

Internal Audit Check list			
Contract Review and Sales Order Processing			
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Audit Date	12-9-22	Auditor <i>Helen Lamb</i>	

SCOPE

named

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 5.1.2	<p>Customer focus</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"> 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. 	
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. 	
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. 	
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</p>	

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	customer does not provide a documented statement of their requirements. 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.	/
VST Ltd ISO9001:2015 8.2.3.2	The organization shall retain documented information, as applicable: a) on the results of the review; b) on any new requirements for the products and services.	/
VST Ltd ISO9001:2015 8.2.4	Changes to requirements for products and services 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.	/
Viamed Ltd ISO13485:2016 5.2	Customer focus Top management shall ensure that customer requirements and applicable regulatory requirements are determined and met.	Doc index Route map Audit calendar
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 post delivery 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	Doc index Procedure Review meetings management Review Training Record
Viamed Ltd ISO13485:2016 7.2.2	Review of requirements related to product The organization shall review the requirements related to product. This review shall be conducted prior to the organization's commitment to supply product to the customer (e.g. submission of tenders, acceptance of contracts or orders, acceptance of changes to contracts or orders) and shall ensure that: a) product requirements are defined and documented; b) contract or order requirements differing from those previously expressed are resolved; c) applicable regulatory requirements are met; d) any user training identified in accordance with 7.2.1 is available or planned to be available; e) the organization has the ability to meet the defined requirements. Records of the results of the review and actions arising from the review shall be maintained (see 4.2.5). When the customer provides no documented statement of requirement, the customer requirements shall be confirmed by the organization before acceptance. 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.	management Review Doc index Procedures Route Map Training Records PMS Tech files
Viamed Ltd ISO13485:2016 7.2.3	Communication The organization shall plan and document arrangements for communicating with customers in relation to:	Doc index Procedures Roles & tasks

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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>	Route map
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. 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 Audit calendar Route map management review Roles + tasks</p>

	QUESTION:		Y/N
1	Review Last years Audit Are all follow on Issue resolved satisfactory?		Y
2	Are Telephone orders being logged in the call log correctly.	# 271692	Y

Yes but need better way
to show this

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3	Are Contact Details being updated in the system correctly and fully. Check 6 of this weeks Invoices, different companies. Check the Invoice, customer paperwork and CRM are correct. 1. 139173 ✓ 2. 138817 ✓ 3. 139186 ✓ 4. 139180 ✓ 5. 139174 ✓ 6. 139170 ✓		✓
4	Check contacts match to Accounts package. Review the same as question 3. 1. 139173 ✓ 2. 138817 ✓ 3. 139186 ✓ 4. 139174 ✓ 5. 139180 ✓ 6. 139170 ✓		✓
5	Check 6 invoices match between Intrastats and Accounts package. Use the same as Question 3. Address, stock, totals, VAT. 1. 139173 ✓ 2. 138817 ✓ 3. 139186 ✓ 4. 139174 ✓ 5. 139180 ✓ 6. 139170 ✓		✓
6	Paperwork – All is now digital but double check in the sales office and around both buildings for paperwork that should be disposed of securely. Ensure it is processed as per GDPR, not left lying around and when finished with shredded or archived correctly. Review Tasks ID1087, ID1086, ID508, ID509	1087 - 269753 ✓ 1086 - 271522 ✓ 508 - 271495 ✓ 509 - 266985 ✓	✓

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7	Quotes and proformas – check 4 of each, check the addresses, stock, and quantities to the customer paperwork. Check any over the limit set in VM3COP03 have been approved by a director. Quotes 1. QVM 139176 ✓ 2. QVM 139163 ✓ 3. QVM 139021 ✓ 4. QVM 139012 ✓ Proformas 1. MVM 139175 ✓ 2. MVM 139152 ✓ 3. MVM 139150 ✓ 4. MVM 139131 ✓		
8	Quotes and proformas – check these are being reviewed regularly. Note any that have not been reviewed within the last 2 months. Note these below and issue the person responsible. 409- 271211 ✓ 410- 268975 ✓ 1089- 271078 + items 1091- 271042 ✓ 576- 271479	1090- 267660 ✓ 486- 271489 ✓ 1092- 267661 ✓	Y

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

ISO Controller	Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
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 267606		Freq 1 Risk 3 Overall 3	Task 12M	

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Product Controller

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 5905 Check we have consistent pricing across the different databases.	418 270911 Director 3 (Steve) <i>in terms</i>	71 270881 Managing Director	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
PROCESSID 7697 To review the current pricing and impact of increases	501 258885 Director 3 (Steve)	502 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>261407</i>	261435 <i>✓</i>	Freq 1 Risk 1 Overall 1	Task 3M	

Humanmed Controller

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7670 Review of Humanmed sales and orders and clear any duplicates or problems.	611 271509 Office Processes	<i>✓</i>	Freq 3 Risk 1 Overall 3	Task 1M	
PROCESSID 7782 Remove Started But Not Used Order Numbers from intrastats.	770 Managing Director	265149 <i>✓</i>	Freq 2 Risk 1 Overall 2	Task 3M	

Sales Controller

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7801 To review the current pricing and impact of increases	653 Director 3 (Steve) <i>✓</i>	654 Managing Director	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M	

UK Sales Force

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 5871 Review the Sale or Return list in intrastats. Ensure it is up to date.	27089392 UK Sales Controller	293 Managing Director	Freq 2 Risk 1 Overall 2	Task 1M Audit 3M	
PROCESSID 5876 To Collect E.Commerce Cardea And Multiquote Orders	361		Freq 1 Risk 1 Overall 1		

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PROCESSID 7971 Chase outstanding Quotes and Proformas put on by Steve H or that he is responsible for.	1091 UK Sales Controller	1092 Office Processes	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M		
EX Sales Force	271042	267661				
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document	
PROCESSID 5872 Review the Sale or Return list in intrastats. Ensure it is up to date.	270893 EX Sales Controller	293 Managing Director	Freq 2 Risk 1 Overall 2	Task 1M Audit 3M		
PROCESSID 7970 Chase outstanding Quotes and Proformas put on by Ryan or that he is responsible for.	1089 EX Sales Controller	1090 Office Processes	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M		
OEM Sales Controller	271078X in terms	267660				
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document	
PROCESSID 7808 To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes	270597 670 Managing Director	704 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		
Vandagraph	258607	255207				
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document	
PROCESSID 7791 Changing of the prices lists. Issue to check these are current	636 EX Sales Controller		Freq 1 Risk 2 Overall 2	Task 1M		
*Vandagraph is not an ISO company	271074 in terms					
Repairs Controller						
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document	
PROCESSID 8005 Check relevant information is being fully entered correctly on SRS system. Check 5 SRS in the system,	1156 Office Processes	1157 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M		

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make sure, there is customer contact details, including email address, serial numbers, part numbers.

Audits

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7715 To carry out Audit 02 Contract Review Viamed	270589 Re these audits	36 Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M	This Audit
PROCESSID 7763 To carry out Audit 02 Contract Review VST		187 Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M	VST Audit

Accounts Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7872 To review with the banks any embargo countries	251501	794 Company Secretary	Freq 1 Risk 3 Overall 3	Task 6M	

Office Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
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	270781	668 Office Processes	Freq 2 Risk 1 Overall 2	Audit 3M	
PROCESSID 7 Process to check customer orders and enable picking	271045	901 Office Processes	Freq 1 Risk 1 Overall 1	Audit 1W	
PROCESSID 14 Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	367	411 271476	Freq 1 Risk 1 Overall 1		
PROCESSID 36 Invoices are emailed to customers	430 Office Processes	362 Company Secretary	Freq 2 Risk 1 Overall 2	Task 1D Audit 1W	
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	348	349	Freq 1 Risk 1 Overall 1		

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stock.				
WYA Stock check via the website.				
We can now check their stock agrees with ours.	271338 ✓	269135 ✓		
PROCESSID 5875 Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox	239 Office Processes	401 Office Processes	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M
PROCESSID 5882 Humanedmed post is received, it needs to be forwarded to Humanmed UK Sales Manager	382	383	Freq 4 Risk 1 Overall 4	
HumanMed has Gone, tasks no longer required				
PROCESSID 5891 To process the Repair Quotes And Orders as they come in.		536	Freq 3 Risk 1 Overall 3	
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.	397 ✓ Office Processes	398 ✗ Office Processes	Freq 2 Risk 2 Overall 4	Task 1D Audit 1W
PROCESSID 5893 Answering any questions that are asked via the website from within Instratats	643 271609 Office Processes	396 268968 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1D Audit 1M
PROCESSID 5894 Check the Active Back orders ensure no orders get missed	896 271638 Office Processes	897258948 Managing Director	Freq 1 Risk 1 Overall 1	Task 1W Audit 6M
PROCESSID 5895 Ensuring that the allocated tasks are being completed	776 271633 Managing Director	777269874693 Office Processes	Freq 1 Risk 1 Overall 3	Task 1W Audit 1M
PROCESSID 5897 Task to Frank outgoing Mail	271626 ✗ in terms 564 Goods Out	568256889 Office Processes	Freq 5 Risk 1 Overall 5	Task 1D Audit 6M
PROCESSID 5899 Chase outstanding Quotes and Proformas	409 271211 Office Processes	410 2689715 Office Processes	Freq 3 Risk 1 Overall 3	Task 1W Audit 1M
PROCESSID 5913 Checking the logistics mailbox from within and the main inbox for outstanding Humanmed orders.	465	466	Freq 2 Risk 1 Overall 2	
NO LONGER REQUIRED HUMANEMD STOPPED	271618 ✓	271047 ✓		
PROCESSID 5943 Checking the Cardea and Multiquote websites for outstanding orders or requests	530 ✓ Office Processes	279 ✓ Company Secretary	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M
PROCESSID 5948 Adding customer accounts to account management software	261866 669 Company Secretary	669 Company Secretary	Freq 3 Risk 1 Overall 3	Audit 12M
PROCESSID 5949	903	904	Freq 1	Task 1W

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Inputting the accurate data on to our pre-printed credit card slips for processing on dispatch of good. Secure storing and processing	Goods Out	Company Secretary	Risk 3 Overall 3	Audit 1M	
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	531	Freq 2 Risk 1 Overall 2		
SYSTEM NO LONGER USED	<i>271486</i>	<i>268965</i>			
PROCESSID 7686 Check that outstanding orders with unresolved issues are being followed up and addressed	487 Office Processes	569 Company Secretary	Freq 2 Risk 1 Overall 2	Task 7D Audit 1M	
PROCESSID 7696 Emailing Notifications of shipments	496 <i>271611</i>	537 Office Processes	<i>271621</i> Freq 2 Risk 1 Overall 2	Task 1D Audit 1W	
PROCESSID 7709 Ensure invoices are generated for shipped orders	523 Office Processes	524 <i>271603</i> Office Processes	<i>271615</i> Freq 2 Risk 2 Overall 4	Task 1D Audit 1M	
PROCESSID 7712 Review the payments received to ensure proformas can be shipped	528 Office Processes	529 <i>271617</i> Office Processes	<i>27136</i> 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 Office Processes	550 <i>271504</i> UK Sales Controller	<i>270184</i> Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID 7758 Check the emails for orders from GHX	603 Office Processes	604 <i>271232</i>	<i>269751</i> Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID 7761 Emailing Notifications of shipments	620 Office Processes	621 <i>271628</i> Office Processes	<i>271511</i> Freq 2 Risk 1 Overall 2	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 2 Risk 1 Overall 2		
NOW DONE AUTOMATICALLY					
PROCESSID 7795 Answering any questions that are asked via the website from within Intrastats	643 Office Processes	711609	Freq 1 Risk 1 Overall 1	Task 1D	
PROCESSID 7822 To check we have the stock available to supply our customer Oxylink.	708	709	Freq 3 Risk 1 Overall 3		
NOTE THIS PROCESS HAS BEEN STOPPED.					

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Part number has been superseded			270068		
PROCESSID 7936 Checking external system for orders	271518	990 Office Processes	991 Marketing Processes	Freq 2 Risk 2 Overall 4	Task 1W Audit 1M
PROCESSID 7953 To Send Vandagraph Delivery notifications	271636	1043 Office Processes in terms		Freq 1 Risk 1 Overall 1	Task 1D
PROCESSID 7955 Vandagraph Shipper SignOff Collection List	271644	1044 Office Processes in terms		Freq 1 Risk 1 Overall 1	Task 1D
PROCESSID 7988 To confirm contact details are being entered into the system correctly.		1122 Company Secretary	1123 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M
Between our Invoice, Customer Paperwork and the existing CRM		257239			
PROCESSID 7989 Verifiying the contact details on invoices match between internal system and the external accounts package	257350	1124 Company Secretary	1125 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M
Goods Out					
Process Scope		Roll Task	Roll Audit	Risk	Action Referenced in Document
PROCESSID 6954 To check the back orders in the tray in goods out and check the active list back orders has been reviewed		905 Goods Out	906 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M

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+ in
terms