Internal Audit Check list
Contract Review and Sales Order Processing

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SCOPE

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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 Procedures PMS External Parties QA reviews
VST Ltd ISO9001:2015 8.2.1	**Customer communication** Communication with customers shall include: 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.	Doc index Roles titles + Process procedures Feedback management Review
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.	Doc index Route map Marketing index management Review procedures Roles, titles Processess
VST Ltd ISO9001:2015 8.2.3.1	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: 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. The organization shall ensure that contract or order requirements differing from those previously defined are resolved. The customers requirements shall be confirmed by the organization before acceptance, when the	Procedures Roles titles + Process Doc index Route map Feedback

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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.		*Doc index QA Feedback manage Review*
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.		*Doc index Required reading*
Viamed Ltd ISO13485:2016 5.2	**Customer focus** Top management shall ensure that customer requirements and applicable regulatory requirements are determined and met.		✓
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		✓
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.		✓
Viamed Ltd ISO13485:2016 7.2.3	**Communication** The organization shall plan and document arrangements for communicating with customers in relation to:		✓

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	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.	✓
Viamed Ltd ISO13485:2016 8.2.4	**Internal audit** The organization shall conduct internal audits at planned intervals to determine whether the quality management system: 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. The organization shall document a procedure to describe the responsibilities and requirements for planning and conducting audits and recording and reporting audit results. 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. 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). 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. NOTE Further information can be found in ISO 19011.	✓

	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 unsure how 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. 138104-1 ✓ Megalodon 2. 137408-1 ✓ REVO 3. 139136-1 ✓ Honeywell 4. 138227-1 ✓ SSCCR 5. 138735-1 ✓ Honeywell 6. 138211-1 ✓ M38		Y
4	Check contacts match to Accounts package. Review the same as question 3. 1. 138104 ✓ 2. 137408 ✓ 3. 139136 ✓ 4. 138227 ✓ 5. 138735 ✓ 6. 138211 ✓		Y
5	Check 6 invoices match between Intrastats and Accounts package. Use the same as Question 3. Address, stock, totals, VAT. 1. 138104 ✓ 2. 137408 ✓ 3. 139136 ✓ 4. 138227 ✓ 5. 138735 ✓ 6. 138211 ✓		Y
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 ✓	Y

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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. 2. 3. No Quotes 4. Proformas 1. 137307 ✓ 2. 137308 ✓ 3. 138128 ✓ 4. 138129 ✓		Y
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. Task 409 – 271211 ✓ 576 – 271479 ✓ 410 – 268975 ✓ 1090 – 267660 ✓ 1089 – 271078 ✗ in terms 486 – 271489 ✓ 1091 – 271042 ✓ 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) *in terms*	71 *270885* Managing Director	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
PROCESSID **7697** To review the current pricing and impact of increases	501 *258855* 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) *267407*	*261435*	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 Office Processes *271509*		Freq 3 Risk 1 Overall 3	Task 1M	
PROCESSID **7782** Remove Started But Not Used Order Numbers from intrastats.	770 Managing *265149* Director		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) *245415*	654 Managing Director *246436*	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M	

UK Sales Force

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
	270893	*271588*			
PROCESSID **5871** Review the Sale or Return list in intrastats. Ensure it is up to date.	292 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 *271042* ✓	1092 Office Processes *267665*	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M	

EX Sales Force

Process Scope	Roll Task	Roll Audit *271588* ✓	Risk	Action	Referenced in Document
PROCESSID 5872 Review the Sale or Return list in intrastats. Ensure it is up to date. *270893*	291 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 *271078* ✗ *in terms*	1090 Office Processes *267669* ✓	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M	

OEM Sales Controller

Process Scope	Roll Task	Roll Audit *265540* ✓	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) *258607*	1067 Managing Director *255207*	Freq 1 Risk 1 Overall 1	Task 6M Audit 12M	

Vandagraph

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7791 Changing of the prices lists. Issue to check these are current *Vandagraph is not an ISO company	636 EX Sales Controller *271074* ✗ *in terms*		Freq 1 Risk 2 Overall 2	Task 1M	

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 *258947* ✓	1157 Managing Director *270666* ✓	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	*Viamed.*
PROCESSID 7763 To carry out Audit 02 Contract Review VST		187 Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M	*This Audit*

Accounts Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7872 To review with the banks any embargo countries *257507*	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	*270787*	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	*271599 + Interns* 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 HumanMed has Gone, tasks no longer required	382	383	Freq 4 Risk 1 Overall 4		
PROCESSID **5891** To process the Repair Quotes And Orders as they come in. *271593* ✓ *271593* ✓		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 · *Letters* Office ʌ Processes	Freq 2 Risk 2 Overall 4	Task 1D Audit 1W	
PROCESSID **5893** Answering any questions that are asked via the website from within Intrastats	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	897 *258926* ✓ 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	777 *269876* ✓ Office Processes	Freq 3 Risk 1 Overall 3	Task 1W Audit 1M	
PROCESSID **5897** Task to Frank outgoing Mail *271626* *+ terms*	564 Goods Out	568 *256889* ✓ Office Processes	Freq 5 Risk 1 Overall 5	Task 1D Audit 6M	
PROCESSID **5899** Chase outstanding Quotes and Proformas	409 *271211* ✓ Office Processes	410 *268975* ✓ 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. NO LONGER REQUIRED HUMANEMD STOPPED *271618* ✓ *271047* ✓	465	466	Freq 2 Risk 1 Overall 2		
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	Freq 3 Risk 1 Overall 3	Audit 12M	
PROCESSID **5949**	903	904	Freq 1	Task 1W	

271639 ✓ *270956*

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	Goods Out	Company Secretary	Risk 3 Overall 3	Audit 1M	
Inputting the accurate data on to our pre-printed credit card slips for processing on dispatch of good. Secure storing and processing					
PROCESSID 7676 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	504	505	Freq 2 Risk 1 Overall 2		
PROCESSID 7678 Checking the Catalog 360 Circle website for outstanding orders or requests SYSTEM NO LONGER USED	478	531	Freq 2 Risk 1 Overall 2		
PROCESSID 7686 Check that outstanding orders with unresolved issues are being followed up and addressed	271486 487 Office Processes	268965 569 Company Secretary	Freq 2 Risk 1 Overall 2	Task 7D Audit 1M	
PROCESSID 7696 Emailing Notifications of shipments	496 271611 ✓	537 27162 Office form in Processes	Freq 2 Risk 1 Overall 2	Task 1D Audit 1W	
PROCESSID 7709 Ensure invoices are generated for shipped orders	523 271603 ✓ Office Processes	524 271615 Office- form in Processes	Freq 2 Risk 2 Overall 4	Task 1D Audit 1M	
PROCESSID 7712 Review the payments received to ensure proformas can be shipped	528 271617 ✓ Office Processes	529 271361 ✓ Office Processes	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 271504 Office Processes 271232 ✓	550 270784 UK Sales Controller	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID 7758 Check the emails for orders from GHX	603 271232 ✓ Office Processes	604 26976 ✓ Office Processes	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID 7761 Emailing Notifications of shipments	271628 + in form 620 Office Processes	621 271511 ✓ Office Processes	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 NOW DONE AUTOMATICALLY	612	613	Freq 2 Risk 1 Overall 2		
PROCESSID 7795 Answering any questions that are asked via the website from within Intrastats	643 271609 Office Processes		Freq 1 Risk 1 Overall 1	Task 1D	
PROCESSID 7822 To check we have the stock available to supply our customer Oxylink. NOTE THIS PROCESS HAS BEEN STOPPED.	708	709	Freq 3 Risk 1 Overall 3		

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Part number has been superseded

PROCESSID 7936 Checking external system for orders	*271518*	990 Office Processes	991 Marketing Processes	Freq 2 Risk 2 Overall 4	Task 1W Audit 1M	*270068*
PROCESSID 7953 To Send Vandagraph Delivery notifications	*271636 + in terms*	1043 Office Processes		Freq 1 Risk 1 Overall 1	Task 1D	
PROCESSID 7955 Vandagraph Shipper SignOff Collection List	*271644 + in Lot*	1044 Office Processes		Freq 1 Risk 1 Overall 1	Task 1D	
PROCESSID 7988 To confirm contact details are being entered into the system correctly. Between our Invoice, Customer Paperwork and the existing CRM	*257230*	1122 Company Secretary	1123 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	
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 *271371*	906 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	

+ in terms