

Internal Audit Check list			
SALES AND MARKETING			
Created:	23/OCT/17	<b>Audit 16</b>	
Revised:	10 September 2021		Page 1 of 6
Audit Date	10-9-21	Auditor <i>Helen Lamb</i>	

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 5.1.2	<p><b>Customer focus</b></p> <p>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"> <li>a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met;</li> <li>b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed;</li> <li>c) the focus on enhancing customer satisfaction is maintained.</li> </ul>	<i>Management review issues intrastats</i>
VST Ltd ISO9001:2015 8.2.2	<p><b>Determining the requirements for products and services</b></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"> <li>a) the requirements for the products and services are defined, including:</li> <ol style="list-style-type: none"> <li>1) any applicable statutory and regulatory requirements;</li> <li>2) those considered necessary by the organization;</li> </ol> <li>b) the organization can meet the claims for the products and services it offers.</li> </ul>	<i>intrastats issues review + feedback management review</i>
Viamed Ltd ISO13485:2016 5.2	<p><b>Customer focus</b></p> <p>Top management shall ensure that customer requirements and applicable regulatory requirements are determined and met.</p>	<i>management review</i>
Viamed Ltd ISO13485:2016 6.7.2.1	<p><b>Determination of requirements related to product</b></p> <p>The organization shall determine:</p> <ul style="list-style-type: none"> <li>a) requirements specified by the customer, including the requirements for delivery and postdelivery activities;</li> <li>b) requirements not stated by the customer but necessary for specified or intended use, as known;</li> <li>c) applicable regulatory requirements related to the product;</li> <li>d) any user training needed to ensure specified performance and safe use of the medical device;</li> <li>e) any additional requirements determined by the organization</li> </ul>	<i>Procedures issues intrastats VOPS management reviews</i>
Viamed Ltd ISO13485:2016 6.7.2.3	<p><b>Communication</b></p> <p>The organization shall plan and document arrangements for communicating with customers in relation to:</p> <ul style="list-style-type: none"> <li>a) product information;</li> <li>b) enquiries, contracts or order handling, including amendments;</li> <li>c) customer feedback, including complaints;</li> <li>d) advisory notices.</li> </ul> <p>The organization shall communicate with regulatory authorities in accordance with applicable regulatory requirements.</p>	<i>Doc index intrastats procedures</i>

	<u>QUESTION:</u>	<u>RESPONSE</u>	<u>Y/N</u>
1	Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	all completed	Y
2	Are meetings carried out regularly. Go to Host meeting and check the last meeting.	Done 9 <sup>th</sup> Sept 21	Y

### List Processes Per Title

IT Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7916 To check the webmaster tools to see our websites from googles point of view. fix any errors it may flag up	919 Managing Director 232545		Freq 1 Risk 1 Overall 1	Task 1M	
Sales Controller					
Sales Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 5884 Report generate to give a idea of the current and future sales and marketing.	234428 388 Director 3 in terms (Steve)	387 235301 Managing Director	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
PROCESSID 7909 To update the online GTIN / EAN13 databases of stock descriptions for pepol use	893 Marketing Processes 234716	894 Managing Director 228273 X 230859	Freq 1 Risk 1 Overall 1	Task 1M Audit 6M	Training Required for CH. Doesn't affect process
PROCESSID 7931 Review any Logged Competitor Pricing	960 Managing Director 232614		Freq 1 Risk 1 Overall 1	Task 1M	
PROCESSID 7949 Send Current Sales Project List to Relevant sales members	1029 Managing Director 234725	1030 Office Processes 234293	Freq 1 Risk 1 Overall	Task 1M Audit 3M	
Marketing Controller					
Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues

PROCESSID 5886 Report generate to give a idea of the current and future sales and marketing.	386 Marketing Processes	387 Managing Director	Freq 3 Risk 1 Overall	Task 1M Audit 3M	
	234232	✓ 235307	3		

### UK Sales Controller

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 5883 Report generate to give a idea of the current and future sales.	384 UK Sales Controller	387 Managing Director	Freq 3 Risk 1 Overall	Task 1M Audit 3M	
	234230	✓ 235307	3		
PROCESSID 6888	384 UK Sales Controller	387 Managing Director	Freq 3 Risk 1 Overall	Task 1M Audit 3M	
	234230	✓ 235307	3		
PROCESSID 6898 To review the GHX Web Pricing	365 Marketing Processes		Freq 3 Risk 2 Overall	Task 1M	
	232291	X in terms	6		
PROCESSID 7920 To review Sales warning pages, highlights dropping in sales	57 UK Sales Controller		Freq 1 Risk 1 Overall	Task 1M	
	232540	✓	1		
PROCESSID 7927 To check Contract prices are still valid and within date	944 Marketing Processes	945 UK Sales Controller	Freq 1 Risk 1 Overall	Task 1M Audit 3M	
	232541	✓ 232874	1		

### EX Sales Controller

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 5873 To check through list of export distributors	204 EX Sales Controller	379 Managing Director	Freq 3 Risk 1 Overall	Task 1M Audit 3M	
	233733	✓ 232878	3		
PROCESSID 5885 Report generate to give a idea of the current and future sales and marketing.	385 EX Sales Controller	387 Managing Director	Freq 3 Risk 1 Overall	Task 1M Audit 3M	
	234231	✓ 235307	3		

### EX Sales Force

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
PROCESSID 7926 Sales forecasts	58 EX Sales Controller		Freq 1 Risk 1 Overall	Task 1M	

## Accounts Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
<b>PROCESSID 7921</b> To calculate, sales of the Oxygen Sensor Bags and the grey sensor housing,  This is no longer relevant as Envitec purchase the parts and have adjusted sensor prices to us	931  Director 3 (Steve)	<i>209446</i> ✓	Freq 1 Risk 1 Overall 1		

## Audits

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
<b>PROCESSID 7959</b> Audit to include Sales and Marketing Functions	1056  Company Secretary	<i>234253</i> ✗	Freq 1 Risk 1 Overall 1	Audit 12M	<i>This Audit</i>
<b>PROCESSID 7960</b> Audit for Sales and Marketing	1057  Company Secretary	<i>234227</i> ✗	Freq 1 Risk 1 Overall 1	Task 12M	

## Marketing Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
<b>PROCESSID 40</b> To start the next years calendar.	41  Marketing Processes	<i>233998</i> ✓	Freq 1 Risk 2 Overall 2	Task 12M	
<b>PROCESSID 5870</b> Book our place at Arab Health if we decided on going	196  Director 3 (Steve)	<i>224152</i> ✗	Freq 1 Risk 1 Overall 1	Task 12M	<i>Covid 19 dependant on going</i>

## Office Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Notes / Issues
<b>PROCESSID 19</b> Ensure required leaflets are in stock	538  Marketing Processes	539 Goods Out <i>234699</i> ✓ <i>234261</i>	Freq 4 Risk 1 Overall 4	Task 1W Audit 1M	
<b>PROCESSID 20</b> Ensuring mail shots are printed and sent	402  Marketing	403 Office <i>234666</i> ✓ <i>232718</i>	Freq 4. Risk 1	Task 1W	

	Processes	Processes	Overall	Audit
<b>PROCESSID 21</b> Ensuring office job list is being updated and completed	570 Marketing Processes 235010	534 Managing Director 233475	Freq 4 Risk 1 Overall 4	Task 1W Audit 1M
<b>PROCESSID 7925</b> Providing Feedback to ebay customers	939 Office Processes 235047	940 Marketing Processes 233189	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M
<b>PROCESSID 7947</b> 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.	1026 Office Processes 234291	1027 Director 3 (Steve) 228276	Freq 1 Risk 1 Overall 1	Task 1M Audit 3M
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.				
We should be aiming for at least 2 to 4 scheduled orders on the system at any one time.				
<b>PROCESSID 7948</b> 8010006 – rEVo oxygen sensor orders	1028 Office Processes 234292		Freq 1 Risk 1 Overall 1	Task 1M
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.				
<b>PROCESSID 7950</b> Envitec oxygen sensor parts stock check	1031 Director 3 (Steve) 234726	1032 Managing Director 225481	Freq 1 Risk 1 Overall 1	Task 1M Audit 3M
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				