Global Overall Risk Assesment Review
Report Code :riskbenefitsreport.php
Report Version ID: 1637233468
Reviewed by Derek Lamb
Reviewed On 18 Nov 2021

Primary Documentation
VOP 01 Documentation and Records, Control, Creation, Storage, Retrieval, Revision Control and Online Records
VOP 02 Personnel and Responsibility , Staff and Staffing Issues, Training, Roles and Tasks
VOP 03 Contract Review, Enquires, Office Processes
VOP 04 Accounts, Bank, Loans, Debtors, Creditors, Accountant Processes
VOP 05 Supplier Control Supplier Review Purchase Orders Supplier Returns
VOP 06 Measurement Control Viamed VST, Calibration, QA Stock
VOP 07 Stock Control, Handling, Control of Labelling, Storage, Movement
VOP 08 Production, Reworks, New Production
VOP 09 Repairs and Servicing
VOP 10 Non Conformance, Corrective and Preventive Actions
VOP 11 Equipment Control, Office, Warehouse, Pcs and Equipment
VOP 12 Training
VOP 13 Process Monitoring, System Reviews, Audits, Management Reviews and Analysis Data
VOP 15 Data and Information Analysis
VOP 16 Health and Safety, Company Personnel Manual
VOP 17 Design Research and Development
VOP 18 Maintenance Building, Fabric and Infrastructure
VOP 19 Feedback Customer Complaints Vigilance and Notifications Viamed Ltd
VOP 19 FeedBack Customer Complaints Vigilance and Notifications VST Ltd
VOP 20 Goods in Purchases, Returns, Repairs, Inspection / Rejection
VOP 21 Risk, Risk Management and Risk Analysis
VOP 22 Picking and Packing Dispatch and Goods Out
VOP 24 Needs, Risks and Expectations of External Parties
VOP 25 Sales and Marketing
VOP 27 Software Validation
Audit 01 Picking packing
Audit 02 Contract Review and Sales Order Processing
Audit 03 Design Control
Audit 04 Accounts and Finance
Audit 05 Purchasing suppliers
Audit 06 Calibration
Audit 07 Handling and Storage
Audit 08 Training, Competence and Human Resources
Audit 09 Goods Inward and Product Identity
Audit 10 Documentation Control

Audit 11 Repairs, Servicing and Returns
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Audit 18 Management Review
Audit 19 Health and Safety, Working Conditions and Building Fabric Issues
Audit 20 Process verification to Managment
Audit 21 Audit of Audit
Audit 22 Post Market Survellance
Audit 23 Analysis of Data
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Audit 27 Software Validation
Audit Schedule
Risk Benefit Report

Process ID	Description	Role	Scope	Risks to Process	Frequency	Severity	Action Type	Risk Benefit Text	Health Safety Manual	Quality Management System Route Map to Documents and Procedures Viamed Ltd ISO13485:2016	Quality Management System Route Map to Documents and Procedures VST Ltd ISO9001:2015	VOP Linked	Audit Linked
7048	Control of monitoring and measuring devices	Warehouse Team Leader	Control of monitoring and measuring devices	that equipment will be missed	2	1	No Action			7.6	8.5.1 / 7.1.5.2	VOP 09	Audit 06
7845	7.1.4 Environment Of Operations	Managing Director	Determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. Merged into 7729 can close the tasks	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.	1	1	No Action			4.2.1 / 6.3	7.1.4	VOP 12	Audit 20
7947	8010004 - JJ-CCR Oxygen Sensor Orders	Office Processes	There should be at least two sets of orders on the system. Sales orders from JJ-CCR for this current month and next month, as well as the corresponding production orders. If there are just two orders, send a VST email to Jan Petersen (jp@jj-ccr.com) at JJ-CCR asking if he wishes to place any additional orders for subsequent months.	the issue has not been carried out, orders are not received	1	1	No Action						Audit 16

7948	8010006 - REVo Oxygen Sensor Orders	Office Processes	We should be aiming for at least 2 to 4 scheduled orders on the system at any one time. 8010006 – rEVo oxygen sensor orders There should be at least two sets of orders on the system. Sales orders from r-Evo for this current month and next month, as well as the corresponding production orders. If there are just two orders, send a VST email to Pieter Decoene (Pieter@revo-rebreathers.com) at rEvo asking if he wishes to place any additional orders for subsequent months. We should be aiming for at least 2 to 4 scheduled orders on the system at any one time.	the issue has not been carried out, orders are not received	1	1	No Action	Audit 16
6946	Accounts Debtors Review - Export	Accounts Processes	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.	1	2	No Action	VOP 04 Audit 04
6951	Accounts Debtors Review - UK	Accounts Processes	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.	2	2	No Action	VOP 04 Audit 04
5867	Accounts On Stop	Accounts Processes	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	1	2	No Action	VOP 04 Audit 04

				being picked up in a timely manner.							
7708	Acorn 0014904	Warehouse Team Leader	Acorn Distribution ac 12906 - 0014904 Disposable sensor stock levels	That we not have stock available when needed.	1	3	No Action		8.2.1	VOP 07	Audit 04
5948	Adding New Accounts To Opera	Office Processes	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	1	3	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7907	Annual Review Doc Management	Documentation And Records Controller	To review which employees have Access to sensitive areas of Intrastats	That the system is not accessible	1	1	No Action			VOP 02	Audit 08
2	Answering Telephones	Office Processes	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	1	2	No Action	5.2 / 7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7795	Answering UK Web Questions	Office Processes	Answering any questions that are asked via the website from within Intrastats	Computer/network breakdown	1	1	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.2.3.1	VOP 03	Audit 02
5893	Answering Website Questions	Office Processes	Answering any questions that are asked via the website from within Intrastats	Computer/network breakdown	1	1	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7883	Appraisal	Human Resources	to review the staff, give feedback and discuss issues	that targets are missed or discussions not had	1	1	No Action			VOP 12	Audit 08
7975	Arrange Teledyne Returns	Warehouse Team Leader	Arranging Teledyne failed sensors for credits and / or return. Teledyne do not want us to return Medical Sensors that have been sent out to the customer and then failed. They will be crediting these without us sending back Automotive sensors are not to be returned either and will be credited unseen.	Supplier not made aware of potential returns so missing the supplier warranty	1	1	No Action				
7714	Audit 01 Picking Packing Viamed	Audits	To carry out Audit 01 Picking Packing Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 6.4.2 / 7.5.1 / 4.1.3	9.2	VOP 13	Audit 01
7762	Audit 01 Picking Packing VST	Audits	To carry out Audit 01 Picking Packing VST	That something may impede the	2	1	No Action		9.2	VOP	Audit

				Audit, so it cannot be carried out fully.						13	01
7715	Audit 02 Contract Review Viamed	Audits	To carry out Audit 02 Contract Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	5.2 / 8.2.4 / 8.1 / 5.1 / 7.2.1 / 7.2.2 / 7.2.3 / 4.1.3	9.2	VOP 13	Audit 02
7763	Audit 02 Contract Review VST	Audits	To carry out Audit 02 Contract Review VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13	Audit 02
7716	Audit 03 Design Control Viamed	Audits	To carry out Audit 03 Design Control Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 4.2.3 Medical device file / 5.2 / 7.1 / 7.3.1 / 7.3.2 / 7.3.3 / 7.3.4 / 7.3.5 / 7.3.7 / 7.3.8 / 7.3.9 / 7.3.10 / 4.1.3	9.2	VOP 13	Audit 03
7764	Audit 03 Design Control VST	Audits	To carry out Audit 03 Design Control VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13	Audit 03
7885	Audit 04 Accounts and Finance	Audits	Carry out Audit 04 Accounts for Both VST and Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			VOP 13	Audit 04
7717	Audit 05 Purchasing Suppliers Viamed	Audits	To carry out Audit 05 Purchasing Suppliers Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 4.1.5 / 7.4.1 / 7.4.2 / 7.4.3 / 7.5.2 / 7.5.3 / 7.5.5 / 4.1.3	9.2	VOP 13	Audit 05
7765	Audit 05 Purchasing Suppliers VST	Audits	To carry out Audit 05 Purchasing Suppliers VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13	Audit 05
7718	Audit 06 Calibration Viamed	Audits	To carry out Audit 06 Calibration Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 4.1.3	9.2	VOP 06	Audit 06
7766	Audit 06 Calibration VST	Audits	To carry out Audit 06 Calibration VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13	Audit 06
7719	Audit 07	Audits	To carry out Audit Audit 07 Handling And	That something	2	1	No	8.2.4 / 8.1 / 6.3	9.2		

	Handling And Storage Viamed		Storage Viamed	may impede the Audit, so it cannot be carried out fully.			Action		/ 6.4.1 / 6.4.2 / 7.5.1 / 7.5.2 / 4.1.3		VOP 13	Audit 07
7767	Audit 07 Handling And Storage VST	Audits	To carry out Audit 07 Handling And Storage VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			9.2	VOP 13	Audit 07
7720	Audit 08 Training Viamed	Audits	To carry out Audit 08 Training Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	22	8.2.4 / 8.1 / 5.5.1 / 6.2 / 6.4.1 / 7.3.2 / 4.1.3	9.2	VOP 13	Audit 08
7768	Audit 08 Training VST	Audits	To carry out Audit 08 Training VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			9.2	VOP 13	Audit 08
7721	Audit 09 Goods Inward And Product Identity Viamed	Audits	To carry out Audit 09 Goods Inward And Product Identity Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		8.2.4 / 8.1 / 6.3 / 6.4.2 / 7.4.3 / 4.1.3	9.2	VOP 13	Audit 09
7769	Audit 09 Goods Inward And Product Identity VST	Audits	To carry out Audit 09 Goods Inward And Product Identity VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			9.2	VOP 13	Audit 09
7722	Audit 10 Documentation Control Viamed	Audits	To carry out Audit 10 Documentation Control Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		4.2.4 Control of documents / 8.2.4 / 8.1 / 4.2.5 Control of records / 7.2.2 / 7.3.3 / 7.3.8 / 7.3.10 / 7.5.4 / 7.5.5 / 4.1.3	9.2	VOP 13	Audit 10
7770	Audit 10 Documentation Control VST	Audits	To carry out Audit 10 Documentation Control VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			9.2	VOP 13	Audit 10
7723	Audit 10b Process Verification Viamed	Audits	To carry out Audit 10b Process Verification Viamed Now Defunct - See Audit 20	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		8.2.4 / 8.1 / 4.1.1 / 4.1.2 / 4.1.3 / 4.2.1 / 4.2.2 Quality manual / 4.2.3 Medical device file / 5.3 / 5.4.2 / 6.1 / 7.2.2 / 7.3.1 / 7.3.2 / 7.3.3 / 7.3.7	9.2	VOP 13	Audit 20
7771	Audit 10b	Audits	To carry out Audit 10b Process Verification VST	That something	2	1	No			9.2		

	Process Verification VST		Now Defunct - See Audit 20	may impede the Audit, so it cannot be carried out fully.			Action			VOP 13 Audit 20
7724	Audit 11 Repairs And Service Viamed	Audits	To carry out Audit 11 Repairs And Service Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 7.2.2 / 4.1.3	9.2	VOP 13 Audit 11
7772	Audit 11 Repairs And Service VST	Audits	To carry out Audit 11 Repairs And Service VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13 Audit 11
7725	Audit 12 CE Files Viamed	Audits	To carry out Audit 12 CE Files Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 4.1.2 / 4.1.4 / 4.2.5 Control of records / 7.4.1 / 7.5.1 / 4.1.3	9.2	VOP 13 Audit 12
7773	Audit 12 CE Files VST	Audits	To carry out Audit 12 CE Files VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13 Audit 12
7726	Audit 14 Complaints And Corrective Actions Viamed	Audits	To carry out Audit 14 Complaints And Corrective Actions Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 7.2.3 / 7.3.9 / 4.1.3	9.2	VOP 13 Audit 14
7774	Audit 14 Complaints And Corrective Actions VST	Audits	To carry out Audit 14 Complaints And Corrective Actions VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13 Audit 14
7727	Audit 15 Production Viamed	Audits	To carry out Audit 15 Production Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 7.5.1 / 4.1.3	9.2	VOP 13 Audit 15
7775	Audit 15 Production VST	Audits	To carry out Audit 15 Production VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13 Audit 15
7959	Audit 16 Sales And Marketing Viamed	Audits	Audit to include Sales and Marketing Functions	That something may impede the Audit, so it cannot be carried out fully.	1	1	No Action			VOP 03 Audit 16
7960	Audit 16 Sales And Marketing	Audits	Audit for Sales and Marketing	That something may impede the	1	1	No Action			Audit

	VST			Audit, so it cannot be carried out fully.							16
7728	Audit 17 Internal Audits Viamed	Audits	To carry out Audit 17 Internal Audits Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		8.2.4 / 8.1 / 4.1.3	9.2	VOP 13 Audit 17
7776	Audit 17 Internal Audits VST	Audits	To carry out Audit 17 Internal Audits VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			9.2	VOP 13 Audit 17
7886	Audit 18 Management Review Viamed	Audits	To carry out Audit 18 Management Review Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action				VOP 13 Audit 18
7887	Audit 18 Management Review VST	Audits	To carry out Audit 18 Management Review VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action				VOP 13 Audit 18
7729	Audit 19 Health And Saftey Viamed	Audits	To carry out Audit 19 Health And Safety Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	04	8.2.4 / 8.1 / 6.4.1 / 4.1.3	9.2	VOP 13 Audit 19
7777	Audit 19 Health And Saftey VST	Audits	To carry out Audit 19 Health And Safety VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			9.2	VOP 13 Audit 19
7730	Audit 20 Process Verification To Managment Viamed	Audits	To carry out Audit 20 Process Verification To Management Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		5.1 / 8.2.4 / 8.1 / 4.1.3 / 4.1.4 / 4.2.1 / 4.2.2 Quality manual / 5.4.1 / 5.4.2 / 5.5.1 / 5.5.2 / 5.6.3 / 6.1	9.2	VOP 13 Audit 20
7778	Audit 20 Process Verification To Managment VST	Audits	To carry out Audit 20 Process Verification To Management VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			9.2	VOP 13 Audit 20
7731	Audit 21 Audit Of Audit Viamed	Audits	To carry out Audit 21 Audit Of Audit Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		8.2.4 / 8.1 / 4.1.3	9.2	VOP 13 Audit 21
7779	Audit 21 Audit Of Audit VST	Audits	To carry out Audit 21 Audit Of Audit VST	That something may impede the Audit, so it cannot	2	1	No Action			9.2	VOP 13 Audit 21

				be carried out fully.						
7732	Audit 22 Post Market Survellance Viamed	Audits	To carry out Audit 22 Post Market Survellance Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 7.1 / 7.2.1 / 4.1.3	9.2	VOP 13 Audit 22
7780	Audit 22 Post Market Survellance VST	Audits	To carry out Audit 22 Post Market Surveillance VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13 Audit 22
7733	Audit 23 Analysis Of Data Viamed	Audits	To carry out Audit 23 Analysis Of Data Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action	8.2.4 / 8.1 / 4.1.3	9.2	VOP 13 Audit 23
7781	Audit 23 Analysis Of Data VST	Audits	To carry out Audit 23 Analysis Of Data VST	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action		9.2	VOP 13 Audit 23
7889	Audit 24 Servicing Viamed	Audits	To carry out Audit 24 Servicing Viamed	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			VOP 13 Audit 24
7892	Audit 27 Software Validation	Audits	To confirm the Prime functions of the Software used is verified.	That something may impede the Audit, so it cannot be carried out fully.	2	1	No Action			VOP 27 Audit 27
38	Audits Up to Date and Confirm next years Audit schedule	Managing Director	Management oversight of Internal Tasks and Audits Issue(s). Review the responses to Tasks and Audits. ensure they are being fulfilled and completed.	No risks to the process itself as its a review process.	1	1	No Action			VOP 13 Audit 21
7701	AWS Amazon Web Services	IT Controller	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	1	3	No Action		8.4.1	VOP 11 Audit 20
7936	B2B Router / Peppol Responsibilitys	Office Processes	Checking external system for orders	Orders could be missed	2	2	No Action			Audit 02
6954	Back Orders Review - By Customer	Goods Out	To check the back orders in the tray in goods out and check the active list back orders has been reviewed	goods not shipped in a timely manner	1	1	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 22 Audit 02
7922	Back Up Emily`s Accounts Docs	Accounts Processes	To back up Journals and other docs that have been saved in Emilys users folder.	That thing will get missed and then	2	1	No Action			Audit

			Journal are checked monthly so they need to be in the Journals folder to be able to be checked.	not double checked							10
7918	Backup Jeans Local Folder	IT Controller	To backup Jeans files	documents maybe lost of their is an issue with PC	1	1	No Action				Audit 18
7867	Bandsaw Checklist	Health And Safety Controller	This is a check list to ensure safe use of the bandsaw BANDSAW HAS BEEN REMOVED, PROCESS CAN BE CLOSED / TASKS CLOSED	That injury will occur	1	1	No Action		7.1.3	VOP 16	Audit 19
5916	Bank Details Opera reports entered Intrastats	Accounts Processes	Enter the current bank account details and the accounts package reports totals in to the correct intrastats page.	That the details could be entered incorrectly. So the figures in the overview page are wrong. Or the exchange rate is incorrect so we could make a lose when calculating currency.	1	3	No Action			VOP 04	Audit 04
7742	Boiler Check	Maintenance Controller	Get Boiler / Heating Checked / Serviced before Winter	no risks	1	1	No Action	6.3 / 6.4.1	7.1.3	VOP 16	Audit 19
5870	Book Arab Health	Marketing Processes	Book our place at Arab Health if we decided on going	That we do not let staff know with plenty of time to book the exhibition.	1	1	No Action			VOP 25	Audit 16
7093	BSI Audits Calander	ISO Controller	Review of outstanding Audits	Audits dont get completed	1	1	No Action		5.1.1	VOP 13	Audit 21
55	Business Continuity Plan	Managing Director	Business Continuity Plan	If the list is not comprehensive enough and the plan not good enough or reviewed enough then the company will not be able to be back up ands running if a problem occurs.	1	1	No Action			VOP 13	Audit 18
7091	Calibration Index	Warehouse Team Leader	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.	2	1	No Action	5.6.2 / 8.5.3	7.1.3 / 9.1.3	VOP 06	Audit 06
7756	Carbon Monoxide Alarm	Maintenance Controller	Check Carbon Monoxide Alarm is working	alarm does not work and kills staff	1	2	No Action	6.3 / 6.4.1	7.1.3	VOP 16	Audit 19
7836	Central Heating For Winter	Maintenance Controller	Reset the Heating for Winter	Building too hot / cold	1	1	No Action	6.3 / 6.4.1	7.1.3 / 7.1.4	VOP	Audit

										16	19
5942	Chase the Debtors viamed	Accounts Processes	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.	2	2	No Action			VOP 04	Audit 04
7824	Chase The Debtors VST	Accounts Processes	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.	1	2	No Action			VOP 04	Audit 04
5943	Check Cardea And Multiquote	Office Processes	Checking the Cardea and Multiquote websites for outstanding orders or requests	Computer/network breakdown	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7678	Check Catalog 360 Circle For Quotes And Orders	Office Processes	Checking the Catalog 360 Circle website for outstanding orders or requests	Computer/network breakdown	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7932	Check Debtors Report	Accounts Processes	Rolling issue to check debtors report - All Outstanding References With Balances	that customers do not pay or are unaware of their debt.	1	1	No Action				Audit 04
7673	Check Expiry Dated Stock	Warehouse Team Leader	To check that all the stock on the selves are within their use by dates.	Stock being dispatched that is pasts its date.	2	1	No Action	7.5.11 / 7.5.1	4.2 / 5.1.2 / 6.1.2 / 6.2.1 / 7.1.5.1 / 7.1.5.2 / 7.1.6 / 7.2 / 7.3 / 7.4 / 9.3.2 / 9.1.2	VOP 07	Audit 07
7758	Check For GHX Orders	Office Processes	Check the emails for orders from GHX	Computer/network breakdown	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
5913	Check For Humanmed Orders In	Office Processes	Checking the logistics mailbox from within and the main inbox for outstanding Humanmed orders.	Computer/network breakdown	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02

	Logistics Mailbox									
7941	Check Leaflets, Letterhead And Other Paperwork To See If The Correct BSI Logo Is In Use. Remove All Old If Found.	ISO Controller	Check Leaflets, Letterhead and other paperwork to see if the correct BSI logo is in use. Remove and dispose of all old items if found. Ask Catrin to review the website for old leaflets.	that we may miss something and risk BSI non conformance	3	1	No Action			VOP 01 Audit 02
7797	Check Order Are Being Picked In Priority Order	Warehouse Team Leader	Check order are being picked in order of priority and date.	Orders going at before more urgent ones	1	2	No Action	7.2.3	5.1.2 / 6.2.1 / 9.1.2	VOP 22 Audit 01
5919	Check Out Side Drain	Maintenance Controller	Check outside drain is not BLocked	that we will have a flood	1	2	No Action	6.3 / 6.4.1		VOP 16 Audit 19
5875	Check Paypal For Orders	Office Processes	Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox	Computer/network breakdown	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03 Audit 02
7859	Check POR Files For Items Delivered But Not Removed From File	Goods In	Checking of the POR Files For Items Delivered But Not Removed From File	POR are left in the file when goods booked in.	1	3	No Action			VOP 20 Audit 09
7748	Check Repair Orders	Goods Out	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.	1	2	No Action	7.2.3 / 7.5.10	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.2.3.1 / 10.2.1	VOP 22 Audit 11
7749	Check Repair Quotes	Goods Out	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.	2	2	No Action	7.5.10	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.2.3.1 / 8.7.1	VOP 22 Audit 11
7674	Check Repairs Ready For Invoice List	Warehouse Team Leader	Review the repairs ready For invoice List in intrastats.	That repairs will be missed.	1	2	No Action	7.5.10	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3.1 / 8.2.3.2 / 8.2.4 / 8.7.1	VOP 09 Audit 11
7787	Check Returns All Supplier	Warehouse Team Leader	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.	1	3	No Action	7.4.2	8.4.3	VOP 05 Audit 05
7784	Check Returns Supplier Envitec	Warehouse Team Leader	Supplier returns to Envitec, return any products waiting to be returned	Product not returned so missing the supplier warranty	1	2	No Action	7.4.2	8.4.3	VOP 05 Audit 05
7786	Check Returns	Warehouse	Supplier returns to Maxtec,	Product not	1	2	No	7.4.2	8.4.3	

	Supplier Maxtec	Team Leader	return any products waiting to be returned	returned, risks not analysed			Action			VOP 05	Audit 05
7785	Check Returns Supplier Teledyne	Warehouse Team Leader	Supplier returns to Teledyne, return any products waiting to be returned	Product not returned, risks not analysed	1	2	No Action	7.4.2	8.4.3	VOP 05	Audit 05
7964	Check Roles And Tasks For Incomplete Data	Human Resources	To check the Roles and tasks tables for any gaps /red crosses Fill in the missing information where needed.	That things will be missed and important information not present.	2	1	No Action			VOP 13	Audit 18
5871	Check Sale Or Returns	UK Sales Force	Review the Sale or Return list in intrastats. Ensure it is up to date.	That goods could be sent to a customer or goods returned but the list is not updated	1	2	No Action	7.2.2	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 07	Audit 02
5872	Check Sale Or Returns Export	EX Sales Force	Review the Sale or Return list in intrastats. Ensure it is up to date.	That goods could be sent to a customer or goods returned but the list is not updated	1	2	No Action	7.2.2	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 07	Audit 02
7683	Check Stock For Proforma	Warehouse Team Leader	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.	1	2	No Action	7.4.2	5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 07	Audit 05
7682	Check Stock Requirements Supplier Bluepoint	Warehouse Team Leader	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.	1	2	No Action	7.4.2	8.4 / 8.5.1 / 8.5.2	VOP 07	Audit 05
7680	Check Stock Requirements Supplier Envitec	Warehouse Team Leader	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.	1	2	No Action	7.4.2	8.4 / 8.5.1 / 8.5.2	VOP 07	Audit 05
7681	Check Stock Requirements Supplier Posey	Warehouse Team Leader	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.	1	2	No Action	7.4.2	8.4 / 8.5.1 / 8.5.2	VOP 07	Audit 05
7679	Check Stock Requirements Supplier Teledyne	Warehouse Team Leader	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.	1	2	No Action	7.4.2	8.4 / 8.5.1 / 8.5.2	VOP 07	Audit 05
5890	Check Website ISO Documents	ISO Controller	Ensure the online available copies of our ISO standards are upto date	customers download out of date documents.	1	3	No Action			VOP 01	Audit 10
7904	Check Weeee Waste Pallet And Sensor Bin	Warehouse Team Leader	Check Weeee waste pallet and sensor bin, arrange collection if FULL	over full bins can be a hazard over full weee	1	1	No Action				Audit

				area can be a hazard							07
7952	Check Xero To Barclays Bank Statements End On Month GBP, USD And Euro Viamed	Accounts Processes	Check that the Xero To Barclays Bank Statements match and no transactions are missing. End On Month GBP, USD And Euro Viamed	items missed so not accounted for	1	2	No Action				Audit 04
5892	Checking EBay And Amazon For Orders And Messages	Office Processes	Checking the eBay and Amazon accounts for orders that have not been emailed to the main inbox and checking to see if there are messages or questions.	Computer/network breakdown	2	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7705	Checking For Uploaded Files	Office Processes	Checking if a customer has uploaded an order directly to our website	Computer/network breakdown	2	2	No Action		4.4.2 / 7.1.5.1 / 7.1.5.2 / 7.5.3 / 8.3.3 / 8.3.5 / 8.3.6	VOP 03	Audit 10
5894	Checking Of Active List	Office Processes	Check the Active Back orders ensure no orders get missed	List is not reviewed and orders do not get shipped	1	1	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
5874	Childcare Vouchers Edenred	Accounts Processes	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.	1	1	No Action			VOP 02	Audit 04
5910	Clean Duckets	Warehouse Team Leader	Cleaning of duckets	Writing that is still left on the ducket mean that the new information may not be clear.	1	1	No Action	6.4.1 / 6.3		VOP 18	Audit 19
7802	Clean Kitchen Sides	Office Processes	Cleaning the kitchen surfaces to ensure they are fit for use	Inadequate cleaning supplies	1	1	No Action	6.3	7.1.3	VOP 18	Audit 19
7698	Clean Toilets	Warehouse Team Leader	Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	Dirty and unhygienic bathrooms. Inadequate supply of cleaning products.	1	1	No Action	6.4.1	7.1.3 / 7.1.4	VOP 18	Audit 19
5900	Cleaning Of Office Windows	Office Processes	Cleaning of surfaces, equipment, floors. Tidying so as to clean more effectively.	Dirty and unhygienic work space. Inadequate supply of cleaning products.	1	3	No Action			VOP 18	Audit 19
5856	Cleaning The Kitchen	Office Processes	to clean the kitchen, work tops and floor. make sure it is safe for people to use	that it wont be cleaned and so	1	1	No Action	6.3		VOP 18	Audit 19

				not safe or nice to eat in							
5911	Clear Cardboard	Warehouse Team Leader	To remove and dispose of the cardboard with in the company	That we will have too much and it will be a trip hazard. It will fill work spaces that we need to use.	1	1	No Action	6.3 / 6.4.1		VOP 18	Audit 19
7832	Cleardown Emailed Invoices	IT Controller	Backup of all Sent Emails sent to External Address for Verification	that we may loose some emails	1	1	No Action	6.3	6.1.2 / 7.1.3	VOP 11	Audit 20
5921	Clearing Water Downstairs	Maintenance Controller	Check the Archives for Signs of Water, ensure the pump is working	that we will have a flood	1	2	No Action	6.3 / 6.4.1		VOP 16	Audit 19
7693	Collect Repair Filing From Warehouse	Office Processes	Collect the filing form the warehouse	paperwork has been missed	1	1	No Action	7.5.10	4.2 / 4.4.2 / 5.1.2 / 6.2.1 / 7.1.5.2 / 7.5.1 / 7.5.3.1 / 7.5.3.2 / 8.2.1 / 8.2.3 / 9.1.1 / 9.1.2	VOP 03	Audit 10
23	Company Objectives	Managing Director	Ensure the company Objects are still current and upto date	Company shots of in directions that are not laid out in its objectives	1	1	No Action	4.2.1 / 4.2.1 / 5.3 / 5.3 / 5.1	5.1.1	VOP 13	Audit 18
22	Company Policys	Managing Director	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	1	1	No Action	4.2.1 / 5.3	5.1.1	VOP 13	Audit 18
26	Company Resources	Managing Director	Overview of the Company using various data Reporting Screens	Not enough resources to complete tasks	1	3	No Action	4.1.3 / 5.4.1	5.1.1 / 9.1.3	VOP 13	Audit 23
7931	Competitor Pricing	Sales Controller	Review any Logged Competitor Pricing	task not carried out	1	1	No Action				Audit 16
7927	Contract Pricing Review	UK Sales Controller	To check Contract prices are still valid and within date	Non	1	1	No Action				Audit 16
7821	Controlled Waste Description And Transfer	Maintenance Controller	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.	2	1	No Action	6.3 / 6.4.1	8.5.5	VOP 16	Audit 19
5922	Credit Cards Expenses Calculations	Accounts Processes	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.	1	2	No Action			VOP 04	Audit 04

				That invoice / receipts are missed.							
5923	Credits Note Processing	Accounts Processes	A credit 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.	2	2	No Action			VOP 04	Audit 04
6862	Current Repairs	Warehouse Team Leader	The repairs that are currently in the building. Confirm the Stage and Location of repairs	Repairs not being worked on in a timely manor. Repairs being processed with out authorisation from customer.	1	2	No Action	7.5.10		VOP 09	Audit 11
6850	Current Stock Levels	Warehouse Team Leader	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.	1	2	No Action	7.5.1		VOP 07	Audit 07
6931	Customer Complaints	Managing Director	Review the Customer Complaints Heading	things are not followed up in a timely manner or are missed	3	1	No Action	5.6.2	5.1.1	VOP 19	Audit 23
7743	Customer Complaints Paper File	ISO Controller	Major Customer Complaints get escalated to Paper Customer Complaints file. Check the File is being Maintained and any relevant documentation is in the File.	Customer Complaints could be missed or not filed correctly	1	2	No Action	5.2 / 5.6.2 / 5.6.2 / 5.6.2 / 7.2.3 / 7.2.3 / 8.2.2 / 8.2.2 / 8.2.3 / 8.2.3 / 4.1.2 / 8.3.1 / 8.3.1 / 8.5.3	5.1.1 / 9.1.3 / 9.3.2	VOP 19	Audit 14
5857	Customer Service Logs	Office Processes	Ensuring customer onsite service visits are completed	Engineer or equipment is unavlailable	1	2	No Action	7.5.4 / 7.2.3		VOP 03	Audit 24
5925	Customs Clearance	Accounts Processes	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.	1	2	No Action			VOP 04	Audit 04
7897	Daily O2 Sensors Returns	Repair Processes	To check the daily returns for any that are oxygen sensors only, so they can be fast tracked through the system	worst case scenario is sensor returns goes through the system normally	1	1	No Action	7.5.10		VOP 07	Audit 09
7976	Decontamination Of Incomming Products And Repairs	Goods In	Decontamination Of Incomming Products And Repairs. Clean items and make sure safe to handle. Use gloves where needed.	goods are dirty or are unsafe to handle	2	2	No Action			VOP 20	Audit 09
7709	Delivered not	Office	Ensure invoices are generated for shipped	Computer/network	2	2	No		4.2 / 5.1.2 /		

	Invoiced	Processes	orders	breakdown delivery is missed and remains un invoiced.			Action		6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7877	Disaster Planning	Managing Director	To Plan for disaster	Total failure	3	1	No Action	8.2.1		VOP 13	Audit 18
7803	Dishwashing	Office Processes	To ensure crockery and cutlery is cleaned and fit for use	Dishwasher breakdown	1	1	No Action	6.3	7.1.3	VOP 18	Audit 19
10	Distribution Of Emails	Office Processes	Distribute Emails	Sent to incorrect person	1	3	No Action	7.2.3 / 5.2	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 10
9	Distribution Of Faxes	Office Processes	Distribute recieved faxs	lost faxes	1	1	No Action	7.2.3 / 5.2	4.2 / 5.1.2 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 10
11	Distribution Of Mail	Office Processes	Distibuting incoming post to correct person	Royal Mail fail to deliver post	1	3	No Action	5.2 / 5.4.2 / 7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 10
5873	Distributor Contract Reviews	EX Sales Controller	To check through list of export distributors	That we sell to someone in a country that already has a distributor.	1	3	No Action			VOP 03	Audit 16
7937	Diversity Impact Assessment	Human Resources	Diversity Impact Assessment	this is out of date	1	1	No Action			VOP 02	Audit 08
7942	Do We Have Service Manual / QA For All Our Stock Coming In.	Warehouse Team Leader	To make sure we have a QA procedure or service manual in place for all our stock coming through Viamed and VST. Some may just say check packaging and barcode and other may need to go further in depth. With testing procedures. Those who do not require testing should state this in the procedure.	that something will be missed or that a procedure is not fit for purpose.	3	1	No Action			VOP 09	Audit 07
7700	Domain Name Management	IT Controller	Maintain Domains for websites	Loss of website presense	1	3	No Action		8.4.1	VOP 11	Audit 10
5851	Duplicate Documents	Documentation And Records Controller	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.	1	3	No Action		7.1.3	VOP 01	Audit 10
5876	E.Commerce Cardea And Multiquote	UK Sales Force	To Collect E.Commerce Cardea And Multiquote Orders	Orders go unnoticed	1	1	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7909	EAN GTIN	Sales	To update the online GTIN / EAN13 databases	Task is missed	1	1	No				

	Online Database	Controller	of stock descriptions for peppol use				Action			VOP 07	Audit 16
7835	Electrics Need Checking	Maintenance Controller	To get the Electrics checked by External Electriction, so certificate can be provided for Employee Safety	Not carried out in a timely manner	1	1	No Action	6.3 / 6.4.1	7.1.3	VOP 16	Audit 19
36	Emailing Of Invoices	Office Processes	Invoices are emailed to customers	Computer or network failure	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
53	Emails	IT Controller	Maintain the Online Email boxes currently Google and Goldmine	incorrect email routing can lead to emails not getting to were they are supposed to be	1	1	No Action	6.3		VOP 11	Audit 10
7872	Embargo Countries NOT Allowed To Sell To	Accounts Processes	To review with the banks any embargo countries	Selling to an Embargo countries can get bank account frozen and loss of facilities	3	1	No Action		5.1.2	VOP 03	Audit 02
7929	Emergency Lighting And Fire Extinguishers	Health And Safety Controller	The regular review of the Emergency Lighting And Fire Extinguishers.	That the job is not done or not done correctly	3	1	No Action				Audit 19
7902	Empty Depleted Sensor Bin From The Offic	Warehouse Team Leader	Empty depleted sensor bin from the office	non	1	1	No Action				Audit 07
7805	Empty Kitchen Bins	Office Processes	Emptying of the recycling and waste bins into external bin for refuge collection Diasbled currently - have Global task on bins	Waste is not removed or waste is not correctly placed in bins	1	1	No Action	6.3	7.1.3	VOP 18	Audit 19
5878	Empty Office Bins	Office Processes	Emptying of the recycling and waste bins into external bin for refuge collectors	Waste is not removed or waste is not correctly placed in bins	1	1	No Action	6.3		VOP 18	Audit 19
5906	Empty Paper Bins	Warehouse Team Leader	Emptying of the recycling and waste bins into external bin for refuge collectors	Waste is not removed or waste is not correctly placed in bins	1	1	No Action	6.4.1 / 6.3		VOP 18	Audit 19
5909	Empty Warehouse Bins	Warehouse Team Leader	Emptying of the waste bins into external bin for refuge collectors	Waste is not removed or waste is not correctly placed in bins	1	1	No Action	6.3 / 6.4.1		VOP 18	Audit 19
7903	Empty Warehouse Depleted Sensor Bin	Warehouse Team Leader	Empty Warehouse depleted sensor bin into Bin in cage and record weights in intrastats where relevant	over full bins can be a hazard	1	1	No Action				Audit 07
5914	End Of Year Reports For Accountants	Accounts Processes	The closing down of the accounts package at the end of the financial year. Sales, Purchasing and Nominal ledgers.	That the figures are incorrect and therefore the profit / loss cannot be calculated correctly.	1	1	No Action			VOP 04	Audit 04

7808	Ensure All Invoice Correctly Tagged	OEM Sales Controller	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	1	3	No Action		8.2.1	VOP 13	Audit 02
7735	Ensure SOR`s Are Followed Up	Office Processes	Ensure samples and Sale or Return items are followed up after 4 weeks for feedback and the item(s) is returned as appropriate	Computer/network breakdown	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.5.3 / 8.5.5	VOP 03	Audit 02
39	Enviromental Policy Document Review	Managing Director	Ensure our Viamed Environment and WEEE Policys are upto date and suitable for current legislation	Potential to break the Law of the land with unsuitable policys	2	1	No Action	6.4.2		VOP 02	Audit 19
7950	Envitec Oxygen Sensor Parts Stock Check	Office Processes	Envitec oxygen sensor parts stock check Check to see whether in the past 6 weeks Envitec (Honeywell) have ordered any parts to used in the production of 8010004 R17JJ-CCR oxygen sensors. If no sales orders have been processed, please send a reminder email to: Felix.Krellenberg@honeywell.com cc. Jessica.Wagner@honeywell.com	the issue has not been carried out, orders are not received	1	1	No Action				Audit 16
7864	ESD Work Stations	Maintenance Controller	Check the workshop benches ESD equipment is in place	can damage equipment if not used or suitable	1	2	No Action	6.4.1 / 6.3	7.1.3	VOP 07	Audit 19
7958	Exchange Rate In To Intrastats	Accounts Processes	Put the Exchange Rate in to Intrastats for current month from HMRC	Missing the current rate and staff using the last months rate. Wrong rates being entered.	1	1	No Action				Audit 04
5924	Export Cheques sent by Currency Lodgement	Accounts Processes	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	1	2	No Action			VOP 04	Audit 04
7755	Fast Hosts Invoice	IT Controller	To Send Invoice for online services to Helen	No risks to system. Accounting excersise	1	3	No Action	6.3	8.4.1	VOP 11	Audit 20
14	Fax Paper	Office Processes	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	1	1	No Action	5.2	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7895	FDA Device Establishment Registration	Managing Director	To conitune our FDA registration (for the Apgar timer)	unable to sell in U.S.A	1	1	No Action				Audit 18
7744	FDA Device Establishment Registration And Listing	ISO Controller	FDA registration and the CMDCAS products In order to sell in the USA / Canada Markets products need to be registered with the FDA.	Its harder to initially get on teh register than maintaining it. Inability to sell	1	1	No Action		4.3 / 5.1.1 / 5.3 / 7.1.5.2 / 7.1.6 / 7.5.1 / 7.5.3.1 / 8.3.3 / 9.2.1	VOP 01	Audit 18

				products in North America							
15	Filing and Archiving	Office Processes	Paperwork to be filed in the correct order	Paperwork is filed incorrectly	1	1	No Action	5.2	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 10
5917	Fill in Cashbook / Bank Rec for previous Month	Accounts Processes	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.	1	1	No Action			VOP 04	Audit 04
5949	Filling Credit Card Slips	Office Processes	Inputting the accurate data on to our pre-printed credit card slips for processing on dispatch of good. Secure storing and processing	incorrect information slips left unsecured	3	1	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1	VOP 03	Audit 02
7834	Financial Review	Share Holder	The review the Financial requirements	Non	1	1	No Action	4.2.1 / 8.1	5.1.1 / 9.1.3 / 9.3.2	VOP 13	Audit 18
7891	Fire Alarm Evacuation Drill	Health And Safety Controller	To test the evacuation of the buildings in case of fire	That staff will not know what to do in case of a fire	3	1	No Action			VOP 02	Audit 19
6856	Fire Alarms	Health And Safety Controller	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.	3	1	No Action	6.3		VOP 16	Audit 19
7928	Fire Test Points Checking	Health And Safety Controller	To Test the Fire alarm glass boxes	not tested	1	1	No Action			VOP 16	Audit 19
6849	First Aid	Health And Safety Controller	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.	3	1	No Action			VOP 16	Audit 19
7120	General Maintenance Requirements	Maintenance Controller	Review any General Maintenance required on the physical Site(s)	no risks	1	2	No Action	4.2.1 / 6.3 / 6.4.1	7.1.3 / 7.1.4	VOP 16	Audit 19
7905	Generate RMA Box, Link Items And Add Faults	Warehouse Team Leader	To arrange Supplier Returns Generate RMA box, link items and add faults	that these are not returned and stock goes out of warranty	1	1	No Action				Audit 11
6898	GHX Web Pricing	UK Sales Controller	To review the GHX Web Pricing	That the prices are in correct and we may have to let them have the old price if we	2	1	No Action	5.2	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 25	Audit 16

				have not up dated them							
7826	Goods In Processes	Warehouse Team Leader	To Receive Goods from Suppliers	incorrectly booked in not booked in	2	2	No Action	7.4.2	8.4.1 / 8.4.2 / 8.4.3 / 8.5.5 / 8.7.1	VOP 20	Audit 09
7860	Goods Out Picking	Goods Out	To pick in order orders from the picking screen package the goods ready for dispatch Invoice out the delivery	goods do not get shipped	2	1	No Action	7.2.3		VOP 22	Audit 01
7916	Google Webmaster Tools	IT Controller	To check the webmaster tools to see our websites from googles point of view. fix any errors it may flag up	Job not carried out Google analytics errors	1	1	No Action				Audit 16
7869	Hand Drill Checklist	Health And Safety Controller	This is a check list to ensure safe use of the Hand Drill	That injury will occur	3	1	No Action		7.1.3	VOP 16	Audit 19
7847	Health And Safety Review	Human Resources	Perform HSE Risk Assessment, Re issue Message of the Day or send company issue with regard to Employees being aware of HSE documentation / policy. and Location of Fire Exits and First Aid Kits. Send new Issue to Projects Asking if New HSE implications have arisen from new products. Review Online the Local Community Risk Register. Check the Viamed Overall Risk Analysis Program Document in the Index to check its still current.	HSE Risks to Staff and business	1	1	No Action		9.1.3 / 9.3.2	VOP 16	Audit 19
7759	Health Declaration Sheet	Human Resources	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.	3	1	No Action		7.1.2	VOP 16	Audit 08
5929	HMRC Intrastats Sales Data	Accounts Processes	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.	2	1	No Action			VOP 04	Audit 04
5907	Hoover Warehouse	Warehouse Team Leader	Cleaning of floors. Tidying so as to clean more effectively.	Dirty and unhygienic work space. Inadequate supply of cleaning products.	1	1	No Action	6.3 / 6.4.1		VOP 18	Audit 19
7917	Human Med Purchase Order	Warehouse Team Leader	Check stock requirements for human med Stock	Non	1	1	No Action				Audit 09
7670	Humanmed general Issues	Humanmed Controller	Review of Humanmed sales and orders and clear any duplicates or problems.	That there are duplicate orders o the system due to errors.	1	3	No Action	7.2.3	5.1.1 / 5.1.2 / 6.1 / 6.2.1 / 7.1.1 / 7.1.2 / 7.1.5.1 / 7.1.5.2 / 7.1.6	VOP 13	Audit 02

7790	Humanmed Invoice them For Previous Month	Accounts Processes	A invoice is generate at the end of each month to charges Humanmed for the admin fee, carriage charges and any special carriage charges.	That this invoice is not produced.	1	3	No Action		8.2.1	VOP 04	Audit 05
7671	Humanmed Non Conformances	Humanmed Controller	Humanmed Non Conformances	non conformations not logged.	2	2	No Action	8.5.3	8.7 / 8.7.1 / 8.7.2 / 9.3.2 / 10.2	VOP 19	Audit 14
7711	Import Bank CSV	Office Processes	Download the most recent bank statement from the bank website	Computer/network breakdown	1	2	No Action		7.1.3	VOP 04	Audit 10
7833	Importance Of Effective Quality Management	ISO Controller	To Remind Staff of the Importance of the ISO systems and they should be following the procedures	people may become careless	1	2	No Action	5.1 / 5.3 / 5.5.2	5.1.1 / 5.2.1 / 5.2.2 / 9.1.3 / 9.3.2	VOP 12	Audit 18
6866	Internal Process Verification Complete Systems Review	ISO Controller	Review the Internal Process and Verification`s are suitable for the current standards PROCESS NOW CANCELLED AS REPEAT OF AUDIT 20	Review not carried out	1	1	No Action	4.2.1 / 8.5.3		VOP 13	Audit 20
7739	Intrastats Amendment Log	IT Controller	Intrastat Changes updates. Logging system to enable roll back should anything break	None, The updates are automatically logged and stored for easy retrieval. This process is simply to add notes to new updates	1	2	No Action	6.3	5.1.1 / 7.1.3	VOP 11	Audit 10
7129	Intrastats Cross Reference Database Tables Updates	IT Controller	Update the online Cross reference guides with latest intrastats data.	n/a database maintenance	1	3	No Action	6.3	7.1.3	VOP 11	Audit 10
7831	Intrastats Debtors And Creditor Figures	Accounts Processes	Intrastats Debtors And Creditor Figures Fill in the figure in Enter Overview details from Operas and bank.	Not filled in often enough Not filled in correctly	1	3	No Action		8.2.3.1 / 9.3.2	VOP 04	Audit 04
7130	Intrastats Information for Intrastats and L Drive	IT Controller	To Review the L Drive Library is in sync with Intrastats Documentation TASK DISCONTIUNED, L Drive has been replaced with Intrastats	Documents get out of Sync	1	3	No Action			VOP 01	Audit 10
7126	Intrastats Requested Page updates	IT Controller	Fix general errors in intrastats such as Spelling errors or columns not lining up	no risks, simply a mechanium to fix internal typos and spelling errors on intrastat tables	1	3	No Action		7.1.3	VOP 11	Audit 10
7846	ISO System Management Review Viamed	Managing Director	To Comply with Top Level Re-authorise the Current Audits for next 12 Months Cover the Agenda as Per VOP13	Failure to do may cause major non conformites in QMS System	1	1	No Action	5.6.2 / 5.6.1	9.1.3 / 9.3.2	VOP 13	Audit 20
7972	ISO System Management	Managing Director	To Comply with Top Level Re-authorise the Current Audits for next 12	Failure to do may cause major non	1	1	No Action				

	Review Vst		Months Cover the Agenda as Per VOP13	conformites in QMS System						
6871	ISO14001 Environmental management systems	ISO Controller	Not yet Applied Rolling Issue to see if we should apply this standard in the future	If we went for this, the risks would be incomplete data or ineffective system	1	1	No Action			VOP 13 Audit 18
7819	Issues For Accountant - Check Contra account 8000 and clear it	Accounts Processes	A review of the contra nominal account in Opera, number 8000, for the previous three months. To see if the adjustments that go through this account, have been handled correctly and the amount at the end is zero.	That the account will not have a zero balance.	2	2	No Action		8.2	VOP 04 Audit 04
7818	Issues For Accountants - Check Purchasing Journals to see if VAT handled correctly Previous Month	Accounts Processes	A review of the Purchasing Journals, done in Opera, for the previous month. To see if the VAT has been handled correctly and the nominal account number are correct.	That we will run the VAT return and a an incorrect journal is present. This could result in us paying too much or too little VAT on the next VAT return.	2	2	No Action		8.2	VOP 04 Audit 04
7817	Issues For Accountants - Check suggested invoice report in operas	Accounts Processes	This is a report that is run to make sure we have not missed the invoicing of an order during the preceding month, on the sales ledger.	That sales deliveries are missed and not invoiced.	1	3	No Action		8.2	VOP 04 Audit 04
6876	Issues for Accountants - P11D Form re Benefits to Revenue and Customs	Accounts Processes	This is a form concerning benefits the staff receive annually. An issue is sent annually to remind of this. We then contact the accountants and ask them to fill this in for us. They ask us about benefits and they fill it in for us. This is then sent to us for signing and posting.	That we forget to fill it in.	1	1	No Action			VOP 04 Audit 04
5918	Journals for the End of Month accounts	Accounts Processes	Journal/adjustments to add items in to the accounts package that are not included in the scope of the sales and purchase ledger.	That journal will be entered incorrectly.	1	2	No Action			VOP 04 Audit 04
5901	Link Call Log Contacts To The CRM	Office Processes	To link new calls to Contacts in the CRM	Computer/network breakdown	1	2	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03 Audit 10
7863	Maintain Repair Codes List	Product Controller	To confirm the current repairs codes for various products in the system are up to date and available to office members of staff.	use of incorrect repair codes	1	1	No Action	7.5.10	7.1.6	VOP 03 Audit 10
7876	Maintain Update Of ISO Route Maps	Managing Director	To review Route map VIAMED 13485:2016 and VST 9001:2015 See if a new Summary sheet needs producing, print new PDF, and upload on top of the old summary	Summary sheet gets out of date.	1	2	No Action	8.1	9.1.3 / 9.3.2	VOP 13 Audit 18
19	Maintaining	Office	Ensure required leaflets are in stock	Stock is not	1	2	No	5.2		

	Leaflet Stocks	Processes		checked			Action			VOP 25	Audit 16
6861	Management Meeting Review Weekly Meeting	Managing Director	Non Minuted Management discussions on issues	the meeting wont be held	1	2	No Action	4.2.1		VOP 02	Audit 18
6813	Management Meeting Turnover Report	IT Controller	Ensure the turnover report is accurate	Incorrect figures could be financially catastrophic	1	3	No Action			VOP 11	Audit 18
7753	Management Meeting Warehouse	Warehouse Team Leader	To discuss any problems, to assess work load and staffing. To review issues with regard the Warehouse.	Meetings not carried out regularly.	1	3	No Action		5.1.1 / 7.1.4 / 9.3.2	VOP 02	Audit 18
7070	Management Review	Managing Director	To discuss any problems, to assess work load and staffing. To review issues.	Meetings not carried out regularly.	1	2	No Action	4.2.1 / 5.1 / 5.6.2 / 5.6.1 / 8.1	9.3.2	VOP 19	Audit 18
27	Management Reviews And Quality Audits	Managing Director	To review and close all automatic rolling Issues. Including all rolling tasks and audits	that the task is missed that follow ups are missed	1	3	No Action	4.1.3 / 4.2.1 / 5.1 / 5.6.1 / 8.2.5 / 8.1	4.4.2 / 5.1.1 / 9.1.3	VOP 13	Audit 23
32	MDALL Listings	Managing Director	Complete the CMDCAS Paperwork once per year to Keep the Licence to sell in canada NO LONGER KEEP THIS CERTIFICATE	no risks identified	1	1	No Action			VOP 02	Audit 18
7750	Meeting With Management	Office Processes	Meeting between management and office team leader to discuss improvement of systems and address any issues	Staff being unavailable	1	3	No Action		5.1.1 / 7.1.4	VOP 12	Audit 18
6945	Missing Stock or Adjustments	Warehouse Team Leader	To synchronise Opera stock Count against Intrastats internal movement of stock, E.G. Items that wont uniquely appear on an opera order - such as production parts. TASK IS NO LONGER REQUIRED	Opera and Intrastats go out of sync	1	1	No Action	7.5.1		VOP 07	Audit 07
7694	Move Stock From QA Shelf To Stock Shelf Tuesday	Warehouse Team Leader	Move Stock From QA Shelf To Stock Shelf	That stock is not replaced so it will take longer to pick goods for orders. The stock is not on the correct shelf.	1	2	No Action	7.5.1	7.1.5.1	VOP 07	Audit 07
7689	Move Stock From QA Shelf To Stock Shelf Monday	Warehouse Team Leader	Move Stock From QA Shelf To Stock Shelf	That stock is not replaced so it will take longer to pick goods for orders.	1	2	No Action	7.5.1	7.1.5.1	VOP 07	Audit 07
7890	New UPS Rates Needs Checking	Managing Director	To get the next years UPS zone and areas and Pricing Import into intrastats, No formal procedure as UPS keep changing style and layout, can be done manually	Our pricing calculations dont work out,	1	2	No Action			VOP 03	Audit 18
7138	Non Conformance	Warehouse Team Leader	To review any new QC 21 Forms	potential non conformances go undetected	1	3	No Action	8.5.3		VOP	Audit

	Issues Any New QC21 Forms									13	11
7199	Non Conformities Review Viamed	ISO Controller	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.	Non comformances go unfixed	2	2	No Action	4.2.1 / 8.5.3 / 4.1.5	5.1.1 / 9.1.3 / 9.3.2	VOP 10	Audit 14
7820	North Yorkshire Council Waste Tranfer	Maintenance Controller	The renewal of our waste transfer agreement with North Yorkshire County Couoncil	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.	2	1	No Action	6.3 / 6.4.1	8.5.5	VOP 16	Audit 19
7672	Off Site Backup	IT Controller	To take a copy of the important data off-site thats not being automatically backup by the system, Currently T Drive being the primary files to be backed up	now as its a backup process Back is unrestorable	2	2	No Action	6.3	7.1.3	VOP 11	Audit 10
21	Office Sales Projects	Office Processes	Ensuring office job list is being updated and completed	Office is short staffed or over worked	1	2	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 16
7873	On Site Environment Review	Product Controller	Review the Highs and Lows in Temperature of stored stock and products.	Building temperature could affect stock	2	2	No Action	6.4.1		VOP 07	Audit 07
6838	Opera Negative Stock	IT Controller	To find and correct opera when it reads Negative stock values.	Damage Opera.	1	1	No Action	7.5.1		VOP 11	Audit 09
7800	Opera Nominal Ledger Close	Accounts Processes	The closing down of the previous months nominal ledger for accounts purposes.	The system crashes.	2	1	No Action		8.2.1	VOP 04	Audit 04
7799	Opera Purchase Ledger Close	Accounts Processes	The closing down of the previous months purchase ledger for accounts purposes.	The system crashes, invoices could be missed.	2	1	No Action		8.4.1	VOP 04	Audit 04
5915	Opera Sales Ledger Close	Accounts Processes	Closing down of the Month end in the accounts packages, Or year end if applicable	Reports more difficult to perform after shut downs, no commercial risk if not performed	1	1	No Action			VOP 04	Audit 04
5858	Opera Stock Adjustments	Warehouse Team Leader	Opera Counts bulk stock in and issues stock out against orders. Multiple processes cause stock to be used internally, Opera requires a weekly update to bring the stock count into line with whats been used outside the invoicing systems	Stock valuations will get inaccurate if the process is not performed.	1	2	No Action	7.5.1		VOP 07	Audit 07

			NO LONGER REQUIRED, New system live counts these now								
7798	Orders And Items Shipped Per Month	Warehouse Team Leader	Review the orders and items shipped per month	Problem with report	1	3	No Action	7.2.3	7.1.5.2	VOP 07	Audit 01
59	Out Of Date Documents	Documentation And Records Controller	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	1	3	No Action		7.1.3	VOP 01	Audit 10
7866	Oxygen Cylinder Check	Warehouse Team Leader	Ensure we do not run out of oxygen	run out of oxygen	1	2	No Action		7.1.3	VOP 07	Audit 07
7884	Pay Review	Human Resources	Review the staff pay, ensure its above minimum living wage and at a level appropriate to the work	that staff are not paid what they are worth or paid too much	1	1	No Action			VOP 04	Audit 08
7935	PCI DSS Compliance	Accounts Processes	To Obtain PCI DSS Compliance	get a fine if we are not upto date	1	1	No Action				Audit 04
7783	PDF VST Invoices And Purchase Orders	Office Processes	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	1	2	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7924	PDFing Of Invoices Vandagraph	Office Processes	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NO LONGER REQUIRED, New Order system automatically produces the PDFS and Places into the Correct Location	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	1	2	No Action				Audit 04
7676	PDFing Of Invoices Viamed	Office Processes	Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NO LONGER REQUIRED AS DONE BY THE SYSTEM AUTOMATICALLY	Incorrect name given to Invoice when saving the PDF. customer gets incorrect invoice.	1	2	No Action		4.2 / 5.1.2 / 5.2.2 / 6.2.1 / 7.1.5.1 / 7.5.1 / 7.5.2 / 7.5.3.2 / 8.2.1 / 8.2.3	VOP 03	Audit 02
6837	Personnel Requirements and Training	Human Resources	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	1	2	No Action	5.5.1		VOP 02	Audit 08
7788	Petty Cash Reconciliation	Accounts Processes	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.	1	1	No Action		8.2.3.2	VOP 04	Audit 04
7868	Pillar Drill Checklist	Health And Safety	This is a check list to ensure safe use of the Pillar Drill	That injury will occur	3	1	No Action		7.1.3	VOP	Audit

		Controller								16	19
7071	Post Market Surveillance	ISO Controller	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.	3	1	No Action		9.1.3	VOP 13	Audit 23
7791	Price List Check	Vandagraph	Changing of the prices lists. Issue to check these are current *Vandagraph is not an ISO company	That people will quote the wrong price to the customer.	2	1	No Action		5.1.1 / 5.1.2	VOP 25	Audit 02
7908	Private Information Data	Human Resources	remind staff about private information data and that it needs to be looked after and securely.	that we break GDPR	1	1	No Action			VOP 02	Audit 08
7809	Pro-Active Marketing	Marketing Controller	Analyzing Existing product , sales trends, plan strategy.	That we will target an incorrect area or push a product that is not taken up.	2	2	No Action		6.1.2	VOP 25	Audit 22
5898	Processing Depleted Sensors	Office Processes	Dispose of depleted oxygen sensors and send customer replacement disposal bags	Sensors are not handled correctly	1	1	No Action			VOP 20	Audit 11
20	Processing Of Mail Shots	Office Processes	Ensuring mail shots are printed and sent	Depleted stock of leaflets	1	1	No Action			VOP 03	Audit 16
5891	Processing Of Repair Quotes And Orders	Office Processes	To process the Repair Quotes And Orders as they come in.	Repairs missed or delayed. Order numbers not received before processing.	1	3	No Action	7.5.10 / 7.5.11 / 7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1	VOP 03	Audit 02
6894	Product Cross References	Marketing Controller	Maintenance and research of cross reference tables	Out of date databases linking products to equipment	1	3	No Action			VOP 25	Audit 09
7737	Production In Production List	Production Processes	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	2	2	No Action		8.5.1 / 8.5.2	VOP 08	Audit 15
6955	Production Requirements	Warehouse Team Leader	To set production job for any stock item that is needed for customer back order, warehouse requests or marketing	that jobs will not be added and customers orders will be delayed	1	2	No Action	7.5.1		VOP 07	Audit 15
7736	Production Start Job List	Production Processes	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.	2	2	No Action		8.5.1	VOP 08	Audit 15
7738	Production	Production	Production Review,	No procedure	1	3	No		8.5		

	Statistics	Processes	Identify any production jobs taking a long amount of time				Action			VOP 08	Audit 15
5899	Proforma And Quote Chasing	Office Processes	Chase outstanding Quotes and Proformas	Computer/network breakdown Not chased up.	1	3	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7970	Proforma And Quote Chasing Ryan	EX Sales Force	Chase outstanding Quotes and Proformas put on by Ryan or that he is responsible for.	Computer/network breakdown Not chased up.	1	3	No Action			VOP 03	Audit 02
7971	Proforma And Quote Chasing Steve Hardaker	UK Sales Force	Chase outstanding Quotes and Proformas put on by Steve H or that he is responsible for.	Computer/network breakdown Not chased up.	1	3	No Action			VOP 03	Audit 02
7914	Proofs of Delivery	Office Processes	To download or pdf the proof of deliveries	That we do not get the POD and customers refuse to pay their invoices	1	1	No Action				Audit 09
7925	Providing Ebay Feedback	Office Processes	Providing Feedback to ebay customers	that it will be missed	1	1	No Action				Audit 16
5931	Purchase Invoices in to Opera	Accounts Processes	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.	1	2	No Action			VOP 04	Audit 04
5850	Purchase Order Log	Office Processes	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	1	2	No Action	7.4 / 7.2.3		VOP 03	Audit 05
5855	Purchase Order Requirements Teledyne	Warehouse Team Leader	To contact Teledyne and confirm the purchase orders we have outstanding for them	That good that are required will not be available.	1	2	No Action	7.4.1		VOP 07	Audit 05
7882	Purchase Payments	Accounts Processes	Pay suppliers within terms	pay the wrong amount or to the wrong company. Not pay in terms	2	2	No Action	7.4.2		VOP 04	Audit 05
7933	Purchasing Invoice Processing	Accounts Processes	Inputting the invoices from suppliers for the correct month. Ensuring they are all entered in to the correct period.	invoices missed and therefore absent from accounts and Vat return	2	2	No Action	7.4.2			Audit 04
7961	R D Room - Tidy, Empty Bins, Remove Cups. Caution Around Oxygen Supply	Maintenance Controller	To Clean Tidy the research and development rooms	staff absent so job is not carried out job not carried out well	1	1	No Action	6.3		VOP 02	Audit 19
7899	Region Checker	Accounts Processes	Region code and Territory codes from Opera Each country should only be linked to 1 Region.	the contact will be linked to the wrong region or country	1	1	No Action			VOP 04	Audit 04

7978	Regulatory Requirements	ISO Controller	To review the Regulatory Requirements. To ensure they are up to date to the current standards	That we will miss updates	3	1	No Action				
5932	Remit Processing and entry into Opera	Accounts Processes	Remits are identified, matched to the bank statement and then entered into Opera on the customer account.	That remits are missed.	1	3	No Action			VOP 04	Audit 04
7782	Remove Started But Not Used Order Numbers	Humanmed Controller	Remove Started But Not Used Order Numbers from intrastats.	not clear regularly, accidental usage of an old ORDER number generated by mistake	1	2	No Action	7.2.3	7.5.2	VOP 13	Audit 02
7816	Repairs In Process Review	Repairs Controller	Review the Repairs In Process	That the process is not updated and not as effective as it could be	1	1	No Action		8.3.3		
7685	Repairs Ready For Invoice	Warehouse Team Leader	Process Invoice for completed repairs.	repair has errors on it	1	1	No Action	7.5.10 / 7.5.11	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.7.1	VOP 09	Audit 11
7684	Repairs Ready For Quote	Warehouse Team Leader	Process Repairs Ready For Quote	If process does not get performed, we likly to loose customers, get complaints over not responding to customers returned goods	1	1	No Action	7.5.10 / 7.5.11	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3.1 / 8.7.1	VOP 09	Audit 11
7906	Request RMA Based On The RMA Boxes	Goods Out	Obtain Returns paperwork / authorisation from supplier to return Items.	that goods are not returned and miss the warranty period	1	1	No Action				Audit 11
7810	Research Activities	Marketing Controller	Investigating products and applications, existing and potential products.	That the data is incorrect or out of date. Investigations are not thorough.	1	3	No Action		8.3	VOP 25	Audit 22
7915	Reserve Stock Review	Warehouse Team Leader	To ensure we have enough items of particular stock for certain customer whom can and do place large orders of regular stock,	We run out of stock	1	1	No Action				Audit 09
5868	Return Goods To Suppliers	Warehouse Team Leader	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.	1	2	No Action	7.4.2		VOP 07	Audit 05
6851	Review Accident Book	Human Resources	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	2	2	No Action		9.3.2	VOP 16	Audit 08

				reported when serious.							
7910	Review CCTV Warning Signs	Data Protection Officer	To check the signs we have are appropriate, clear and positioned in the correct	that signs will not be clearly visible, that they may have been lost	1	1	No Action				Audit 19
5877	Review Company Data	Managing Director	To review the numbers of various departments. Showing increasing / reducing staff requirements	incorrect staff levels	1	3	No Action	4.2.1 / 5.4.1 / 8.1 / 8.2.1	9.3.2	VOP 13	Audit 23
7741	Review Ethical Policy	Managing Director	Review the current Ethical Policy in intrastats	That something is missed that we would like to include	1	1	No Action	5.6.2		VOP 02	Audit 19
7871	Review Exclusion From Viamed 13485:2016 And VST 9001:2015	Managing Director	To review the Exclusions / boundaries to ISO 13485:2016 for Viamed	Something is missed.	1	1	No Action	5.6.2 / 8.1	4.3 / 9.1.3 / 9.3.2		Audit 20
7837	Review External Parties Influencing The QMS VST / Viamed	Managing Director	To Review the External Parties Influencing The QMS VST / Viamed Checked the Scopes and Risks, Review the Underlining Processes and Tasks	External party has un-reviewed expectations	1	1	No Action	4.2.1 / 5.6.2 / 8.1	4.1 / 4.2 / 4.3 / 9.1.3 / 4.4.1	VOP 13	Audit 23
7930	Review Flow Of Data	Data Protection Officer	Flow of GDPR Data through the companys	not updated	1	1	No Action				Audit 23
7874	Review For Latest Version Med Dev 2.12.	Managing Director	To Ensure we have the latest version of Med Dev 2.12. and update management if its been updated	Using out of date Med Dev	1	1	No Action	8.1		VOP 19	Audit 18
7796	Review Franking Label Errors	Warehouse Team Leader	To collate all the franking slips that have errors on them and so where not useable. These are returned to Royal mail for a refund of the carriage.	That they are lost or not returned quickly enough to get a refund	1	2	No Action		8.2.3.1	VOP 03	Audit 01
7980	Review Gov Website For Applicable Required Standards ISO9001	ISO Controller	Review the Government Website For Applicable Required Standards ISO 9001 Check if any other standards have been introduced that may have an affect on the company www.gov.uk European Commission harmonised standards to check documentation upto date http://ec.europa.eu/enterprise/policies/european-standards/documents/harmonised-standards-legislation/list-references/medical-devices/index_en.htm	A regulartory update could be missed, so we are not assessing to the correct version of the standard	2	1	No Action			VOP 13	
7712	Review Inward Payments	Office Processes	Review the payments received to ensure proformas can be shipped	Computer network breakdown	1	3	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.2.3.1	VOP 03	Audit 02
7848	Review ISO	Managing	To Review the Scope of the	No risks Rolling	1	1	No	4.2.1 / 5.1 /	4.3 / 9.1.3 /		

	Scopes	Director	ISO 9001 / ISO 13485 Standards	issue to perform task			Action	5.6.2 / 8.1	9.3.2	VOP 13	Audit 20
5887	Review ISO/EN Documents	ISO Controller	To Keep Products and Services up-to date with current regulations and standards	Shipping products and or services with below regulations and or standards	2	2	No Action	4.2.1	9.3.2	VOP 13	Audit 03
7923	Review Of Credits Received From Suppliers	Warehouse Team Leader	To Review and tidy up any outstanding RMAs that have been resolved by Supplier credit notes	credits missed or not received	1	1	No Action	7.4.2			Audit 09
7822	Review Oxylink Stock	Office Processes	To check we have the stock available to supply our customer Oxylink. NOTE THIS PROCESS HAS BEEN STOPPED. Part number has been superseded	The we do not have the stock needed to satisfy the orders for this customer.	1	3	No Action		5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 9.1.3 / 10.1 / 9.1.2	VOP 03	Audit 02
7913	Review Personnel Files	Data Protection Officer	To Review the personnel files to check we remove old data to stay within the GDPR	that things are kept too long	1	1	No Action				Audit 18
7878	Review Possible Upcoming Regulation Changes	Managing Director	Review possible legal / regulator changes that might affect Viamed / VST	Legal / Regulatory changes stop us being able to carry out our processes as per QMS	3	1	No Action	8.1 / 4.1.4	9.1.3 / 9.3.2	VOP 13	Audit 18
7888	Review Processes Linked To VOPs And Audits	ISO Controller	Ensure All Sub Processes are linked to a VOP and an Audit.	process can go un-monitored	1	3	No Action			VOP 13	Audit 18
7849	Review Product Failures New Codes	Managing Director	Review the Customer Returns and Review Product Failures New Codes	Product failures / returns do not get reviewed and a new Risk may occur	3	1	No Action	4.2.1 / 5.6.2 / 8.1 / 7.5.6 / 8.5.3	9.1.3 / 9.3.2	VOP 10	Audit 23
7830	Review Q.A. Failures Report	Managing Director	To review the Quantities of Failed product per Stock reference Passing through the Q.A. system	No risk	1	3	No Action	4.2.1 / 5.4.1 / 5.6.2 / 8.1	5.1.2 / 6.2.1 / 7.1.5.1 / 7.1.5.2 / 7.1.6 / 8.3.6 / 8.5.2 / 8.5.4 / 8.6 / 8.7.1 / 8.7.2 / 9.1.3 / 9.3.2 / 10.2.1	VOP 07	Audit 23
7713	Review Roles And Responsibilitys	Managing Director	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.	2	2	No Action	4.2.1 / 5.5.1 / 6.3 / 5.6.2	4.4.2 / 7.1.2 / 9.1.3 / 9.3.2	VOP 02	Audit 23
7911	Review Security Of The Special	Data Protection	Review Security Of The Special Category Personal Data	Fines	2	1	No Action				Audit

	Category Personal Data	Officer										19
7943	Review Stocks Of 8000004	Office Processes	To review stock levels of 8000004	running out of stock	1	1	No Action				VOP 07	Audit 09
7977	Review The Agenda For The Management Review / Board Meeting Prior To The Annual Meeting	ISO Controller	To review the Agenda of the Management review. Make sure no headers are missed that should be being discussed. Make sure Objectives are appropriate and effective.	That we will miss a header and something important will not be discussed.	2	1	No Action	The addition of this task is aimed at reducing the risk of missing a header. If a header is missed the risk would be to miss discussing something important.				
7862	Review The Audit Calender Screen	Share Holder	Review The Audit Calendar Screen	Requirement of ISO	1	1	No Action		4.2.1 / 8.1	9.3.2	VOP 13	Audit 21
5937	Review the Delivered Not Invoiced Reports	Accounts Processes	NO LONGER REQUIRED WITH XERO This report allows us to add a figure to the end of month accounts. It is a report of suppliers delivered items that have not been invoiced and therefore do not show on the accounts but do show as in stock.	It is an internal adjustment that is reversed out at the end of the next month. The only real risk is the figure from the previous month is not adjusted out correctly.	1	3	No Action				VOP 04	Audit 04
7912	Review The Personel Information We Collect Or Store	Data Protection Officer	Review The Personel Information We Collect Or Store, is the personal information that we collect and store - relevant, accurate and not excessive.	That we will store information too long or not securely enough That we will store information that we do not need	3	1	No Action					Audit 18
7828	Review The Quality Policy Viamed	ISO Controller	To review the Quality policy and check it is still valid and upto date.	That the policy will go out of date	1	1	No Action		4.2.1 / 5.3	5.1.1 / 5.2.1 / 5.2.2 / 6.2.1	VOP 01	Audit 20
7827	Review The Quality Policy VST	ISO Controller	To review the Quality policy and check it is still valid and upto date.	that policy will go out of date	1	1	No Action		5.3	5.1.1 / 5.2.1 / 5.2.2 / 6.2.1 / 9.1.3 / 9.3.2	VOP 01	Audit 20
7979	Review The Template Of The QC 21 Form To Ensure It Is Current And Valid	ISO Controller	To review the QC 21 form to make sure it is fit for purpose and covers all the areas we need to assess when filling in this form	that we will miss sections that we need to be effective	2	1	No Action					
7940	Review The Tom	Production	To check the date of the grease used in the	that the grease	1	1	No					

	Thumb Grease Date	Processes	production and servicing of the Tom Thumb. To see if it needs to be removed. Look at date purchased then add 4 years to the date. Dispose of this when it goes beyond this date.	will go beyond the date we say it should be disposed of			Action			VOP 09	Audit 07
5859	Review Un-shipped Parcels	Goods Out	audit and snap shot - this is an audit of a part of goods out, listing of the parcels that are sat waiting on a customer response	Customer forgets to come back to us and parcels stay ready for shipping. As the package is already pick pack and ready to leave the building all computer traces will show as shipped.	1	2	No Action		4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 22	Audit 01
7839	Review VIAMED Feedback - Customer Complaints	Managing Director	To Review Viamed Customer Complaints	Rolling Issue No Risk	1	3	No Action	4.2.1 / 8.5.3 / 5.6.2 / 8.1	5.1.2 / 8.2.1 / 8.5.5 / 9.1.2	VOP 19	Audit 23
7838	Review VIAMED Feedback - Customer Feedback Negative	Managing Director	Review Customer Feedback Negative	Rolling Issues No risk to process	1	3	No Action	4.2.1 / 5.6.2 / 8.1 / 8.5.3	5.1.2 / 8.2.1 / 8.5.5 / 9.1.2	VOP 19	Audit 23
7842	Review VIAMED Product Feedback Negative	Managing Director	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	Rolling ISsue, No Risk	1	3	No Action	4.2.1 / 5.6.2 / 8.1 / 8.5.3	5.1.2 / 8.2.1 / 8.5.5 / 9.1.2	VOP 19	Audit 23
7841	Review VST Feedback - Customer Complaints	Managing Director	To review Customer Complaints see if Non Conformance need to be raised	Rolling ISsue, No Risk	1	3	No Action	8.1	5.1.2 / 8.2.1 / 8.5.5 / 9.3.2 / 10.2.1 / 9.1.2 / 9.1.3	VOP 19	Audit 23
7840	Review VST Feedback - Customer Feedback Negative	Managing Director	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raised	Rolling ISsue, No Risk	1	3	No Action	8.1	5.1.2 / 8.2.1 / 8.5.5 / 9.3.2 / 9.1.2 / 9.1.3	VOP 19	Audit 23
7843	Review VST Product Feedback Negative	Managing Director	To review Negative feedback form Products see if Non Conformance or customer Complaints need to be raise	Rolling ISsue, No Risk	1	3	No Action	8.1	5.1.2 / 8.2.1 / 8.5.5 / 9.3.2 / 9.1.2 / 9.1.3	VOP 19	Audit 23
6855	Risk Assessment HSE	Health And Safety Controller	Update the Site HSE file	Issues not done in terms.	1	1	No Action	6.3		VOP 16	Audit 19
7900	Royal Mail - Mail Retention Form	Accounts Processes	Royal Mail - Mail retention form. That is sent to us in March for the next year, they retain our mail on a Saturday and deliver it the next Monday	Non	1	1	No Action				Audit 04
7823	Saftey Tester Data	Repairs Controller	Backup the Fluke ESA615 Safety tester CE	That this will not be carried out.	1	1	No Action		7.1.3 / 7.1.5.2 / 8.4.3 / 8.5.3	VOP 11	Audit 11

			Copy any files to the Z Drive - safety tester backupdata								
7926	Sales Forecasts Export	EX Sales Force	Sales forecasts	task not carried out	1	1	No Action				Audit 16
7949	Sales Projects Send To Sales Team	Sales Controller	Send Current Sales Project List to Relevant sales members	things will be missed	1	1	No Action				Audit 16
7920	Sales Warnings	UK Sales Controller	To review Sales warning pages, highlights dropping in sales	That sales will suffer and we will not be aware or prepared	1	1	No Action				Audit 16
7944	Sealant, Glues, Greases, Sprays, Gases And Tapes You Use In Production, Service And Repairs For Viamed And VST	Production Processes	To check the use by date or manufacturers life span, of any Sealant, Glues, Greases, Sprays, Gases And Tapes You Use In Production, Service And Repairs For Viamed And VST. To see if it needs to be disposed of. Dispose of and where needed re order new, when it goes beyond this date.	Sealant, Glues, Greases, Sprays, Gases And Tapes will go beyond the date we say it should be disposed of	1	1	No Action	7.5.10		VOP 07	Audit 07
44	Secure Socket Level Certificate	IT Controller	Encrypt data sent back and forth to Intrastats so it can be used off site	na if certificate fails you can bypass the warnings and continue and still have encryption. 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 trys to update. risk is minimum	1	1	No Action	6.3	7.1.3	VOP 11	Audit 10
7919	Send Debtors Overview To Derek	Accounts Processes	send a report to John of what is happening with the debtors from the last month, include problems and payments due. Can add to issue and redirect	report not done	1	1	No Action				Audit 04
7707	Send Purchase Orders To Suppliers	Office Processes	Emailing purchase orders to suppliers	Computer/network breakdown	1	1	No Action	7.4	8.4 / 8.4.1	VOP 03	Audit 05
7760	Send Service Offers	Office Processes	Send letters to existing customers to remind them that a service is due on their equipment	Computer/network breakdown	1	1	No Action	7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 24

7696	Send VIAMED Delivery Notifications	Office Processes	Emailing Notifications of shipments	limited risks, and if email fails to get delivered the customer will still receive their shipment.	1	2	No Action		5.2		VOP 03	Audit 02
7761	Send VST Delivery Notifications	Office Processes	Emailing Notifications of shipments	Limited risks, and if the email fails to get delivered the customer will still receive their shipment.	1	2	No Action			4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
7951	Server Review	IT Controller	Check the Server space and Size of important files	Older programs such as Opera and Goldmine have inbuilt file limits Server has limited space,	2	1	No Action					Audit 27
7690	Ship Repairs	Goods Out	Review the Repairs completed shelf and ship those items that are ready for return to the customer.	That a repair will be missed	1	2	No Action		7.5.10	4.2 / 5.1.2 / 6.2.1 / 7.1.5.1 / 7.5.1 / 8.7.1 / 8.7.2	VOP 09	Audit 11
7691	Ship Sale Or Returns	Goods Out	Review the sale or return shelf and ship those items.	Goods will be missed	1	2	No Action			4.2 / 5.1.2 / 6.2.1 / 8.2.1 / 8.2.3.1	VOP 22	Audit 01
7792	Shipped Order Success Report	Office Processes	A report is generated from figures in Intrastats to display how many orders have been shipped without errors	Computer/network breakdown	1	2	No Action		7.2.3	4.2 / 5.1.2 / 8.2.3	VOP 03	Audit 09
7968	Shred CC Slips	Accounts Processes	To destroy old Credit Card Slip	Old Slips kept beyond legal requirement	3	1	No Action				VOP 04	Audit 04
7699	Shred Sensitive Paperwork In JL Office	Office Processes	Shredding of sensitive information	Broken shredder	1	1	No Action			4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 7.5.3.2 / 8.2.3	VOP 03	Audit 10
7865	Software Validation Conflicting Audits	IT Controller	Software Validiation of the system: To check all process(s) tasks and audits are not clashed with the same person doing the Task as the Audit.	non Automatic	1	1	No Action		4.1.6 / 7.5.6	7.1.3	VOP 27	Audit 27
7881	Software Validation - Live Orders	IT Controller	To compare Opera Live Orders to Intrastats Back order Active List NO LONGER REQUIRED Opera is now out of the system	no risks, confirmation back orders is working as inteneded	1	1	No Action		7.5.6		VOP 27	Audit 27
7855	Software Validation - Production Lists	IT Controller	Software Validation - Production Lists Review the current active production lists inintrastats to the actual in progress production lists	Software inaccuracys in production	2	2	No Action		4.1.6 / 6.3 / 7.5.6	7.1.3	VOP 27	Audit 27
7858	Software Validation	IT Controller	Test the QA System that Staff not trained for QA are unable to QA a Product.	Untrained staff QA/Processing	3	1	No Action		4.1.6 / 6.3 / 7.5.6			

	Attempt To QA Some Stock			Product							VOP 27	Audit 27
7875	Software Validation Document Control	IT Controller	To test document control is working as intended.	If not carried out, document index is unvalidated	1	1	No Action		7.5.6		VOP 27	Audit 27
7852	Software Validation Expired Stock	IT Controller	To attempt to Scan a product that has gone past its expire date.	Expired product leaves the building and unusable products get to customers	1	1	No Action		4.1.6 / 6.3 / 7.5.6	7.1.3	VOP 27	Audit 27
7854	Software Validation In Production List	IT Controller	Software Validation of the production lists. By confirming no extra production jobs are stuck in the system, and all listed production jobs are found. the production tracking is validated	Software tracking of production jobs fails.	2	2	No Action		4.1.6 / 6.3 / 7.5.6	7.1.3	VOP 27	Audit 27
7870	Software Validation Non Conformance Product Risk Feedback Loop	IT Controller	Scope to check the automatic system of tagging product non conformance and other issues to the post market surveillance review report.	issues not carried out	1	1	No Action		4.1.6 / 7.5.6	7.1.3	VOP 27	Audit 27
7853	Software Validation Non Sell Able Shelf	IT Controller	Warehouse shelfs can be tagged as sellable stock / unsellable stock. Either for quarantine purposes or holding items for other customer orders. Test that Order picking cannot pick unsellable stock locations to an Order	quarantine stock leaves the building to a customer order, or stock on hold for a customer gets shipped to another customer.	3	1	No Action		4.1.6 / 6.3 / 7.5.6	7.1.3	VOP 27	Audit 27
7861	Software Validation Of Training Documents Forced Reading	IT Controller	Software Validating Of Training Documents via Forced Required Reading	required reading not read.	2	1	No Action		6.3 / 4.1.6 / 7.5.6		VOP 27	Audit 27
7880	Software Validation Out Of Date Documents	IT Controller	To confirm the out of documents computer software functions as expected flagging out of date items on to the list	Old document in the system	1	1	No Action		7.5.6		VOP 27	Audit 27
7850	Software Validation Scan In Correct Product	IT Controller	Test the Goods out process disabling picking of items not relating to an order	system allows incorrect items to be picked to customer orders	1	1	No Action		4.1.6 / 6.3 / 7.5.6	7.1.3	VOP 27	Audit 27
7851	Software Validation Scan Un-QA Product To Order	IT Controller	To test intrastats does not allow picking of unprocessed products to live customer orders	Unprocessed product gets out into the field, resulting in recalls	1	1	No Action	Severity set as critical as major non conformances would occur if UN-QA products made it past goods out. Likelihood is Improbable as this	4.1.6 / 6.3 / 7.5.6	7.1.3	VOP 27	Audit 27

								process tests the actual system of preventing UN-QA stock getting past QA. This process itself is to reduce the risk of UN-QA product getting past goods out				
7879	Software Validation Scheduled Tasks And Audits	IT Controller	To check the Scheduled Tasks and Audits is working as Intended. To also Check the Out of Date documents is working as Intended.	Tasks and Audit Rolling Issues Key to ISO requirements. risk of losing standards	1	1	No Action		7.5.6		VOP 27	Audit 27
7857	Software Validation Stock Tracking Check	IT Controller	To confirm Software Validation Stock Tracking Check, is functioning as expected	Stock gets mislaid in the warehouse	1	2	No Action		4.1.6 / 6.3 / 7.5.6	7.1.3 / 7.5.2	VOP 27	Audit 27
7856	Software Validation Unchecked Orders	IT Controller	To check order picking cannot pick against an unchecked order	Customer recieves incorrect items due to order not being checked.	2	2	No Action		4.1.6 / 6.3 / 7.5.6	7.1.3	VOP 27	Audit 27
52	Software Verification Clear Down Backup Emails	IT Controller	Keeps a month or so backup emails	Mail box gets full and bounces emails back	1	2	No Action		6.3		VOP 27	Audit 27
7752	SRS Folder	Office Processes	Ensure all outstanding repairs are being dealt with	repairs get stuck in the system	1	2	No Action		7.5.10	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.7.1	VOP 09	Audit 11
7898	Stamp Deliveries	Goods In	Stamp Acceptance of parcels in goods in with date stamp, log entry into the goods in database	parcels go missing.	1	1	No Action					Audit 09
5935	Stock Allocations	Warehouse Team Leader	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.	1	2	No Action		7.5.1		VOP 07	Audit 07
5854	Stock FAQ Admin List	Product Controller	To update and maintain the Stock FAQ list	No risks identified	1	1	No Action				VOP 13	Audit 09
6819	Supplier Payments and	Accounts Processes	Inputting the invoices from suppliers for the correct month.	invoices missed and therefore absent from	2	1	No Action		7.4.2		VOP	Audit

	Invoice processing		Ensuring they are all entered in to the correct period.	accounts and Vat return						04	04
28	Supplier Review	ISO Controller	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	1	1	No Action	4.2.1 / 7.4.2	9.1.3 / 9.3.2	VOP 13	Audit 05
6829	Supplier Review - Outstanding orders	Warehouse Team Leader	Orders that have not been supplied in the time scale provided.	That good will be delayed and therefore not available to customers.	2	2	No Action	7.4.2	9.1.3 / 9.3.2	VOP 07	Audit 05
6832	Supplier Review Future orders	Warehouse Team Leader	Orders that will be placed in the future.	That we will not place the correct orders and the right time.	1	2	No Action	7.4.2	9.1.3 / 9.3.2	VOP 07	Audit 05
7804	Sweep Kitchen Floor	Office Processes	To sweep the kitchen floor and clear and mess ready for mopping	Broom breakage	1	1	No Action	6.3	7.1.3	VOP 18	Audit 19
5908	Sweep Warehouse	Warehouse Team Leader	Cleaning of floors. Tidying so as to clean more effectively.	Dirty and unhygienic work space. Inadequate supply of cleaning products.	1	1	No Action	6.3 / 6.4.1		VOP 18	Audit 19
7793	Team Review Meeting	Office Processes	Duplicate Issue needs process removing see processid 7750	Computer/network breakdown	1	1	No Action		7.1.2 / 9.1.3	VOP 12	Audit 18
7956	Teledyne Stock For Vandagraph	Warehouse Team Leader	Internal Process for Vandagraph to request teledyne stock for ordering via Viamed	stock requested missed	1	1	No Action				Audit 05
57	Temporary Stock Notices	Sales Controller	To Review Memos on Stock references tagged as Temporary	That an out of date memo is left on the account	1	2	No Action	4.2.1		VOP 13	Audit 09
7934	Test Website Questions	IT Controller	Test the integration of the website submitted questions to intrastats	Questions may be missed and unanswered	1	1	No Action				Audit 14
7686	Thorough Checking Of Awaiting Action Tray	Office Processes	Check that outstanding orders with unresolved issues are being followed up and addressed	Computer/network breakdown	1	2	No Action	5.1 / 7.2.3	4.2 / 5.1.2 / 6.2.1 / 7.5.1 / 8.2.1 / 8.2.3	VOP 03	Audit 02
5940	Thumb Nail Processor	Documentation And Records Controller	Generate the Thumbs nails for the document Index	No real risk as pocuments with out a thumbail do not break the system, simply show a generic thumbnail required icon.	1	2	No Action		7.1.3	VOP 01	Audit 10
7695	Top Up Quick	Warehouse	Move Stock From QA Shelf To Quick Shipping	That stock is not	1	1	No	7.5.1	7.1.5.1		

	Shipping Shelves	Team Leader	Shelves	replaced so it will take longer to pick goods for orders.			Action			VOP 07	Audit 07
5881	Training Records Review	Human Resources	Keep Staff Training records upto date	Keep enough trained staff to perform our tasks	1	2	No Action		9.1.3 / 9.3.2	VOP 02	Audit 08
7896	Tree In Car Park	Maintenance Controller	To Maintain the Tree in the Car Park	the tree may become unsafe	3	1	No Action	6.3		VOP 18	Audit 19
7706	Update Virus Software And Scan For Viruses	Office Processes	Updating of anti-virus software and scanning computers for viruses	Computer/network breakdown	2	2	No Action		7.1.3	VOP 18	Audit 19
7901	UPS Exceptions Checkup	Office Processes	To check the emails that come in from UPS or other shippers, for problems delivering or clearing goods.	That goods will be unable to be delivered or cleared through customs.	1	2	No Action			VOP 03	Audit 04
7747	UPS Invoices Vandagraph	Accounts Processes	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	2	1	No Action		7.1.3	VOP 04	Audit 05
7745	UPS Invoices Viamed	Accounts Processes	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	2	1	No Action		7.1.3	VOP 04	Audit 05
7746	UPS Invoices VST	Accounts Processes	Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	That invoices are missed or a payment is not made. The account is put on stop.	2	1	No Action		7.1.3	VOP 04	Audit 05
6972	UPS Shipping Fuel Surcharge	Office Processes	Update the UPS rates to ensure we charge the correct amount of carriage	Computer/network breakdown	2	1	No Action		7.1.3	VOP 05	Audit 05
5866	UPS Shipping Fuel Surcharge	Warehouse Team Leader	UPS surcharges change on a monthly basis. The internal system requires updating so the postage rates can be calculated by anyone correctly. *PROCESS REPLACED WITH WORLDSHIP	We pay more for shipping than we charge to the customer	2	1	No Action		7.1.3	VOP 03	Audit 05
7794	V1000 Commissions Review	Accounts Processes	To review the payments of commisions for the v1000 Product line	This may be missed	1	2	No Action		7.1.5.1	VOP 04	Audit 05
5853	Vacuuming Of The Office, Hall And Meeting Room	Office Processes	Ensure customer facing areas are vacuumed	Vacuum malfunction	1	1	No Action	6.3		VOP 18	Audit 19
7953	Vandagraph	Office	To Send Vandagraph Delivery notifications	task not carried	1	1	No		4.2 / 5.1.2 /		

	Delivery Notifications	Processes		out			Action	6.2.1 / 7.5.1 / 8.2.1 / 8.2.3 / 8.2.3.1		Audit 02
7687	Vandagraph Duckets	Warehouse Team Leader	Collecting, cleaning and returning duckets to Vandagraph.	That they will be dirty and that Vandagraph will not have any when needed.	1	1	No Action	7.1.3	VOP 07	Audit 19
7954	Vandagraph Email Of Invoices	Office Processes	Vandagraph Email Of Invoices	Customer not receiving invoices and therefore not paying them	2	1	No Action			Audit 02
5865	Vandagraph Loan	Accounts Processes	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	1	3	No Action		VOP 04	Audit 04
7703	Vandagraph Pay Pal Retrieve Funds	IT Controller	To remove money from the Pay Pal system into Vandagraph Bank account	No risk to the process as such as its paypal driven, Can only withdraw funds to allocated bank account	1	2	No Action	8.2.1 / 8.2.2	VOP 04	Audit 04
7955	Vandagraph Shipper SignOff Collection	Office Processes	Vandagraph Shipper SignOff Collection List	task not carried out	1	1	No Action			Audit 02
7938	VAT Return Vandagraph	Accounts Processes	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.	3	1	No Action			Audit 04
5930	VAT Return Viamed	Accounts Processes	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.	3	1	No Action		VOP 04	Audit 04
7939	VAT Return VST	Accounts Processes	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.	3	1	No Action			Audit 04
6888	Viamed Automotive UK	UK Sales Controller	Report generate to give a idea of the current and future sales.	That the salesmen will not have prepared for this so a substandard report, or no report is produced.	1	2	No Action		VOP 25	Audit 16
7921	VST Bags And Grey Sensor	Accounts Processes	To calculate, sales of the Oxygen Sensor Bags and the grey sensor housing, This is no longer relevant as Envitec purchase	The job will be missed and we will not have enough stock	1	1	No Action			Audit 16

			the parts and have adjusted sensor prices to us								
7894	VST Customer Agreements	OEM Sales Controller	To check the Current Customer Agreements are still Valid	minimal risk	1	1	No Action			VOP 03	Audit 02
7965	VST Feedback	OEM Sales Controller	Enter Feedback from VST customer or Suppliers in the the Feedback headers Both Positive and Negative feedback to be logged	That it will be missed	2	2	No Action			VOP 19	Audit 14
7893	VST Price Lists	Product Controller	To confirm the Document index Price Lists	Prices go out of sync between Opera Main listing and the documented price lists	1	1	No Action			VOP 03	Audit 02
7801	VST Price Review	Sales Controller	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	2	1	No Action		5.1.2	VOP 25	Audit 02
7973	VST Product Performance - Customers	Product Controller	To produce Product performance report showing 2 years of returns. Which we can use to send to customers.	These reports may be missed	1	1	No Action				
7974	VST Product Performance - Suppliers	Product Controller	To produce Product performance report for Suppliers PMS Files	These reports may be missed	1	1	No Action				
7751	VST Purchase Order Log	Office Processes	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	1	2	No Action		8.4.2	VOP 03	Audit 05
7967	VST Stock Count For End April	Warehouse Team Leader	To count the final year end stock for VST	if the stock count is wrong customers may order goods we do not have stock may not be traceable	2	2	No Action			VOP 07	Audit 09
7962	VST Supplier QA Results	QA Goods In	To upload any supplier qa results to the PO update log	the QA results are not added to the system	1	1	No Action			VOP 07	Audit 09
5936	Wages Calculations	Human Resources	To print the time sheets and add any extras, overtime, sick days, or commissions.	That items will be missed.	2	2	No Action			VOP 04	Audit 08
56	Warehouse Outside Heating Guard	Maintenance Controller	Check the Boiler system before winter	working temperature incorrect / illegal Employee dissatisfaction	1	1	No Action	6.3 / 6.4.1		VOP 16	Audit 19
7957	Warehouse Requests	Warehouse Team Leader	Warehouse requests for stock to be reviewed, any shortages to be ordered or produced with a production Job	Stock requirements fulfilled	1	1	No Action	7.2.3		VOP 03	Audit 09

7806	Watering Plants	Office Processes	To water the plants and ensure their survival	Dead plants.	1	1	No Action	6.3	7.1.4	VOP 18	Audit 19
7969	Weee Waste Reporting	Documentation And Records Controller	To report official weee waste Weights we have placed in the Markets	Lose Certification to Weee Regulations	3	1	No Action			VOP 07	Audit 23
7740	Weights Per Region Needed To Submit EC Sales List	Accounts Processes	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	1	1	No Action		4.2 / 5.3	VOP 04	Audit 04
37	West Yorkshire Ambulance Stock	Office Processes	Viamed has a consignment stock with West Yorkshire Ambulance, 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.	Syncronisation Fails Stock shortage	1	1	No Action			VOP 03	Audit 02
7789	Withdraw Funds From Paypal	Accounts Processes	To remove the receipts that have come into Paypal over the month. So they can be entered in to accounts sales.	That a payment is not entered accounts , or onto the correct sales account.	1	1	No Action		8.2.1	VOP 04	Audit 04
7946	Xero Merge Customers That Are Duplicates	Accounts Processes	Xero - merge customers that are duplicates. Make sure they are under the NHS trust where relevant and not the individual hospital	that some will be missed	1	2	No Action			VOP 04	Audit 04
7945	Xero Review Sales Contacts	Accounts Processes	Xero Review Sales Contacts Export the customer contacts and download CSV file. Carefully open with Libra office making sure no column needs to be converted from standard. Check the Tax status and make sure all EC sales VAT customers have a VAT number, or are on 20% VAT. Check all countries have the correct TAX status.	missing VAT numbers and TAX status	2	2	No Action				Audit 04
7966	Xero Sync	Accounts Processes	Import Paid Invoices from Xero back to Interstats to update contact records	Displayed account information may not be upto date in intrastats	1	1	No Action			VOP 04	Audit 04
7697	Yearly Pricing Review	Product Controller	To review the current pricing and impact of increases	Getting this wrong can interfere with sales.	2	1	No Action	4.2.1	5.1.1 / 5.1.2	VOP 25	Audit 02
7963	NON REAL Test Process	IT Controller	This is a NON real Process, In the system for software Verification Purposes only								