

# Internal Audit Check list

## SALES AND MARKETING

Created:	23/OCT/17	Audit 16	
Revised:	14 September 2022		Page 1 of 6
Audit Date	14-9-22	Auditor <i>Helen Lamb</i>	

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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>/</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>/</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 Rant map Audit Calendar Roles + tasks procedures Doc index Roles + tasks Rant map 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 Doc index Roles + tasks Rant map management Review</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 Procedure Roles + tasks</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.		Y
2 Are meetings carried out regularly. Go to Host meeting and check the last meeting.		

### List Processes Per Title

<b>IT Controller</b>	<b>Roll Task</b>	<b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	Referenced in Document
<b>Process Scope</b>					
<b>PROCESSID 7916</b> To check the webmaster tools to see our websites from googles point of view. fix any errors it may flag up					
	919 Managing Director 269129		Freq 1 Risk 1 Overall 11	Task 1M	
<b>Marketing Controller</b>					
<b>Process Scope</b>	<b>Roll Task</b>	<b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	Referenced in Document
<b>PROCESSID 5886</b> Report generate to give a idea of the current and future sales and marketing.	386	387 Managing Director 271591	Freq 3 Risk 1 Overall 13	Audit 3M	
<b>Sales Controller</b>					
<b>Process Scope</b>	<b>Roll Task</b>	<b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	Referenced in Document
<b>PROCESSID 5884</b> Report generate to give a idea of the current and future sales and marketing.	388 Director 3 (Steve) 271207 in form	387 Managing Director 271591	Freq 3 Risk 1 Overall 13	Task 1M Audit 3M	
<b>PROCESSID 7909</b> To update the online GTIN / EAN13 databases of stock descriptions for peppol use	893 Managing Director 271076	894 Marketing Process 267647	Freq 1 Risk 1 Overall 11	Task 1M Audit 6M	
<b>PROCESSID 7931</b>	960		Freq 1	Task	

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Review any Logged Competitor Pricing	Managing Director		Risk 1 Overall 11	1M	
PROCESSID 7949 Send Current Sales Project List to Relevant sales members	1029 Managing Director	1030 Office Process es	Freq 1 Risk 1 Overall 11	Task 1M Audit 3M	
<i>270959 ✓ 270660 ✓</i>					
<b>EX Sales Controller</b>					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 5873 To check through list of export distributors	204 EX Sales Controller	379 Managing Director	Freq 3 Risk 1 Overall 13	Task 1M Audit 3M	
	<i>270149 x in terms</i>	<i>269394 ✓</i>			
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 13	Task 1M Audit 3M	
	<i>270606 x in terms</i>	<i>271591 ✓</i>			
<b>UK Sales Controller</b>					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
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 13	Task 1M Audit 3M	
	<i>270605 ✓</i>	<i>271591 ✓</i>			
PROCESSID 6888 Report generate to give a idea of the current and future sales.	384 UK Sales Controller	387 Managing Director	Freq 2 Risk 1 Overall 12	Task 1M Audit 3M	
	<i>270605 ✓</i>	<i>271591 ✓</i>			
PROCESSID 6898 To review the GHX Web Pricing	365		Freq 1 Risk 2 Overall 12		
PROCESSID 7920 To review Sales warning pages, highlights dropping in sales	57 UK Sales Controller	<i>271864 x in terms</i>	Freq 1 Risk 1 Overall 11	Task 1M	
PROCESSID 7927 To check Contract prices are still valid and within date	944 Marketing Processes	945 UK Sales Control	Freq 1 Risk 1 Overall 11	Task 1M Audit 3M	

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<b>EX Sales Force</b>						
<b>Process Scope</b>		<b>Roll Task</b>	<b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	Referenced in Document
PROCESSID 7926 Sales forecasts		58 EX Sales Controller		Freq 1 Risk 1 Overall 11	Task 1M	
<i>overdue chased 271865</i>						
<b>Audits</b>						
<b>Process Scope</b>		<b>Roll Task</b>	<b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	Referenced in Document
PROCESSID 7959 Audit to include Sales and Marketing Functions		1056 Company Secretary		Freq 1 Risk 1 Overall 11	Audit 12M	<i>This Audit</i>
PROCESSID 7960 Audit for Sales and Marketing		1057 Company Secretary		Freq 1 Risk 1 Overall 11	Task 12M	<i>VST</i>
<b>Accounts Processes</b>						
<b>Process Scope</b>		<b>Roll Task</b>	<b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	Referenced in Document
PROCESSID 7921 To calculate, sales of the Oxygen Sensor Bags and the grey sensor housing,		931		Freq 1 Risk 1 Overall 11		
This is no longer relevant as Envitec purchase the parts and have adjusted sensor prices to us						
<b>Office Processes</b>						
<b>Process Scope</b>		<b>Roll Task</b>	<b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	Referenced in Document
PROCESSID 19 Ensure required leaflets are in stock	271622	538 Marketing Processes	539 Goods Out	Freq 2 Risk 1 Overall 12	Task 1W Audit 1M	
PROCESSID 20 Ensuring mail shots are printed and sent	271594	402 Marketing Processes	403 Company Secretary	Freq 1 Risk 1 Overall 11	Task 1W Audit 1M	<i>2692531</i>
PROCESSID 21 Ensuring office job list is being updated and completed	570	534 Marketing Manager	534 Risk 1	Freq 2 Risk 1	Task 1W	

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	Processes	ng Directo r	Overall	Audit	
<b>PROCESSID 7925</b> Providing Feedback to ebay customers	939 Office Processes	940 Market ing Process es	Freq 1 Risk 1 Overall 1 1	Task 1W Audit 1M	
	271903 ✓		269835 ✓		
<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.  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.	1026 Office Processes	1027 Directo r 3 (Steve)	Freq 1 Risk 1 Overall 1 1	Task 1M Audit 3M	
		276658 ✓	265458 ✓		
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  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.	1028 Office Processes		Freq 1 Risk 1 Overall 1 1	Task 1M	
		270659			
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  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 orders have been processed, please send a reminder email to:  Felix.Krellenberg@honeywell.com cc. Jessica.Wagner@honeywell.com	1031 Director 3 (Steve)	1032 Managi ng Directo r	Freq 1 Risk 1 Overall 1 1	Task 1M Audit 3M	
	271079 ✓	271643 ✓			

Marketing Processes		Roll Task	Roll Audit	Risk	Action	Referenced in Document
Process Scope						
PROCESSID 40	To start the next years calendar.	41 Marketing Processes 270500		Freq 1 Risk 2 Overall 12	Task 12M	
PROCESSID 5870	Book our place at Arab Health if we decided on going	196 Director 3 (Steve)		Freq 1 Risk 1 Overall 11	Task 12M	

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over due X  
chased.