

Internal Audit Check list			
Returns, Repairs & Service			
Created:	17/May 1995	Audit No 11	VOP 09
Revised:	02 July 2021		Page 1 of 7
Audit Date	2-7-21	Auditor	Helen Lamb

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 8.2.1	Customer communication Communication with customers shall include: a) providing information relating to products and services; b) handling enquiries, contracts or orders, including changes; c) obtaining customer feedback relating to products and services, including customer complaints; d) handling or controlling customer property; e) establishing specific requirements for contingency actions, when relevant.	Instructs CRM procedures
VST Ltd ISO9001:2015 8.5.3	Property belonging to customers or external providers 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. The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services. 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. NOTE A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data.	Procedures Instructs
Viamed Ltd ISO13485:2016 7.2.2	Review of requirements related to product 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: 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. Records of the results of the review and actions arising from the review shall be maintained (see 4.2.5). When the customer provides no documented statement of requirement, the customer requirements shall be confirmed by the	Instructs Doc index Route map

	<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>	
<p>Viamed Ltd ISO13485:2016 7.5.10</p>	<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>Procedures intrastats</p>
<p>Viamed Ltd ISO13485:2016 7.5.4</p>	<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>Doc index intrastats</p>
<p>Viamed Ltd ISO13485:2016 7.5.6</p>	<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 to</p>	<p>intrastats procedures Doc index Rolling tasks</p>

	<p>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>	
<p>Viamed Ltd</p> <p>ISO13485:2016 7.5.8</p>	<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>Bar codes</p> <p>Intrastats</p> <p>Procedures</p> <p>Doc index</p>
<p>Viamed Ltd</p> <p>ISO13485:2016 8.2.4</p>	<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</p> <p>Calendar</p> <p>Intrastats</p> <p>Doc</p> <p>index</p>
Viamed Ltd	Rework	

ISO13485:2016 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>	<p>Procedures starts SRS system</p>
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	QUESTION:	RESPONSE:	Y/ N
1	Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	#197840 still ongoing #198959	
2	Check that out of date warranty repairs have received customer approval prior to any repair work being done.	4 waiting cost Approval at present	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.	SRS 67931 ✓ SRS 67923 ✓	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.	claimed yes, VST all go back to supplier. SRS67907 - back with supplier	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 repairs shelf with all appropriate paperwork. Check all duckets on the shelves.		Y
9	<p>Returns – Returns Completed. Pick 5 Invoiced repairs and check the paperwork in the ORD file matches the customer paperwork and the invoice.</p> <p>1. 67901 2. 67889 3. 67854 4. 67923 5. 67922</p> <p>only repairs i building all have paperwork.</p>		Y

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. <i>id 74, id 75 NO Notes # 234171 Restriction</i>	<i>2 overdue Still Covid 19</i>	<i>Y</i>
11	Intrastats Service Logs – are any services in progress. Returns – Service Visits. Check the Notes are they being filled in. <i># 234171</i>	<i>Non in progress</i>	
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. <i>Tash lds 1010 1011 1012</i>	<i>228548 ✓ 228550 ✓ 205925 ✓</i>	<i>Y</i>
13	Returns – Repairs in building. Pick 5 from the list and go and find them, check they have the appropriate paperwork. 1. 2. 3. 4. 5. <i>See Question 9 only 5 in building all correct all have paperwork</i>		<i>Y</i>
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.	<i># 233876 # 233879</i>	
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. 2. 3. 4. 5. <i>See Question 9 only 5 in building all correct</i>	<i>all have paperwork</i>	<i>Y</i>
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. 130481 28 June 21 with supplier ✓ waiting customer 2. 13705 21 July 21 with supplier ✓ 3. 131901 18 Aug 21 Quoted waiting on customer ✓ 4. 5. <i>only 3 on Quotes list</i>		<i>Y</i>

*New task added SJH + RS Quotes/Proformas
ld 7970 + ld 7971*

17	<p>Returns – Repairs Ready for Invoice.</p> <p>Check the oldest 5 of the Viamed and VST SRS's. Why have they not been invoiced.</p> <p>1. SRS66920 Bluepaint #233815 2019 ongoing issue. No QA form</p> <p>2. SRS67814 SSCC2 #233816</p> <p>3. SRS67854 Samyoom - Returning item back to them. Yes, QA</p> <p>4. SRS67855 SSCC2 Replacing under warranty.</p> <p>5. SRS67874 SFD Replacing under warranty</p> <p>Using the same 5 copy the Barcode into the QA Report and see if they have QA records. VST all go back to supplier – QA shown in SRS when needed.</p> <p>VST QA forms needed for SRS #233819</p>		
18	<p>Returns – Calibration Certificates.</p> <p>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.</p> <p>Paste into QA Report. Check there is a QA Report is available.</p>	<p>QA Reports available on our products.</p> <p>Those that are not ours do not have QA Reports.</p>	

Sub Processes Linked to Audit 11

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

List Processes Per Title

Warehouse Team Leader					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 6862 The repairs that are currently in the building. Confirm the Stage and Location of repairs	614 Goods Out	895 Managing Director	Freq 4 Risk 1 Overall 4	Task 1W Audit 3M	
PROCESSID 7138 To review any new QC 21 Forms	795 Managing Director	796 Company Secretary	Freq 3 Risk 1 Overall 3	Task 1M Audit 12M	
PROCESSID 7674 Review the repairs ready For invoice List in intrastats.	468 Goods Out	469 Goods In	Freq 4 Risk 1 Overall 4	Task 2W Audit 3M	
PROCESSID 7905 To arrange Supplier Returns Generate RMA box, link items and add faults	882 Goods In	883 Managing Director	Freq 1 Risk 1 Overall 1	Task 1W Audit 3M	
Audits					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7724 To carry out Audit 11 Repairs And Service Viamed		171 Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M	

PROCESSID 7772
To carry out Audit 11 Repairs And Service VST

179 Freq 1 Audit
Company Risk 2 12M
Secretary Overall
227535 This Audit

Repairs Controller

Process Scope

PROCESSID 7823
Backup the Fluke ESA615 Safety tester CE

Copy any files to the Z Drive - safety tester backupdata

Roll Task	Roll Audit	Risk	Action	Notes / Issues
79 230771 Production Processes	711 195440 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	

Goods Out

Process Scope

PROCESSID 7690
Review the Repairs completed shelf and ship those items that are ready for return to the customer.

PROCESSID 7748
Check the orders against the customer paperwork, that we have generated, for the repair we have received in.

PROCESSID 7749
Check the quotes that we send out for the repairs we have received in.

PROCESSID 7906
Obtain Returns paperwork / authorisation from supplier to return Items.

Roll Task	Roll Audit	Risk	Action	Notes / Issues
492 233267 Goods Out in terms	758 230849 Goods In terms	Freq 5 Risk 1 Overall 5	Task 1D Audit 1M	
575 232973 Goods Out	1054 231844 Managing Director	Freq 3 Risk 2 Overall 6	Task 7D Audit 1M	
576 233254 Goods Out		Freq 5 Risk 2 Overall 10	Task 1D	
884 233245 Goods Out in terms		Freq 1 Risk 1 Overall 1	Task 1W	

Office Processes

Process Scope

PROCESSID 5857
Ensuring customer onsite service visits are completed

PROCESSID 5898
Dispose of depleted oxygen sensors and send customer replacement disposal bags

PROCESSID 7752
Ensure all outstanding repairs are being dealt with

PROCESSID 7760
Send letters to existing customers to remind them that a service is due on their equipment

Roll Task	Roll Audit	Risk	Action	Notes / Issues
233 232711 Office Processes	234 230107 UK Sales Controller	Freq 4 Risk 1 Overall 4	Task 1W Audit 1M	
406 231977 Goods In	535 232654 Office Processes	Freq 4 Risk 1 Overall 4	Task 2W Audit 2W	
792 233204 Office Processes	793 232604 Managing Director	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
607 232741 Marketing Processes	898 230669 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit 4W	