

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

| Company / ISO Section | Criteria of ISO Section | Auditor Comments / Issues |
|--------------------------------------|---|--|
| VST Ltd ISO9001:2015 5.1.2 | Customer focus 5.1.2 Customer focus Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that: 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. | Management Review Issues Infrastructure |
| VST Ltd ISO9001:2015 8.2.2 | Determining the requirements for products and services When determining the requirements for the products and services to be offered to customers, the organization shall ensure that: a) the requirements for the products and services are defined, including: 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. | Infrastructure Issues Reviews + Feedback Management Review |
| Viamed Ltd ISO13485:2016 5.2 | Customer focus Top management shall ensure that customer requirements and applicable regulatory requirements are determined and met. | Management Review |
| Viamed Ltd ISO13485:2016 7.2.1 | Determination of requirements related to product The organization shall determine: a) requirements specified by the customer, including the requirements for delivery and postdelivery activities; b) requirements not stated by the customer but necessary for specified or intended use, as known; c) applicable regulatory requirements related to the product; d) any user training needed to ensure specified performance and safe use of the medical device; e) any additional requirements determined by the organization | Procedures Issues Infrastructure SOPs Management Reviews |
| Viamed Ltd ISO13485:2016 7.2.3 | Communication The organization shall plan and document arrangements for communicating with customers in relation to: a) product information; b) enquiries, contracts or order handling, including amendments; c) customer feedback, including complaints; d) advisory notices. The organization shall communicate with regulatory authorities in accordance with applicable regulatory requirements. | Doc index Infrastructure procedures |

| | <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 th Sept 21 | Y |

List Processes Per Title

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|---|--|---|-------------------------------|------------------------|--|
| 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 | | | | | |
| 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. | 388 Director 3 (Steve) 234828 in terms | 387 Managing Director 235307 ✓ | Freq 3 Risk 1 Overall 3 | Task 1M Audit 3M | |
| PROCESSID 7909 To update the online GTIN / EAN13 databases of stock descriptions for peppol use | 893 Marketing Processes 234716 ✓ | 894 Managing Director 228273 x 230859 x | 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 |

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|---|---|--|-------------------------------|------------------------|-----------------------|
| PROCESSID 5886 Report generate to give a idea of the current and future sales and marketing. | 386 Marketing Processes 234232 ✓ | 387 Managing Director 235307 ✓ | Freq 3 Risk 1 Overall 3 | Task 1M Audit 3M | |
| 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 234230 ✓ | 387 Managing Director 235307 ✓ | Freq 3 Risk 1 Overall 3 | Task 1M Audit 3M | |
| PROCESSID 6888 | 384 UK Sales Controller 234230 ✓ | 387 Managing Director 235307 ✓ | Freq Risk Overall | Task 1M Audit 3M | |
| PROCESSID 6898 To review the GHX Web Pricing | 365 Marketing Processes 232291 X in terms | | Freq 3 Risk 2 Overall 6 | Task 1M | |
| PROCESSID 7920 To review Sales warning pages, highlights dropping in sales | 57 UK Sales Controller 232540 ✓ | | Freq 1 Risk 1 Overall 1 | Task 1M | |
| PROCESSID 7927 To check Contract prices are still valid and within date | 944 Marketing Processes 232543 ✓ | 945 UK Sales Controller 232874 ✓ | Freq 1 Risk 1 Overall 1 | Task 1M Audit 3M | |
| 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 233733 ✓ | 379 Managing Director 232878 ✓ | Freq 3 Risk 1 Overall 3 | Task 1M Audit 3M | |
| PROCESSID 5885 Report generate to give a idea of the current and future sales and marketing. | 385 EX Sales Controller 234231 ✓ | 387 Managing Director 235307 ✓ | Freq 3 Risk 1 Overall 3 | Task 1M Audit 3M | |
| EX Sales Force | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7926 Sales forecasts | 58 EX Sales Controller 232541 ✓ | | Freq 1 Risk 1 Overall | Task 1M | |

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| Accounts Processes | | | | | |
| Process Scope | Roll Task | Roll Audit | Risk | Action | Notes / Issues |
| PROCESSID 7921 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) 209446 ✓ | | Freq 1 Risk 1 Overall 1 | | |

Audits

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

Marketing Processes

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

Office Processes

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

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|---|---|---|----------------------------------|---------------------------|
| | Processes | Processes | Overall 4 | Audit 1M |
| PROCESSID 21 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 |
| PROCESSID 7925 Providing Feedback to ebay customers | 939 Office Processes 235067 ✓ | 940 Marketing Processes 233187 ✓ | Freq 1 Risk 1 Overall 1 | Task 1W Audit 1M |
| PROCESSID 7947 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. We should be aiming for at least 2 to 4 scheduled orders on the system at any one time. | 1026 Office Processes 234291 ✓ | 1027 Director 3 (Steve) 228276 ✓ | Freq 1 Risk 1 Overall 1 | Task 1M Audit 3M |
| PROCESSID 7948 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. | 1028 Office Processes 234292 | | Freq 1 Risk 1 Overall 1 | Task 1M |
| PROCESSID 7950 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 | 1031 Director 3 (Steve) 234726 ✓ | 1032 Managing Director 225481 ✓ | Freq 1 Risk 1 Overall 1 | Task 1M Audit 3M |