	Risk 5	Task 1D
Emailing Notifications of shipments	Office Processes	Office Processes	Freq: 1 Overall 5	Audit 1W
PROCESSID 7783	612 ✓	613 ✓	Risk 4	Task 1W
Process of PDF ing Invoices into the	Office Processes	Office Processes	Freq: 1	Audit 1M



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system for easy of use in the future and the E-mailing of Invoices to customers

#### PROCESSID 7795

Answering any questions that are asked via the website from within Intrastats

#### PROCESSID 7822

To check we have the stock available to supply our customer Oxylink.

643

Office Processes

708

Office Processes

709

Goods In

Overall 4

Risk 5

Freq: 1

Overall 5

Risk 3

Freq: 1

Overall 3

Task 1D

Task 1M

Audit 1M