

VIAmed & VST

Internal Audit Check list

Contract Review and Sales Order Processing

Created:	17/May 1995	Audit No 02	VOP12
Revised:	06 September 2021		Page 1 of 10
Audit Date	3-9-21	Auditor <i>Helen Lams</i>	

SCOPE

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 5.1.2	<p>Customer focus 5.1.2 Customer focus</p> <p>Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that:</p> <ul style="list-style-type: none"> a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met; b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; c) the focus on enhancing customer satisfaction is maintained. 	<i>Management Review</i> <i>internal issues</i>
VST Ltd ISO9001:2015 8.2.1	<p>Customer communication</p> <p>Communication with customers shall include:</p> <ul style="list-style-type: none"> a) providing information relating to products and services; b) handling enquiries, contracts or orders, including changes; c) obtaining customer feedback relating to products and services, including customer complaints; d) handling or controlling customer property; e) establishing specific requirements for contingency actions, when relevant. 	<i>Procedures</i> <i>internal</i>
VST Ltd ISO9001:2015 8.2.2	<p>Determining the requirements for products and services</p> <p>When determining the requirements for the products and services to be offered to customers, the organization shall ensure that:</p> <ul style="list-style-type: none"> a) the requirements for the products and services are defined, including: <ol style="list-style-type: none"> 1) any applicable statutory and regulatory requirements; 2) those considered necessary by the organization; b) the organization can meet the claims for the products and services it offers. 	<i>Review</i> <i>issues</i>
VST Ltd ISO9001:2015 8.2.3.1	<p>The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The organization shall conduct a review before committing to supply products and services to a customer, to include:</p> <ul style="list-style-type: none"> a) requirements specified by the customer, including the requirements for delivery and post delivery activities; b) requirements not stated by the customer, but necessary for the specified or intended use, when known; c) requirements specified by the organization; d) statutory and regulatory requirements applicable to the products and services; e) contract or order requirements differing from those previously expressed. <p>The organization shall ensure that contract or order requirements differing from those previously defined are resolved.</p> <p>The customers requirements shall be confirmed by the organization before acceptance, when the customer does not provide a documented statement of their</p>	<i>internal</i> <i>Procedures</i>

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	<p>requirements.</p> <p>NOTE In some situations, such as internet sales, a formal review is impractical for each order. Instead, the review can cover relevant product information, such as catalogues.</p>	
VST Ltd ISO9001:2015 8.2.3.2	<p>The organization shall retain documented information, as applicable: a) on the results of the review;</p> <p>b) on any new requirements for the products and services.</p>	<i>Doc index issues</i>
VST Ltd ISO9001:2015 8.2.4	<p>Changes to requirements for products and services</p> <p>The organization shall ensure that relevant documented information is amended, and that relevant persons are made aware of the changed requirements, when the requirements for products and services are changed.</p>	<i>Procedures instruments</i>
Viamed Ltd ISO13485:2016 5.2	<p>Customer focus</p> <p>Top management shall ensure that customer requirements and applicable regulatory requirements are determined and met.</p>	<i>instruments</i>
Viamed Ltd ISO13485:2016 7.2.1	<p>Determination of requirements related to product</p> <p>The organization shall determine:</p> <p>a) requirements specified by the customer, including the requirements for delivery and post delivery activities;</p> <p>b) requirements not stated by the customer but necessary for specified or intended use, as known;</p> <p>c) applicable regulatory requirements related to the product;</p> <p>d) any user training needed to ensure specified performance and safe use of the medical device;</p> <p>e) any additional requirements determined by the organization</p>	<i>instruments procedures</i>
Viamed Ltd ISO13485:2016 7.2.2	<p>Review of requirements related to product</p> <p>The organization shall review the requirements related to product. This review shall be conducted prior to the organization's commitment to supply product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that:</p> <p>a) product requirements are defined and documented;</p> <p>b) contract or order requirements differing from those previously expressed are resolved;</p> <p>c) applicable regulatory requirements are met;</p> <p>d) any user training identified in accordance with 7.2.1 is available or planned to be available;</p> <p>e) the organization has the ability to meet the defined requirements.</p> <p>Records of the results of the review and actions arising from the review shall be maintained (see 4.2.5).</p> <p>When the customer provides no documented statement of requirement, the customer requirements shall be confirmed by the organization before acceptance.</p> <p>When product requirements are changed, the organization shall ensure that relevant documents are amended and that relevant personnel are made aware of the changed requirements.</p>	<i>Instruments procedures QA + Doc index</i>
Viamed Ltd ISO13485:2016 7.2.3	<p>Communication</p> <p>The organization shall plan and document arrangements for communicating with customers in relation to:</p>	<i>Issues</i>

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	<p>a) product information; b) enquiries, contracts or order handling, including amendments; c) customer feedback, including complaints; d) advisory notices.</p> <p>The organization shall communicate with regulatory authorities in accordance with applicable regulatory requirements.</p>	
Viamed Ltd ISO13485:2016 8.2.4	<p>Internal audit</p> <p>The organization shall conduct internal audits at planned intervals to determine whether the quality management system:</p> <p>a) conforms to planned and documented arrangements, requirements of this International Standard, quality management system requirements established by the organization, and applicable regulatory requirements; b) is effectively implemented and maintained.</p> <p>The organization shall document a procedure to describe the responsibilities and requirements for planning and conducting audits and recording and reporting audit results.</p> <p>An audit program shall be planned, taking into consideration the status and importance of the processes and area to be audited, as well as the results of previous audits. The audit criteria, scope, interval and methods shall be defined and recorded (see 4.2.5). The selection of auditors and conduct of audits shall ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work.</p> <p>Records of the audits and their results, including identification of the processes and areas audited and the conclusions, shall be maintained (see 4.2.5).</p> <p>The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities and their causes.</p> <p>Follow-up activities shall include the verification of the actions taken and the reporting of verification results.</p> <p>NOTE Further information can be found in ISO 19011.</p>	<p>Doc index Intransfers Issues</p>

	QUESTION:		Y/N
1	Review Last years Audit Are all follow on Issue resolved satisfactory?	*	
2	Are Telephone orders being logged in the call log correctly.	telephone order log. Y # 235081	

* #196545 issue from last years
Audit re high value Performers
and Quotes . System update.

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3	<p>Are Contact Details being updated in the system correctly and fully. Check 5 of this weeks Invoices: Check the Invoice, ORD customer paperwork and CRM are correct. Stamped, initialled and dated correctly</p> <p>1. RVM132464-1 ✓ ✓ ✓ 2. RVM132484-1 ✓ ✓ ✓ 3. RVM132426-1 ✓ ✓ ✓ 4. RVM132474-1 ✓ ✓ ✓ 5. RST130228-2 ✓ ✓ ✓</p>	<p>No longer stamp and sign all digital.</p> <p>Y # Need easy way to 235085 See Invoices shipped</p>																												
4	<p>Check contacts match to Accounts package. Review 5 contacts.</p> <p>1. RVM132464-1 Meridian ✓ 2. RVM132484-1 Yardley Green Uni Birmingham ✓ 3. RVM132426-1 Warrington ✓ 4. RVM132474-1 manchester Royal ✓ 5. RST130228-2 REVO ✓</p>	<p>Y</p>																												
5	<p>Check 6 invoices match between Intrastats and Accounts package. Address, stock, totals, VAT</p> <table border="1"> <tr> <td>old</td> <td>total</td> <td>stock</td> <td>VAT</td> </tr> <tr> <td>1. RVM132464-1 ✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>2. RVM132484-1 ✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>3. RVM132426-1 ✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>4. RVM132474-1 ✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>5. RST132362-1 ✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> <tr> <td>6. RST130228-2 ✓</td> <td>✓</td> <td>✓</td> <td>✓</td> </tr> </table>	old	total	stock	VAT	1. RVM132464-1 ✓	✓	✓	✓	2. RVM132484-1 ✓	✓	✓	✓	3. RVM132426-1 ✓	✓	✓	✓	4. RVM132474-1 ✓	✓	✓	✓	5. RST132362-1 ✓	✓	✓	✓	6. RST130228-2 ✓	✓	✓	✓	<p>Y</p>
old	total	stock	VAT																											
1. RVM132464-1 ✓	✓	✓	✓																											
2. RVM132484-1 ✓	✓	✓	✓																											
3. RVM132426-1 ✓	✓	✓	✓																											
4. RVM132474-1 ✓	✓	✓	✓																											
5. RST132362-1 ✓	✓	✓	✓																											
6. RST130228-2 ✓	✓	✓	✓																											
6	<p>Check sales office filing is done correctly and as per GDPR. Archiving processed correctly.</p> <p>list</p>	<p>all digital due to Covid 19</p> <p>N/A</p>																												
7	<p>Quotes and proformas file used correctly check 4 of each address/stock Box size where relevant, checked as per order, stamped emailed and dated. - check any over the limit set in VM3COP03 have been signed by a director.</p> <p>Check reviewed regularly.</p> <p>list</p> <p>Quotes</p> <p>1. QVM131168 ✓ ✓ ✓ 2. QVM131702 ✓ ✓ ✓ 3. QVM131901 ✓ ✓ ✓ repair 4. QVM132013 ✓ ✓ ✓</p> <p>Proformas</p> <p>1. MVM131225 ✓ ✓ ✓ Box sizes included 2. MVM131315 ✓ ✓ ✓ Box size ✓ 3. MVM132019 ✓ ✓ ✓ Box size ✓ 4. MVM132072 ✓ ✓ ✓ Box size</p>	<p>Question needs updating all Digital Now # 234644</p> <p>Y</p>																												

Status - Other # 235176

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*1 New system received in
mean time statement added
to make sure Quotes/ Proforma
checked by Director.
initials added

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Sub Processes Linked to Audit 02

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

List Processes Per Title

Product Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 5905 Check we have consistent pricing across the different databases.	418 Director 3 (Steve) <i>234540</i>	71 <i>234645</i> Managing Director <i>in terms</i>	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	<i>Page being Re written</i>
PROCESSID 7697 To review the current pricing and impact of Director 3 (Steve) increases	501 <i>221213</i>	502 <i>223822</i> Managing Director	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M	
PROCESSID 7893 To confirm the Document index Price Lists	822 Director 3 (Steve) <i>230435</i>	<i>in terms</i>	Freq 1 Risk 1 Overall 1	Task 3M	
ISO Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7941 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.	1005 Managing Director <i>230814</i>		Freq 2 Risk 3 Overall 6	Task 12M	
Humanmed Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7670 Review of Humanmed sales and orders and clear any duplicates or problems.	611 <i>231822</i> Office Processes		Freq 3 Risk 1 Overall 3	Task 1M	
PROCESSID 7782 Remove Started But Not Used Order Numbers from Intrastats.	770 <i>228097</i> Managing Director		Freq 2 Risk 1 Overall 2	Task 3M	
Sales Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7801 To review the current pricing and impact of Office Processes increases	653 <i>208031</i> Office Processes	654 Director 3 (Steve) <i>209128</i>	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M	

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EX Sales Force

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 5872 Review the Sale or Return list in intrastats. Ensure it is up to date.	291 234655 EX Sales Controller	293 225430 Managing Director	Freq 3 Risk 2 Overall 6	Task 1M Audit 3M	

OEM Sales Controller

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7808 To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes	670 234224 Managing Director	704 228424 Director 3 (Steve)	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
PROCESSID 7894 To check the Current Customer Agreements are still Valid	823 Director 3 (Steve)	1067 Managing Director	Freq 1 Risk 1 Overall 1	Task 6M Audit 12M	

UK Sales Force

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 5871 Review the Sale or Return list in intrastats. Ensure it is up to date.	292 UK Sales Controller	293 Managing Director	Freq 3 Risk 2 Overall 6	Task 1M Audit 3M	
PROCESSID 5876 To Collect E.Commerce Cardea And Multiquote Orders	361	225430	Freq 5 Risk 1 Overall 5		

Accounts Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7872 To review with the banks any embargo countries	794 Company Secretary		Freq 2 Risk 3 Overall 6	Task 6M	

Audits

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7715 To carry out Audit 02 Contract Review Viamed		36 234214 Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M	
PROCESSID 7763 To carry out Audit 02 Contract Review VST	187 Company Secretary	234221 X	Freq 1 Risk 2 Overall 2	Audit 12M	-This Audit

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Vandagraph

Process Scope

PROCESSID 7791

Changing of the prices lists without informing the sales team.

Issue to check these are current

*Vandagraph is not an ISO company

Goods Out

Process Scope

PROCESSID 6954

To check the back orders in the tray in goods out and check the active list back orders has been reviewed

Office Processes

Process Scope

PROCESSID 2

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

PROCESSID 7

Process to check customer orders and enable picking

PROCESSID 14

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

PROCESSID 36

Invoices are emailed to customers

PROCESSID 37

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.

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7791	636 EX Sales Controller 234707		Freq 3 Risk 2 Overall 6	Task 1M	
PROCESSID 6954	905 Goods Out 234426	906 Company Secretary 233662	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	
PROCESSID 2	668 Office Processes 234414		Freq 2 Risk 1 Overall 2	Audit 3M	
PROCESSID 7	901 Office Processes 234823		Freq 1 Risk 1 Overall 1	Audit 1W	
PROCESSID 14	367 367	411 ✓	Freq 4 Risk 1 Overall 4		
PROCESSID 36	430 Office Processes 235016	362 Company Secretary 234534	Freq 4 Risk 1 Overall 4	Task 1D Audit 1W	
PROCESSID 37	348	349	Freq 4 Risk 1 Overall 4		

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WYA Stock check via the website.

We can now check their stock agrees with ours.

PROCESSID 5875

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

PROCESSID 5882

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

PROCESSID 5891

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

PROCESSID 5892

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

PROCESSID 5893

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

PROCESSID 5894

Check the Active Back orders ensure no orders get missed

PROCESSID 5895

Ensuring that the allocated tasks are being completed

PROCESSID 5897

Task to Frank outgoing Mail

PROCESSID 5899

Chase outstanding Quotes and Proformas

PROCESSID 5913

Checking the logistics mailbox from within and the main inbox for outstanding Humanmed orders.

PROCESSID 5943

Checking the Cardea and Multiquote websites for outstanding orders or requests

PROCESSID 5948

Adding customer accounts to account management software

PROCESSID 5949

Inputting the accurate data on to our pre-

239 234382

Office Processes

401 232553

Office Processes

Freq 4

Risk 1

Overall 4

Task 1W

Audit 1M

382 234536

Office Processes

383 232715

Office Processes

Freq 4

Risk 1

Overall 4

Task 1W

Audit 4W

536

Freq 3

Risk 1

Overall 3

397 235013

Office Processes

398

Office Processes

Freq 5

Risk 1

Overall 5

Task 1D

Audit 1W

643 235026

Office Processes

396 232550

Company Secretary

Freq 5

Risk 1

Overall 5

Task 1D

Audit 1M

896 235045

Office Processes

897 221253

Managing Director

Freq 1

Risk 1

Overall 1

Task 1D

Audit 6M

776 235113

Managing Director

777 233184

Office Processes

Freq 3

Risk 1

Overall 3

Task 1W

Audit 1M

564 Goods Out

234851

568 218913

Office Processes

Freq 5

Risk 1

Overall 5

Task 1D

Audit 6M

409 Office Processes

235015

410 232558

Office Processes

Freq 3

Risk 1

Overall 3

Task 1W

Audit 1M

465 Office Processes

235049

466 Office Processes

234244

Freq 4

Risk 1

Overall 4

Task 1D

Audit 1M

530 Office Processes

234866

279 234654

Office Processes

Freq 4

Risk 1

Overall 4

Task 1W

Audit 1M

669 Company Secretary

224204

669 224204

Company Secretary

Freq 3

Risk 1

Overall 3

Audit

12M

903 Goods Out

234719

904 Company Secretary

234720

Freq 1

Risk 3

Overall 3

Task 1W

Audit 1M

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printed credit card slips for processing on dispatch of good. Secure storing and processing			Overall 3	
PROCESSID 7676 Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers	504	505	Freq 2 Risk 1 Overall 2	
NO LONGER REQUIRED AS DONE BY THE SYSTEM AUTOMATICALLY				
PROCESSID 7678 Checking the Catalog 360 Circle website for outstanding orders or requests	478 234689	531 233164	Freq 4 Risk 1 Overall 4	Task 1W Audit 1M
PROCESSID 7686 Check that outstanding orders with unresolved issues are being followed up and addressed	487 235020	569 232402	Freq 5 Risk 1 Overall 5	Task 1D Audit 1M
PROCESSID 7696 Emailing Notifications of shipments	496 235021	537 234698	Freq 5 Risk 1 Overall 5	Task 1D Audit 1W
PROCESSID 7709 Ensure invoices are generated for shipped orders	523 235021	524 234993	Freq 5 Risk 1 Overall 5	Task 1D Audit 1M
PROCESSID 7712 Review the payments received to ensure proformas can be shipped	528 235032	529 234409	Freq 3 Risk 1 Overall 3	Task 1D Audit 1W
PROCESSID 7735 Ensure samples and Sale or Return items are followed up after 4 weeks for feedback and the item(s) is returned as appropriate	549 234563	550 234413	Freq 4 Risk 1 Overall 4	Task 1W Audit 1M
PROCESSID 7758 Check the emails for orders from GHX	603 235038	604 233136	Freq 4 Risk 1 Overall 4	Task 1W Audit 1M
PROCESSID 7761 Emailing Notifications of shipments	620 235041	621 234568	Freq 5 Risk 1 Overall 5	Task 1D Audit 1W
PROCESSID 7783 Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers	612	613	Freq 4 Risk 1 Overall 4	
NOW DONE AUTOMATICALLY				
PROCESSID 7795 Answering any questions that are asked via the website from within Intrastats	643 235026		Freq 5 Risk 1 Overall 5	Task 1D
PROCESSID 7822 To check we have the stock available to	708	709	Freq 3 Risk 1	

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supply our customer Oxylink.

NOTE THIS PROCESS HAS BEEN
STOPPED.

Part number has been superseded

PROCESSID 7936

Checking external system for orders

PROCESSID 7953

To Send Vandagraph Delivery notifications

PROCESSID 7955

Vandagraph Shipper SignOff Collection List

		Overall 3	
234580	✓	233665	✓
990	991	Freq 2	Task 1W
Office Processes	Marketing Processes	Risk 2	Audit 1M
1043	235064	Overall 4	
Office Processes	✓	Freq 1	Task 1D
1044	235053	Risk 1	
Office Processes	✓	Overall 1	
		Freq 1	Task 1D
		Risk 1	
		Overall 1	