

Internal Audit Check list

Purchasing

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Audit Date		Auditor <i>Helen Lamb</i>	

SCOPE

Company / ISO Section	Criteria of ISO Section	Auditor Comments Issues
VST Ltd ISO9001:2015 7.1.3	Infrastructure The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services. NOTE Infrastructure can include: a) buildings and associated utilities; b) equipment, including hardware and software; c) transportation resources; d) information and communication technology.	/
VST Ltd ISO9001:2015 8.4.1	General The organization shall ensure that externally provided processes, products and services conform to requirements. The organization shall determine the controls to be applied to externally provided processes, products and services when: a) products and services from external providers are intended for incorporation into the organization's own products and services; b) products and services are provided directly to the customer(s) by external providers on behalf of the organization; c) a process, or part of a process, is provided by an external provider as a result of a decision by the organization. The organization shall determine and apply criteria for the evaluation, selection, monitoring of performance, and re-evaluation of external providers, based on their ability to provide processes or products and services in accordance with requirements. The organization shall retain documented information of these activities and any necessary actions arising from the evaluations.	/
VST Ltd ISO9001:2015 8.4.2	Type and extent of control The organization shall ensure that externally provided processes, products and services do not adversely affect the organization's ability to consistently deliver conforming products and services to its customers. The organization shall: a) ensure that externally provided processes remain within the control of its quality management system; b) define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output; c) take into consideration: 1) the potential impact of the externally provided processes, products and services on the organization's ability to consistently meet customer and applicable statutory and regulatory requirements; 2) the effectiveness of the controls applied by the external provider;	/

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	d) determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.	
VST Ltd ISO9001:2015 8.4.3	Information for external providers The organization shall ensure the adequacy of requirements prior to their communication to the external provider. The organization shall communicate to external providers its requirements for: a) the processes, products and services to be provided; b) the approval of: 1) products and services; 2) methods, processes and equipment; 3) the release of products and services; c) competence, including any required qualification of persons; d) the external providers' interactions with the organization; e) control and monitoring of the external providers' performance to be applied by the organization; f) verification or validation activities that the organization, or its customer, intends to perform at the external providers' premises.	
VST Ltd ISO9001:2015 8.5.1	Control of production and service provision The organization shall implement production and service provision under controlled conditions. Controlled conditions shall include, as applicable: a) the availability of documented information that defines: 1) the characteristics of the products to be produced, the services to be provided, or the activities to be performed; 2) the results to be achieved; b) the availability and use of suitable monitoring and measuring resources; c) the implementation of monitoring and measurement activities at appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met; d) the use of suitable infrastructure and environment for the operation of processes; e) the appointment of competent persons, including any required qualification; f) the validation, and periodic revalidation, of the ability to achieve planned results of the processes for production and service provision, where the resulting output cannot be verified by subsequent monitoring or measurement; g) the implementation of actions to prevent human error; h) the implementation of release, delivery and post-delivery activities	
VST Ltd ISO9001:2015 8.7.1	The organization shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery. The organization shall take appropriate action based on the nature of the	

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	<p>nonconformity and its effect on the conformity of products and services. This shall also apply to nonconforming products and services detected after delivery of products, during or after the provision of services.</p> <p>The organization shall deal with nonconforming outputs in one or more of the following ways:</p> <ul style="list-style-type: none"> a) correction; b) segregation, containment, return or suspension of provision of products and services; c) informing the customer; d) obtaining authorization for acceptance under concession. <p>Conformity to the requirements shall be verified when nonconforming outputs are corrected.</p>	
<p>VST Ltd</p> <p>ISO9001:2015 9.3.2</p>	<p>Management review inputs</p> <p>9.3.2 Management review inputs The management review shall be planned and carried out taking into consideration:</p> <ul style="list-style-type: none"> a) the status of actions from previous management reviews; b) changes in external and internal issues that are relevant to the quality management system; c) information on the performance and effectiveness of the quality management system, including trends in: <ul style="list-style-type: none"> 1) customer satisfaction and feedback from relevant interested parties; 2) the extent to which quality objectives have been met; 3) process performance and conformity of products and services; 4) nonconformities and corrective actions; 5) monitoring and measurement results; 6) audit results; 7) the performance of external providers; d) the adequacy of resources; e) the effectiveness of actions taken to address risks and opportunities (see 6.1); f) opportunities for improvement. 	
<p>Viamed Ltd</p> <p>ISO13485:2016 4.1.5</p>	<p>Quality management system</p> <p>For each quality management system process, the organization shall:</p> <p>When the organization chooses to outsource any process that affects product conformity to requirements, it shall monitor and ensure control over such processes. The organization shall retain responsibility of conformity to this International Standard and to customer and applicable regulatory requirements for outsourced processes. The controls shall be proportionate to the risk involved and the ability of the external party to meet the requirements in accordance with 7.4. The controls shall include written quality agreements.</p>	<p>Supplier Review Risk map Doc index Policies + titles</p>
<p>Viamed Ltd</p> <p>ISO13485:2016 7.3.4</p>	<p>Design and development outputs</p> <p>Design and development outputs shall:</p> <ul style="list-style-type: none"> a) meet the input requirements for design and development; b) provide appropriate information for purchasing, production and service 	<p>Tech files Doc index</p>

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	<p>provision;</p> <p>c) contain or reference product acceptance criteria;</p> <p>d) specify the characteristics of the product that are essential for its safe and proper use.</p> <p>The outputs of design and development shall be in a form suitable for verification against the design and development inputs and shall be approved prior to release.</p> <p>Records of the design and development outputs shall be maintained (see 4.2.5).</p>	Renew meetings
<p>Viamed Ltd</p> <p>ISO13485:2016 7.4.1</p>	<p>Purchasing process</p> <p>The organization shall document procedures (see 4.2.4) to ensure that purchased product conforms to specified purchasing information.</p> <p>The organization shall establish criteria for the evaluation and selection of suppliers. The criteria shall be:</p> <p>a) based on the supplier's ability to provide product that meets the organizations' requirements;</p> <p>b) based on the performance of the supplier;</p> <p>c) based on the effect of the purchased product on the quality of the medical device;</p> <p>d) proportionate to the risk associated with the medical device.</p> <p>The organization shall plan the monitoring and re-evaluation of suppliers. Supplier performance in meeting requirements for the purchased product shall be monitored. The results of the monitoring shall provide an input into the supplier re-evaluation process.</p> <p>Non-fulfilment of purchasing requirements shall be addressed with the supplier proportionate to the risk associated with the purchased product and compliance with applicable regulatory requirements.</p> <p>Records of the results of evaluation, selection, monitoring and re-evaluation of supplier capability or performance and any necessary actions arising from these activities shall be maintained (see 4.2.5).</p>	<p>Supplier</p> <p>Renew</p> <p>Doc index</p> <p>Procedures</p> <p>Roles + titles</p>
<p>Viamed Ltd</p> <p>ISO13485:2016 7.4.2</p>	<p>Purchasing information</p> <p>Purchasing information shall describe or reference the product to be purchased, including as appropriate:</p> <p>a) product specifications;</p> <p>b) requirements for product acceptance, procedures, processes and equipment;</p> <p>c) requirements for qualification of supplier personnel;</p> <p>d) quality management system requirements.</p> <p>The organization shall ensure the adequacy of specified purchasing requirements prior to their communication to the supplier.</p> <p>Purchasing information shall include, as applicable, a written agreement that the supplier notify the organization of changes in the purchased product prior to implementation of any changes that affect the ability of the purchased product to meet specified purchase requirements.</p> <p>To the extent required for traceability given in 7.5.9, the organization shall</p>	<p>Procedures</p> <p>Supplier</p> <p>Renew</p> <p>Purchasing</p> <p>System</p> <p>Doc index</p>

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	maintain relevant purchasing information in the form of documents (see 4.2.4) and records (see 4.2.5).	
Viamed Ltd ISO13485:2016 7.4.3	Verification of purchased product The organization shall establish and implement the inspection or other activities necessary for ensuring that purchased product meets specified purchasing requirements. The extent of verification activities shall be based on the supplier evaluation results and proportionate to the risks associated with the purchased product. When the organization becomes aware of any changes to the purchased product, the organization shall determine whether these changes affect the product realization process or the medical device. When the organization or its customer intends to perform verification at the supplier's premises, the organization shall state the intended verification activities and method of product release in the purchasing information. Records of the verification shall be maintained (see 4.2.5).	Purchasing System Procedures Supplier Review Roles & titles
Viamed Ltd ISO13485:2016 7.5.2	Cleanliness of product The organization shall document requirements for cleanliness of product or contamination control of product if: a) product is cleaned by the organization prior to sterilization or its use; b) product is supplied non-sterile and is to be subjected to a cleaning process prior to sterilization or its use; c) product cannot be cleaned prior to sterilization or its use, and its cleanliness is of significance in use; d) product is supplied to be used non-sterile, and its cleanliness is of significance in use; e) process agents are to be removed from product during manufacture. If product is cleaned in accordance with a) or b) above, the requirements contained in 6.4.1 do not apply prior to the cleaning process.	Doc index Tech files
Viamed Ltd ISO13485:2016 7.5.3	Installation activities The organization shall document requirements for medical device installation and acceptance criteria for verification of installation, as appropriate. If the agreed customer requirements allow installation of the medical device to be performed by an external party other than the organization or its supplier, the organization shall provide documented requirements for medical device installation and verification of installation. Records of medical device installation and verification of installation performed by the organization or its supplier shall be maintained (see 4.2.5).	Doc index Tech files Procedures
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	Audit Calendar Route Map

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	<p>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).</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</p> <p>Audit Calendar</p> <p>Rank map</p> <p>Management Renew</p>
<p>Viamed Ltd</p> <p>ISO13485:2016 8.4</p>	<p>Analysis of data</p> <p>The organization shall document procedures to determine, collect and analyse appropriate data to demonstrate the suitability, adequacy and effectiveness of the quality management system. The procedures shall include determination of appropriate methods, including statistical techniques and the extent of their use. The analysis of data shall include data generated as a result of monitoring and measurement and from other relevant sources and include, at a minimum, input from:</p> <ul style="list-style-type: none"> a) feedback; b) conformity to product requirements; c) characteristics and trends of processes and product including opportunities for improvement; d) suppliers; e) audits; f) service reports, as appropriate. <p>If the analysis of data shows that the quality management system is not suitable, adequate or effective, the organization shall use this analysis as input for improvement as required in 8.5.</p> <p>Records of the results of analyses shall be maintained (see 4.2.5).</p>	<p>Doc index</p> <p>Procedure</p> <p>Audit Calendar</p> <p>QA system</p> <p>Supplier Renew</p>

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named.

	Question	Response/Answer	Y/N
1	Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	<i>Nothing outstanding</i>	<i>Y</i>
2	Check Rolling Task ID 15 to make sure it is up to date.	<i>#302285 ✓</i>	<i>Y</i>
3	When was the Approved Supplier List last completed. <i>this is now ongoing when overdue no orders, can be put on.</i>		<i>Y</i>
4	Verify that there is an up to date suppliers used list.		<i>Y</i>
5	Is the List up to date and reviewed annually.		<i>Y</i>
6	Check that this list is monitored on a regular basis. Task 15 <i>#302285 ✓</i>	See responsibilities and roles in Intrastats	<i>Y</i>
7	Are individual suppliers graded and reviewed on Intrastats.		<i>Y</i>
8	Do our Purchasing documents clearly describe requirements, i.e. quantity, price, description. Check that purchase orders (PO) are committed by a Director. From the Purchase orders page. Check the PO matches to the items delivered. Check the PO matches to the items on the supplier invoice/s. Check 5 purchase orders at random 1. <i>PVM 3316 ✓ ✓</i> 2. <i>PVM 3305 ✓ ✓</i> 3. <i>PVM 3297 ✓ ✓</i> 4. <i>PVM 3292 ✓ ✓</i> 5. <i>PVM 3270 ✓ ✓</i>		<i>Y</i>
9	Are COSH Safety data sheets saved in Intrastats and linked to stock part numbers where required. Use the stock on the above PO's, in question 8.		<i>Y</i>

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Sub Processes Linked to Audit 05

Review the below processes tasks and audits and ensure they are completed in a timely manner.

List Processes Per Title

Managing Director					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 34 Ensure the latest version of our Insurance / master indemnity letters are up to date	33 Managing Director		Freq 1 Risk 1 Overall 1	Task 12M	
ISO Controller	398850 ✓				
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 28 Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	15 Managing Director 302285 ✓	610 Company Secretary 286144 ✓	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	
Warehouse Team Leader					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 5855 To contact Teledyne and confirm the purchase orders we have outstanding for them	220 Director 3 (Steve) 306232 ✓	375 Managing Director 304216 ✓	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID 5866 UPS surcharges change on a monthly basis. The internal system requires updating so the postage rates can be calculated by anyone correctly. *PROCESS REPLACED WITH WORLDSHIP	64	376	Freq 1 Risk 2 Overall 2		
PROCESSID 5868 To get Returns numbers from suppliers with return shipments pending.	66 Goods Out 306096 + interns	69 Managing Director 304920 ✓	Freq 2 Risk 1 Overall 2	Task 1W Audit 2M	
PROCESSID 6829 Orders that have not been supplied in the time scale provided.	616 Director 3 (Steve) 304037 ✓	942 Managing Director 305572 ✓	Freq 2 Risk 2 Overall 4	Task 1M Audit 3M	
PROCESSID 6832 Orders that will be placed in the future.	483 Director 3 (Steve) 304337 ✓	964 Managing Director 274802 ✓	Freq 2 Risk 1 Overall 2	Task 1M Audit 12M	
PROCESSID 7679 To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	479 Director 3 (Steve) 305120 ✓		Freq 2 Risk 1 Overall 2	Task 2W	
PROCESSID 7680	480 304946 ✓	916 304045 ✓	Freq 2	Task 2W	

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To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	Director 3 (Steve)	Managing Director	Risk 1 Overall 2	Audit 1M	
PROCESSID 7681 To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	481 Goods In <i>305278 ✓</i>		Freq 2 Risk 1 Overall 2	Task 2W	
PROCESSID 7682 To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	482 Director 3 (Steve) <i>305613 ✓</i>		Freq 2 Risk 1 Overall 2	Task 2W	
PROCESSID 7683 To check that we have stock in for customer proformas. Or review if any stock needs to be ordered.	484 Director 3 (Steve) <i>306020 ✓</i>		Freq 2 Risk 1 Overall 2	Task 1W	
PROCESSID 7784 Supplier returns to Envitec, return any products waiting to be returned	622 Goods In <i>306135 ✓</i>	625 Managing Director <i>304724 ✓</i>	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID 7785 Supplier returns to Teledyne, return any products waiting to be returned	624 Goods In <i>306137 ✓</i>	625 Managing Director <i>304724 ✓</i>	Freq 2 Risk 1 Overall 2	Task 2W Audit 1M	
PROCESSID 7786 Supplier returns to Maxtec, return any products waiting to be returned	623 Goods In <i>306136 ✓</i>	625 Managing Director <i>304724 ✓</i>	Freq 2 Risk 1 Overall 2	Task 2W Audit 1M	
PROCESSID 7787 Review the returns that are present in the duckets, for each supplier as per the issues.	626 Goods In <i>304725 ✓</i>	625 Managing Director <i>304724 ✓</i>	Freq 3 Risk 1 Overall 3	Task 1M Audit 1M	
PROCESSID 7956 Internal Process for Vandagraph to request teledyne stock for ordering via Viamed	1045 EX Sales Controller <i>305458x ✓</i>	1046 Managing Director <i>273520 ✓</i>	Freq 1 Risk 1 Overall 1	Task 1M Audit 12M	
PROCESSID 7975 Arranging Teledyne failed sensors for credits and / or return. Teledyne do not want us to return Medical Sensors that have been sent out to the customer and then failed. They will be crediting these without us sending back Automotive sensors are not to be returned either and will be credited unseen.	1097 Director 3 (Steve) <i>term's ✓</i>		Freq 1 Risk 1 Overall 1	Task 3M	

Audits

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7717 To carry out Audit 05 Purchasing Suppliers Viamed	<i>Viamed Audit</i>	37 <i>305383 ✓</i> Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M	
PROCESSID 7765 To carry out Audit 05 Purchasing Suppliers VST	<i>VST Audit</i>	190 <i>305390 ✓</i> Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M	

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Accounts Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7745 Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	572 Company Secretary 305580 ✓		Freq 1 Risk 2 Overall 2	Task 1M	
PROCESSID 7746 Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	573 Company Secretary 305579 ✓		Freq 1 Risk 2 Overall 2	Task 1M	
PROCESSID 7747 Go on to the UPS web site and download the unpaid invoices. Working from the accounts package to find the date that these need to go back to. These are then entered on to the accounts package and paid.	571 Company Secretary 305776 ✓	930 Office Processes 304010 ✓	Freq 1 Risk 2 Overall 2	Task 1W Audit 1M	
PROCESSID 7790 A invoice is generate at the end of each month to charges Humanmed for the admin fee, carriage charges and any special carriage charges.	635	688	Freq 3 Risk 1 Overall 3		
PROCESSID 7794 To review the payments of commisions for the v1000 Product line	641 Director 3 (Steve) 299478 ✓		Freq 2 Risk 1 Overall 2	Task 3M	
PROCESSID 7882 Pay suppliers within terms	811 Company Secretary 306284 ✓	812 Office Processes 298542 ✓	Freq 2 Risk 2 Overall 4	Task 1W Audit 3M	
PROCESSID 7984 Check the Viking Web site for invoices. As they only come in to Info@viamed.co.uk and not to accounts.	1113 Company Secretary 305645 ✓	1114 Office Processes 297733 ✓	Freq 1 Risk 1 Overall 1	Task 1M Audit 6M	

Office Processes

Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 5850 Check the PO log is up to date with confirmations and expected shipping dates	616 Director 3 (Steve) 304037 ✓	942 Managing Director 305572 ✓	Freq 2 Risk 1 Overall 2	Task 1M Audit 3M	
PROCESSID 6972 task no longer required, WE switched touns online WITH LIVE PRICES	64	467	Freq 1 Risk 2 Overall 2		
Update the UPS rates to ensure we charge the correct amount of carriage					
PROCESSID 7707	520 306260 ✓	521 306026 ✓	Freq 1	Task 1D	

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Emailing purchase orders to suppliers	Office Processes	Company Secretary	Risk 1 Overall 1	Audit 1W	
PROCESSID 7751 Check the VST PO log is up to date with confirmations and expected shipping dates	584 Office Processes 306273 ✓	585 Office Processes 305905X	Freq 2 Risk 1 Overall 2	Task 1W Audit 1W	
PROCESSID 8030 Confirm the Price on our purchase order matches the price charged by the supplier	1219 Accounts Processes 306231	1220 in terms Office Processes 304923 ✓	Freq 1 Risk 2 Overall 2	Task 1W Audit 6M	
Goods In					
Process Scope	Roll Task	Roll Audit	Risk	Action	Referenced in Document
PROCESSID 7991 Verification of our purchasing documents.	1128 292629 Company Secretary ✓		Freq 1 Risk 2 Overall 2	Task 12M	
PROCESSID 8003 Verify the supplier delivery notes to the ordering documents and goods in deliveries is being done correctly	1151 Office Processes 288127 ✓	1152 Company Secretary 296733 ✓	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M	