

Internal Audit Check list			
Returns, Repairs & Service			
Created:	17/May 1995	Audit No 11	VOP 09
Revised:	02 August 2020		Page 1 of 8
Audit Date	4 th Sept 20	Auditor Helen Lamb	
header need on all pages.			
Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues	
VST Ltd ISO9001:2015 8.2.1	<p>Customer communication</p> <p>Communication with customers shall include:</p> <ul style="list-style-type: none"> 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. 	Procedures Intranet	
VST Ltd ISO9001:2015 8.5.3	<p>Property belonging to customers or external providers</p> <p>The organization shall exercise care with property belonging to customers or external providers while it is under the organization's control or being used by the organization.</p> <p>The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services.</p> <p>When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented information on what has occurred.</p> <p>NOTE A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data.</p>	Procedures Intranet	
Viamed Ltd ISO13485:2016 7.2.2	<p>Review of requirements related to product</p> <p>The organization shall review the requirements related to product. This review shall be conducted prior to the organization's commitment to supply product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that:</p> <ul style="list-style-type: none"> a) product requirements are defined and documented; b) contract or order requirements differing from those previously expressed are resolved; c) applicable regulatory requirements are met; d) any user training identified in accordance with 7.2.1 is available or planned to be available; e) the organization has the ability to meet the defined requirements. <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</p>	Procedures Supplier Review Supplier CRM + PO QA	

	<p>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 ISO13485:201 6.7.5.10	<p>Customer property</p> <p>The organization shall identify, verify, protect, and safeguard customer property provided for use or incorporation into the product while it is under the organization's control or being used by the organization. If any customer property is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer and maintain records (see 4.2.5).</p>	<p><i>BCR codes procedures inventories</i></p>
Viamed Ltd ISO13485:201 6.7.5.4	<p>Servicing activities</p> <p>If servicing of the medical device is a specified requirement, the organization shall document servicing procedures, reference materials, and reference measurements, as necessary, for performing servicing activities and verifying that product requirements are met.</p> <p>The organization shall analyse records of servicing activities carried out by the organization or its supplier:</p> <ul style="list-style-type: none"> a) to determine if the information is to be handled as a complaint; b) as appropriate, for input to the improvement process. <p>Records of servicing activities carried out by the organization or its supplier shall be maintained (see 4.2.5).</p>	<p><i>inventories Reviews issues</i></p>
Viamed Ltd ISO13485:201 6.7.5.6	<p>Validation of processes for production and service provision</p> <p>The organization shall validate any processes for production and service provision where the resulting output cannot be or is not verified by subsequent monitoring or measurement and, as a consequence, deficiencies become apparent only after the product is in use or the service has been delivered.</p> <p>Validation shall demonstrate the ability of these processes to achieve planned results consistently.</p> <p>The organization shall document procedures for validation of processes including:</p> <ul style="list-style-type: none"> a) defined criteria for review and approval of the processes; b) equipment qualification and qualification of personnel; c) use of specific methods, procedures and acceptance criteria; d) as appropriate, statistical techniques with rationale for sample sizes; e) requirements for records (see 4.2.5); f) revalidation, including criteria for revalidation; g) approval of changes to the processes. <p>The organization shall document procedures for the validation of the application of computer software used in production and service provision. Such software applications shall be validated prior to initial use and, as appropriate, after changes to such software or its application. The specific approach and activities associated with software validation and revalidation shall be proportionate to the risk associated with the use of the software including the effect on the ability of the product to conform</p>	<p><i>Doc index procedures calibration index Review meetings</i></p>

	<p>to specifications.</p> <p>Records of the results and conclusion of validation and necessary actions from the validation shall be maintained (see 4.2.4 and 4.2.5).</p>	
Viamed Ltd ISO13485:201 6.7.5.8	<p>Identification</p> <p>The organization shall document procedures for product identification and identify product by suitable means throughout product realization.</p> <p>The organization shall identify product status with respect to monitoring and measurement requirements throughout product realization. Identification of product status shall be maintained throughout production, storage, installation and servicing of product to ensure that only product that has passed the required inspections and tests or released under an authorized concession is dispatched, used or installed.</p> <p>If required by applicable regulatory requirements, the organization shall document a system to assign unique device identification to the medical device.</p> <p>The organization shall document procedures to ensure that medical devices returned to the organization are identified and distinguished from conforming product.</p>	<p>VOP's procedures</p> <p>Warrants</p> <p>Design index</p>
Viamed Ltd ISO13485:201 6.8.2.4	<p>Internal audit</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, 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 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).</p> <p>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>	<p>Audit Calendar Doc index Warrants</p>
Viamed Ltd	Rework	

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ISO13485:201 6.8.3.4	<p>The organization shall perform rework in accordance with documented procedures that takes into account the potential adverse effect of the rework on the product. These procedures shall undergo the same review and approval as the original procedure.</p> <p>After the completion of rework, product shall be verified to ensure that it meets applicable acceptance criteria and regulatory requirements. Records of rework shall be maintained (see 4.2.5).</p>	
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	<u>QUESTION:</u>	<u>RESPONSE:</u>	<u>Y/N</u>
1	Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	Nothing Outstanding	Y
2	Check that out of date warranty repairs have received customer approval prior to any repair work being done.		Y
3	Verify that goods are identified as a Customer Repairs.		Y
4	Check that the QA Records – final inspection, test sheets and safety records are completed. Returns – Repairs Ready for Invoice – View Status. Copy the serial number in to serial number search in Stockbook to get the barcode ID. Paste into QA Report. All available reports will be in here.	IS71145 ✓ SRS 67566 ID 1386504 ✓ SRS 67379 ID 1298129 SRS 67072 ✓	Y
5	Check that anti-static precautions are in place and appropriate checks are recorded. Check the workshop, QA and the R+D room. Should these be in place anywhere else around the company.		Y
6	Check that the correct coloured duckets are being used for Urgent and Export repairs.		Y
7	Check that the repairs are being worked in priority, and then date order.		Y
8	Check that completed duckets are placed on the repaires shelf with all appropriate paperwork. Check all duckets on the shelves.		Y
9	Returns – Returns Completed. Pick 5 Invoiced repairs and check the paperwork in the <u>ORD</u> file matches the customer paperwork and the invoice.	<p><i>New system covid 19 and digital</i></p> <p>1. SRS 67523 125884 ✓ 2. SRS 67573 126005 ✓ 3. SRS 67566 125956 ✓ #198958 4. SRS 67377 123547 - wrong invia referenced RST 123999-1 5. SRS 67424 123555-2 ✓ #198959 linked but not sharing correctly.</p>	Y

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10	Intrastats Service Logs – are any services overdue, list them. Intrastats – Returns – Service Visits. Look in Notes icon for further info and check any issues attached.	arrangements are underway services overdue but working towards	Problems with visit hospitals Covid 19
11	Intrastats Service Logs – are any services in progress. Returns – Service Visits. Check the Notes are they being filled in.	2 orders in place Covid 19 issues - Delays in servicing.	N
12	Check in the workshops and make sure all sealant, glues, greases, sprays, tapes and gases are in date and have a data sheet, if no date is present make sure there is a review to check purchase date and lifespan in Intrastats. List any without and check recurring issues for this.	ID Task 1010 1011 1012	Y
13	Returns – Repairs in building. Pick 5 from the list and go and find them, check they have the appropriate paperwork.	1. SRS 67565 DEM 2. SRS 67564 Dem 3. SRS 67533 SHA 4. SRS 67572 Nine wells 5. SRS 67466 Upton	Y
14	Check the number of old repairs. Intrastats – Returns – Repairs in building. Find out what is happening with any older than 6 month. List any anomalies.	Covid 19 paperwork not completing on system	# 197840
15	Returns – Ready for quote. Check the 5 oldest from the list and go and find them on the repairs shelf, check they have the appropriate paperwork.	1. SRS 67581 2. SRS 67580 3. SRS 67562 4. SRS 67570 5. SRS 67585	all have paperwork all within month good considering covid 19
16	Returns – Quotes sent. Check the 5 oldest to the Quotes file in the office. Are there notes on Intrastats and on the paperwork.	1. Covid 19 no paperwork file. 2. New system digital - Quotes + 3. Proforma Section. - Repairs 4. #197841	

17	<p>Returns – Repairs Ready for Invoice. Check the oldest 5 of the Viamed and VST SRS's. Why have they not been invoiced.</p> <ol style="list-style-type: none"> 1. 2. 3. 4. 5. <p>Using the same 5 copy the Barcode into the QA Report and see if they have QA records.</p> <p><i>Covid 19 paperwork not seen need to SRS to complete.</i></p>	
18	<p>Returns – Calibration Certificates. From the list click View, to go to the calibration certificate. Copy the serial number in to serial number search in Stockbook to get the barcode ID. Paste into QA Report. Check there is a QA Report is available.</p>	<p><i>Cert No 1599474527 SN PRO2194A10 QA 7/9/20</i></p>

Sub Processes Linked to Audit 11

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

Warehouse Team Leader

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 6847					
PROCESSID 6862 The repairs that are currently in the building. Confirm the Stage and Location of repairs	614 <i>#198149 in terms</i>	895 <i>#193547</i>	Freq 4 Risk 1 Overall 4	Task 1W Audit	
PROCESSID 7138 To review any new QC 21 Forms	795 Managing Director	796 Company Secretary	Freq 3 Risk 1 Overall 3	Task 1M Audit	
PROCESSID 7674 Review the repairs ready For invoice List in intrastats.	468 <i>#197491</i>	469 <i>#157410</i>	Freq 4 Risk 1 Overall 4	Task 2W Audit	12M
PROCESSID 7692					
PROCESSID 7905 To arrange Supplier Returns	882 Goods In	883 <i>#195-225</i>	Freq 1 Risk 1	Task 1W	
	<i>#197905</i>				

Generate RMA box, link items and add faults

Overall 1 Audit
3M

Sales Controller

Process Scope
PROCESSID 6916

Roll Task **Roll Audit**

Risk
Freq
Risk
Overall
Freq
Risk
Overall

Action **Notes / Issues**

PROCESSID 6917

Audits

Process Scope

PROCESSID 7724

To carry out Audit 11 Repairs And Service
Viamed

Roll Task **Roll Audit**

#189008

171

Company
Secretary

Risk

Freq 1
Risk 2
Overall 2

Action **Notes / Issues**

Audit

12M

PROCESSID 7772

To carry out Audit 11 Repairs And Service
VST

#189012

179

Company
Secretary

Freq 1

Risk 2
Overall 2

Audit

12M

Repairs Controller

Process Scope

PROCESSID 7823

Backup the Fluke ESA615 Safety tester CE

Roll Task **Roll Audit**

79

711

Production Managing
Processes

Managing
Director

Risk

Freq 1
Risk 1
Overall 1

Action **Notes / Issues**

Task

12M

Copy any files to the Z Drive - safety tester
backupdata

#192412 #195440

Goods Out

Process Scope

PROCESSID 7690

Review the Repairs completed shelf and ship
those items that are ready for return to the
customer.

Roll Task **Roll Audit**

492

758

Goods Out Goods In

Risk

Freq 5
Risk 1
Overall 5

Action **Notes / Issues**

Task

1D

1M

PROCESSID 7748

Check the orders against the customer
paperwork, that we have generated, for the
repair we have received in.

575

Goods Out

#197452

Freq 3

Risk 2
Overall 6

Task

1D

PROCESSID 7749

Check the quotes that we send out for the
repairs we have received in.

576

Goods Out

#198300

Freq 5

Risk 2
Overall 10

Task

1D

PROCESSID 7906

Obtain Returns paperwork / authorisation
from supplier to return Items.

884

Goods Out

#197874

in terms

Freq 1

Risk 1
Overall 1

Task

1W

Office Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 5857 Ensuring customer onsite service visits are completed	233 Office Processes	234 UK Sales Controller	Freq 4 Risk 1 Overall 4	Task 1W Audit	
			#198122	#194960	1M
PROCESSID 5879 Goods being returned to us usually from customers on our UPS account. We would usually give our account number or send a UPS returns label to them.			Freq 1 Risk 1 Overall 1		
PROCESSID 5898 Dispose of depleted oxygen sensors and send customer replacement disposal bags	406 Goods In	535 Office Processes	Freq 4 Risk 1 Overall 4	Task 2W Audit	
	#198126 in terms	#196621		2W	
PROCESSID 7752 Ensure all outstanding repairs are being dealt with	792 Office Processes	793 #193881	Freq 3 Risk 1 Overall 3	Task 1M Audit	
	#198161			3M	
PROCESSID 7760 Send letters to existing customers to remind them that a service is due on their equipment	607 Marketing Processes	898 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit	
	#198146	#195254		4W	