

Internal Audit Check list

VANDAGRAPH SENSOR TECHNOLOGY LTD DOCUMENT CONTROL

Created:	17/May 1995	Audit No 10	
Revised:	12 June 2024	Michael Lamb	Page 1 of 14
Audit Date	27/6/24	Auditor Helen Lamb	

Documentation control is being moved from a paper system to Intrastats

Many of the questions asked are now superfluous as the checks are carried out automatically and recorded automatically. The hard copies are being replaced and Archived.

Company Section	Criteria of ISO Section	Auditor	Comments / Issues
VST Ltd ISO9001:2015 10.2.1	<p>When a nonconformity occurs, including any arising from complaints, the organization shall:</p> <ul style="list-style-type: none"> a) react to the nonconformity and, as applicable: <ul style="list-style-type: none"> 1) take action to control and correct it; 2) deal with the consequences; b) evaluate the need for action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by: <ul style="list-style-type: none"> 1) reviewing and analysing the nonconformity; 2) determining the causes of the nonconformity; 3) determining if similar nonconformities exist, or could potentially occur; c) implement any action needed; d) review the effectiveness of any corrective action taken; e) update risks and opportunities determined during planning, if necessary; f) make changes to the quality management system, if necessary. <p>Corrective actions shall be appropriate to the effects of the nonconformities encountered.</p> 		<p>Procedures Complaints file Doc index Review meetings Roles + titles Role map.</p>
VST Ltd ISO9001:2015 10.2.2	<p>The organization shall retain documented information as evidence of:</p> <ul style="list-style-type: none"> a) the nature of the nonconformities and any subsequent actions taken; b) the results of any corrective action. 		<p>Doc index CUST Complaints</p>
VST Ltd ISO9001:2015 10.3	<p>Continual improvement</p> <p>The organization shall continually improve the suitability, adequacy and effectiveness of the quality management system.</p> <p>The organization shall consider the results of analysis and evaluation, and the outputs from management review, to determine if there are needs or opportunities that shall be addressed as part of continual improvement.</p>		<p>Management Review ISSUES Doc index</p>
VST Ltd ISO9001:2015 4.4.1	<p>Quality management system and its processes</p> <p>The organization shall establish, implement, maintain and continually improve a quality management system, including the processes needed and their interactions, in accordance with the requirements of this International Standard.</p> <p>The organization shall determine the processes needed for the quality management system and their application throughout the organization, and shall:</p> <ul style="list-style-type: none"> a) determine the inputs required and the outputs expected from these processes; b) determine the sequence and interaction of these processes; 		<p>Policy + titles Procedures QA records</p>

	<p>c) determine and apply the criteria and methods (including monitoring, measurements and related performance indicators) needed to ensure the effective operation and control of these processes;</p> <p>d) determine the resources needed for these processes and ensure their availability;</p> <p>e) assign the responsibilities and authorities for these processes;</p> <p>f) address the risks and opportunities as determined in accordance with the requirements of 6.1;</p> <p>g) evaluate these processes and implement any changes needed to ensure that these processes achieve their intended results;</p> <p>h) improve the processes and the quality management system</p>	<p>management Review of resources H+S Questionnaire Feedback</p>
VST Ltd ISO9001:2015 4.4.2	<p>Quality management system and its processes</p> <p>To the extent necessary, the organization shall:</p> <p>a) maintain documented information to support the operation of its processes;</p> <p>b) retain documented information to have confidence that the processes are being carried out as planned.</p>	<p>Doc. Index management Review Roles + titles</p>
VST Ltd ISO9001:2015 5.1.1	<p>General</p> <p>Top management shall demonstrate leadership and commitment with respect to the quality management system by:</p> <p>a) taking accountability for the effectiveness of the quality management system;</p> <p>b) ensuring that the quality policy and quality objectives are established for the quality management system and are compatible with the context and strategic direction of the organization;</p> <p>c) ensuring the integration of the quality management system requirements into the organization's business processes;</p> <p>d) promoting the use of the process approach and risk-based thinking;</p> <p>e) ensuring that the resources needed for the quality management system are available;</p> <p>f) communicating the importance of effective quality management and of conforming to the quality management system requirements;</p> <p>g) ensuring that the quality management system achieves its intended results;</p> <p>h) engaging, directing and supporting persons to contribute to the effectiveness of the quality management system;</p> <p>i) promoting improvement;</p> <p>j) supporting other relevant management roles to demonstrate their leadership as it applies to their areas of responsibility.</p> <p>NOTE Reference to "business" in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization's existence, whether the organization is public, private, for profit or not for profit.</p>	<p>Issues Feedback management Review objectives procedures H+S questionnaire regular reviews</p>
VST Ltd ISO9001:2015 5.2.2	<p>Communicating the quality policy</p> <p>The quality policy shall:</p> <p>a) be available and be maintained as documented information; b) be communicated, understood and applied within the organization;</p> <p>c) be available to relevant interested parties, as appropriate.</p>	<p>Doc. Index</p>
VST Ltd ISO9001:2015 6.2.1	<p>The organization shall establish quality objectives at relevant functions, levels and processes needed for the quality management system.</p> <p>The quality objectives shall:</p> <p>a) be consistent with the quality policy;</p>	<p>Doc. Index CQO Roles + titles</p>

	<p>b) be measurable;</p> <p>c) take into account applicable requirements;</p> <p>d) be relevant to conformity of products and services and to enhancement of customer satisfaction;</p> <p>e) be monitored;</p> <p>f) be communicated;</p> <p>g) be updated as appropriate.</p> <p>The organization shall maintain documented information on the quality objectives</p>	<p>Route map</p> <p>Doc index</p> <p>QA System</p> <p>CRM</p>
VST Ltd ISO9001:2015 6.3	<p>Planning of changes</p> <p>When the organization determines the need for changes to the quality management system, the changes shall be carried out in a planned manner (see 4.4).</p> <p>The organization shall consider:</p> <p>a) the purpose of the changes and their potential consequences;</p> <p>b) the integrity of the quality management system;</p> <p>c) the availability of resources;</p> <p>d) the allocation or reallocation of responsibilities and authorities.</p>	<p>Feedback</p> <p>Risk assessment</p> <p>Doc index</p> <p>meetings</p>
VST Ltd ISO9001:2015 7.1.3	<p>Infrastructure</p> <p>The organization shall determine, provide and maintain the infrastructure necessary for the operation of its processes and to achieve conformity of products and services.</p> <p>NOTE Infrastructure can include:</p> <p>a) buildings and associated utilities;</p> <p>b) equipment, including hardware and software;</p> <p>c) transportation resources;</p> <p>d) information and communication technology.</p>	<p>management review</p> <p>Feedback</p> <p>QA system</p> <p>Procedure</p> <p>IT System</p> <p>H+S</p>
VST Ltd ISO9001:2015 7.1.5.2	<p>Measurement traceability</p> <p>When measurement traceability is a requirement, or is considered by the organization to be an essential part of providing confidence in the validity of measurement results, measuring equipment shall be:</p> <p>a) calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; when no such standards exist, the basis used for calibration or verification shall be retained as documented information;</p> <p>b) identified in order to determine their status;</p> <p>c) safeguarded from adjustments, damage or deterioration that would invalidate the calibration status and subsequent measurement results.</p> <p>The organization shall determine if the validity of previous measurement results has been adversely affected when measuring equipment is found to be unfit for its intended purpose, and shall take appropriate action as necessary.</p>	<p>Doc index</p> <p>Calibration</p> <p>QA system</p> <p>Supplier Renew</p> <p>Procedure</p> <p>management review</p>
VST Ltd ISO9001:2015 7.1.6	<p>Organizational knowledge</p> <p>The organization shall determine the knowledge necessary for the operation of its processes and to achieve conformity of products and services.</p> <p>This knowledge shall be maintained and be made available to the extent necessary.</p> <p>When addressing changing needs and trends, the organization shall consider its current knowledge and determine how to acquire or access any necessary additional knowledge and required updates.</p>	<p>Experienced Staff</p> <p>Doc index</p> <p>Feedback</p>

	<p>NOTE 1 Organizational knowledge is knowledge specific to the organization; it is generally gained by experience. It is information that is used and shared to achieve the organization's objectives.</p> <p>NOTE 2 Organizational knowledge can be based on:</p> <ul style="list-style-type: none"> a) internal sources (e.g. intellectual property; knowledge gained from experience; lessons learned from failures and successful projects; capturing and sharing undocumented knowledge and experience; the results of improvements in processes, products and services); b) external sources (e.g. standards; academia; conferences; gathering knowledge from customers or external providers) 	<p>PMS Supplier info.</p>
VST Ltd ISO9001:2015 7.4	<p>Communication</p> <p>7.4 Communication</p> <p>The organization shall determine the internal and external communications relevant to the quality management system, including:</p> <ul style="list-style-type: none"> a) on what it will communicate; b) when to communicate; c) with whom to communicate; d) how to communicate; e) who communicates. 	<p>Doc index Roles + titles management review CPM</p>
VST Ltd ISO9001:2015 7.5.1	<p>General</p> <p>7.5.1 General</p> <p>The organization's quality management system shall include:</p> <ul style="list-style-type: none"> a) documented information required by this International Standard; b) documented information determined by the organization as being necessary for the effectiveness of the quality management system. <p>NOTE The extent of documented information for a quality management system can differ from one organization to another due to:</p> <ul style="list-style-type: none"> — the size of organization and its type of activities, processes, products and services; — the complexity of processes and their interactions; — the competence of persons. 	<p>Route map VOP Doc index Audits Roles + titles</p>
VST Ltd ISO9001:2015 7.5.2	<p>Creating and updating</p> <p>7.5.2 Creating and updating</p> <p>When creating and updating documented information, the organization shall ensure appropriate:</p> <ul style="list-style-type: none"> a) identification and description (e.g. a title, date, author, or reference number); b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic); c) review and approval for suitability and adequacy. 	<p>Doc index Operating procedure for Doc index</p>
VST Ltd ISO9001:2015 7.5.3	<p>Control of documented information</p>	
VST Ltd ISO9001:2015 7.5.3.1	<p>Documented information required by the quality management system and by this International Standard shall be controlled to ensure:</p> <ul style="list-style-type: none"> a) it is available and suitable for use, where and when it is needed; b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity). 	<p>Doc index Procedures Roles + titles</p>
VST Ltd ISO9001:2015	<p>For the control of documented information, the organization shall address the following activities, as applicable:</p>	

7.5.3.2	<p>a) distribution, access, retrieval and use; b) storage and preservation, including preservation of legibility; c) control of changes (e.g. version control); d) retention and disposition.</p> <p>Documented information of external origin determined by the organization to be necessary for the planning and operation of the quality management system shall be identified as appropriate, and be controlled.</p> <p>Documented information retained as evidence of conformity shall be protected from unintended alterations.</p> <p>NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.</p>	<p>Doc index Required reading Procedures Tech files</p>
VST Ltd ISO9001:2015 8.1	<p>Operational planning and control</p> <p>The organization shall plan, implement and control the processes (see 4.4) needed to meet the requirements for the provision of products and services, and to implement the actions determined in Clause 6, by:</p> <p>a) determining the requirements for the products and services; b) establishing criteria for:</p> <ol style="list-style-type: none"> 1) the processes; 2) the acceptance of products and services; c) determining the resources needed to achieve conformity to the product and service requirements; d) implementing control of the processes in accordance with the criteria; e) determining, maintaining and retaining documented information to the extent necessary: <ol style="list-style-type: none"> 1) to have confidence that the processes have been carried out as planned; 2) to demonstrate the conformity of products and services to their requirements. <p>The output of this planning shall be suitable for the organizations operations.</p> <p>The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.</p> <p>The organization shall ensure that outsourced processes are controlled (see 8.4).</p>	<p>Feedback management Review Route map Doc index QA system Roles + titles</p>
VST Ltd ISO9001:2015 8.2.4	<p>Changes to requirements for products and services</p> <p>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.</p>	<p>Doc index Req. reading</p>
VST Ltd ISO9001:2015 8.3.2	<p>Design and development planning</p> <p>In determining the stages and controls for design and development, the organization shall consider:</p> <p>a) the nature, duration and complexity of the design and development activities; b) the required process stages, including applicable design and development reviews; c) the required design and development verification and validation activities;</p>	<p>Doc index Tech files Marketing index</p>

	<p>d) the responsibilities and authorities involved in the design and development process;</p> <p>e) the internal and external resource needs for the design and development of products and services;</p> <p>f) the need to control interfaces between persons involved in the design and development process;</p> <p>g) the need for involvement of customers and users in the design and development process;</p> <p>h) the requirements for subsequent provision of products and services;</p> <p>i) the level of control expected for the design and development process by customers and other relevant interested parties;</p> <p>j) the documented information needed to demonstrate that design and development requirements have been met.</p>	<p>Management meeting Feedback</p>
VST Ltd ISO9001:2015 8.3.4	<p>Design and development controls</p> <p>The organization shall apply controls to the design and development process to ensure that:</p> <p>a) the results to be achieved are defined;</p> <p>b) reviews are conducted to evaluate the ability of the results of design and development to meet requirements;</p> <p>c) verification activities are conducted to ensure that the design and development outputs meet the input requirements;</p> <p>d) validation activities are conducted to ensure that the resulting products and services meet the requirements for the specified application or intended use;</p> <p>e) any necessary actions are taken on problems determined during the reviews, or verification and validation activities;</p> <p>f) documented information of these activities is retained.</p> <p>NOTE Design and development reviews, verification and validation have distinct purposes. They can be conducted separately or in any combination, as is suitable for the products and services of the organization.</p>	<p>QA system Doc index Tech file Procedures Supplier review Marketing PMS</p>
VST Ltd ISO9001:2015 8.3.5	<p>Design and development outputs</p> <p>The organization shall ensure that design and development outputs:</p> <p>a) meet the input requirements;</p> <p>b) are adequate for the subsequent processes for the provision of products and services;</p> <p>c) include or reference monitoring and measuring requirements, as appropriate, and acceptance criteria;</p> <p>d) specify the characteristics of the products and services that are essential for their intended purpose and their safe and proper provision.</p> <p>The organization shall retain documented information on design and development outputs.</p>	<p>Management review Marketing index PMS Review meetings</p>
VST Ltd ISO9001:2015 9.1.1	<p>General</p> <p>The organization shall determine:</p> <p>a) what needs to be monitored and measured;</p> <p>b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results;</p> <p>c) when the monitoring and measuring shall be performed;</p> <p>d) when the results from monitoring and measurement shall be analysed and evaluated.</p> <p>The organization shall evaluate the performance and the effectiveness of the quality management system.</p>	<p>Doc index Marketing index Management review procedure</p>

	The organization shall retain appropriate documented information as evidence of the results.	
VST Ltd ISO9001:2015 9.2.2	<p>The organization shall:</p> <ul style="list-style-type: none"> a) plan, establish, implement and maintain an audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the importance of the processes concerned, changes affecting the organization, and the results of previous audits; b) define the audit criteria and scope for each audit; c) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process; d) ensure that the results of the audits are reported to relevant management; e) take appropriate correction and corrective actions without undue delay; f) retain documented information as evidence of the implementation of the audit programme and the audit results. <p>NOTE See ISO 19011 for guidance.</p>	<p><i>Audit calendar</i></p> <p><i>Route map</i></p> <p><i>management review</i></p> <p><i>Doc index</i></p>

VST

	QUESTION:	RESPONSE:	
1	Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	<i>No outstanding</i>	Y
2	Is there sole responsibility for company procedures and other documentation.	IT director has sole access to Intrastats system	Y
3	Verify that documentation is checked prior to formal approval and issue and authorisation is unique.	Intrastats	Y
4	Verify that all personnel have access to their relevant areas of the documentation.	Intrastats	Y
5	Verify that amendments can be requested and are controlled by Date issue. are updated Electronically and old copies Archived.	Intrastats	Y
6	Check that the C.E. files are maintained by sole responsibility.		Y
7	Check that obsolete data in the files is Archived	Intrastats also Archives store	Y
8	Are manufacturers data sheets supplied the latest issue. Supplier Review.	Intrastats	Y
9	Verify that checks are made to ascertain the latest issue data sheets are supplied after design change / modification (from suppliers).	Intrastats	Y
10	Are Intrastat documents regularly backed-up and secure offsite Task ID (452)	Intrastats – Roles and Responsibilities. Task ID (452) <i>*331372 ✓</i>	Y
11	Check that the document register is complete and adequate.	Intrastats	Y
12	Verify that records are easily retrievable for information and analysis.	Intrastats on workstation	Y

13	Are printed copies of production procedures the latest issue status.	No printed copies <i>not printed</i>	Y
14	Is the procedure for ensuring only the latest issue of drawings and documentation available working correctly Check 6 items in the Index. Task ID (371)	Intrastats. Task ID (371) <i># 330629 x in terms</i>	Y
15	Are quality records properly filed and easily retrievable.	Intrastats	Y
16	Is the Company procedures Manual the latest version. <i>Automotive</i>	Intrastats	Y
17	Has the organisation chart changed.		N
18	Has the responsibility descriptions changed.	Intrastats – Roles and Responsibilities	N
19	Stock linked document – have documents been linked to stock correctly. ISO – Document Index Admin – Complete Amendment Log – look down the list for stock related documents, then see if the stock link is present. The list shows the last 3 months.	<i>Page 6 mid June Yes</i>	Y
20	Duplicate Documents – Task ID (370) – ISO – Documentation Index Admin – find duplicate files. This should be empty. Make a note of the number and dates. <i># 332690 x in terms</i>		Y

Sub Processes Linked to Audit 10

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

List Processes Per Title

Managing Director		Roll Task	Risk	Action	Notes
Process Scope	Roll Audit				
PROCESSID 5877 To review the numbers of various departments. Showing increasing / reducing staff requirements Check Audit Roles Titles and Processes in Employee Roles and Titles. Check the Page for Red Crosses and potentially missing objectives	Task: 114 Managing Director <i>534353 ✓</i> Audit :561 Company Secretary <i>309 46 ✓</i>	Freq 3 Risk 1 Overall 3		Task 1M Audit 12M	
ISO Controller					
Process Scope	Roll Task	Risk	Action	Notes	
PROCESSID 5890 Ensure the online available copies of our ISO standards are upto date	Task: 463 Marketing Processes <i>331 875 ✓</i>	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M		

	Audit :464 Managing Director	333835 ✓		
IT Controller				
Process Scope	Roll Task Roll Audit	Risk	Action	Notes
PROCESSID 44 Encrypt data sent back and forth to Intrastats so it can be used off site	Task: 412 Managing Director Audit : 305591 ✓	Freq 1 Risk 1 Overall 1	Task 12M	
PROCESSID 52 Keeps a month or so backup emails	Task: 368 Audit :417	Freq 2 Risk 1 Overall 2		
PROCESSID 53 Maintain the Online Email boxes currently Google and Goldmine	Task: Audit :902 Marketing Processes 334277 ✓	Freq 1 Risk 1 Overall 1	Audit 1W	
PROCESSID 7126 Fix general errors in intrastats such as Spelling errors or columns not lining up	Task: 458 Managing Director Audit : 33436 ✓	Freq 2 Risk 1 Overall 2	Task 1M	
PROCESSID 7129 Update the online Cross reference guides with latest intrastats data.	Task: 462 Managing Director Audit : 331874 ✓	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
PROCESSID 7130 To Review the L Drive Library is in sync with Intrastats Documentation	Task: 791	Freq 3 Risk 1 Overall 3		
TASK DISCONTINUED , L Drive has been replaced with Intrastats	Audit :			
PROCESSID 7672 To take a copy of the important data off-site that's not being automatically backup by the system, Currently T Drive being the primary files to be backed up.	Task: 452 Office Processes Audit :453 Company 334255 X in terms 331202 ✓	Freq 2 Risk 2 Overall 4	Task 1M Audit 3M	

Changed routine to Monthly, as only T drive is now being backed up, all other files automatically being backed up remotely	Secretary			
PROCESSID 7700 Maintain Domains for websites	Task: 510 Office Processes <i>332931</i> Audit : <i>x in terms</i>	Freq 3 Risk 1 Overall 3	Task 1M	
PROCESSID 7739 Intrastat Changes updates. Logging system to enable roll back should anything break	Task: 562 Managing Director <i>334388</i> Audit :	Freq 2 Risk 1 Overall 2	Task 1W	
PROCESSID 7987 To Export Telephone logs from the phone system to intrastats	Task: 1120 Managing Director <i>334629</i> Audit : 1121 Company Secretary <i>328069</i>	Freq 1 Risk 1 Overall 1	Task 1W Audit 6M	
Maintenance Controller				
Process Scope	Roll Task Roll Audit	Risk	Action	Notes
PROCESSID 8039 Weee Report Due Vandagraph Annual	Task: 77 Managing Director <i>316313</i> Audit :	Freq 1 Risk 1 Overall 1	Task 12M	
Documentation And Records Controller				
Process Scope	Roll Task Roll Audit	Risk	Action	Notes
PROCESSID 59 Check the Document Index for any out of date documents,	Task: 371 Managing Director <i>333328</i> Audit :372 Company Secretary <i>322369</i>	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M	
PROCESSID 5851	Task: 370	Freq 3	Task 1M	

332690 in terms

Removal of Duplicate documents	Office Processes Audit :369 Company Secretary	Risk 1 Overall 3 321453 ✓	Audit 6M	
PROCESSID 5940 Generate the Thumbs nails for the document Index	Task: 155 Managing Director 334357 ✓ Audit :	Freq 2 Risk 1 Overall 2	Task 1M	
PROCESSID 7992 Remind staff to supply any new coshh and or datasheet to technical manager to be added to the system.	Task: 1129 Company Secretary 320444 ✓ Audit :1130 Managing Director 302493 ✓	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	
PROCESSID 8001 Verify stock is being linked to documents when required	Task: 1147 Managing Director 323016 ✓ Audit :1148 Company Secretary 332599 ✓	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	
PROCESSID 8032 Review contact related external documents confirm current versions	Task: 1223 Managing Director 333231 ✗ in Jems. Audit :1224 Office Processes 322213 ✓	Freq 1 Risk 1 Overall 1	Task 1M Audit 6M	
PROCESSID 8050 Master Indemnity Register Viameds products and public liability insurance renews every year on 29th June. Send proof of insurance (To Whom It May Concern letter obtained from Thomas Cook and Son) to the following contacts to maintain our registration on the Department of Health Master Indemnity Register and the regional registers: - Department of Health (covers England, Wales and NI) - mia@dhsc.gov.uk cc pat.kavanagh@dhsc.gov.uk	Task: 214 UK Sales Controller 333819 ✗ in Jems. Audit :	Freq 1 Risk 1 Overall 1	Task 12M	

<p>- Health Facilities Scotland - central mailbox for all NHS Scotland MIA correspondence nss.miascotland@nhs.scot</p> <p>- NHS Wales Shared Services Partnership - Procurement Services - MIAWales@wales.nhs.uk cc matthew.juravcic@wales.nhs.uk</p>				
<p>PROCESSID 8053 Document in intrastats vm3cop02.1 Whos Who check its current and upto date</p>	<p>Task: 321 Company Secretary 322874 ✓</p> <p>Audit :</p>	<p>Freq 1 Risk 1 Overall 1</p>	<p>Task 6M</p>	
Product Controller				
<p>Process Scope</p> <p>PROCESSID 7863 To confirm the current repairs codes for various products in the system are up to date and available to office members of staff.</p>	<p>Roll Task Roll Audit</p> <p>Task: 772 Director 3 (Steve) 308564 ✓</p> <p>Audit :773 Managing Director 308679 ✓</p>	<p>Risk</p> <p>Freq 1 Risk 1 Overall 1</p>	<p>Action</p> <p>Task 12M Audit 24M</p>	<p>Notes</p>
Sales Controller				
<p>Process Scope</p> <p>PROCESSID 8029 Send Inter Company Invoices to Jean. Download from sales page and email.</p>	<p>Roll Task Roll Audit</p> <p>Task: 1214 Managing Director 333897 ✓</p> <p>Audit :1217 Company Secretary 303912 ✓</p>	<p>Risk</p> <p>Freq 1 Risk 1 Overall 1</p>	<p>Action</p> <p>Task 1M Audit 12M</p>	<p>Notes</p>
Audits				
<p>Process Scope</p> <p>PROCESSID 7722 To carry out Audit 10 Documentation Control Viamed</p>	<p>Roll Task Roll Audit</p> <p>Task: Audit :27 Company Secretary 331854</p>	<p>Risk</p> <p>Freq 1 Risk 2 Overall 2</p>	<p>Action</p> <p>Audit 12M</p>	<p>Notes</p> <p>x informs</p>

Accounts Processes				
Process Scope	Roll Task Roll Audit	Risk	Action	Notes
PROCESSID 7922 To back up Journals and other docs that have been saved in Emils users folder. Journal are checked monthly so they need to be in the Journals folder to be able to be checked.	Task: 934 <i>332534</i> Audit :	Freq 1 Risk 2 Overall 2		
Office Processes				
Process Scope	Roll Task Roll Audit	Risk	Action	Notes
PROCESSID 9 Distribute recieved faxs	Task: 824 <i>334603</i> Audit :	Freq 1 Risk 1 Overall 1		
PROCESSID 10 Distribute Emails	Task: Audit :366 Managing Director	Freq 3 Risk 1 Overall 3	Audit 1M	
PROCESSID 11 Distibuting incoming post to correct person	Task: 599 Company Secretary <i>332543</i> Audit :	Freq 3 Risk 1 Overall 3	Task 1D	
PROCESSID 15 Paperwork to be filed in the correct order	Task: 567 Company Secretary <i>332543</i> Audit :1242 Managing Director <i>334120</i>	Freq 1 Risk 1 Overall 1	Task 31D Audit 12M	
PROCESSID 5901 To link new calls to Contacts in the CRM	Task: 404 Office Processes <i>334570</i> Audit :405 Company Secretary <i>337047</i>	Freq 2 Risk 1 Overall 2 <i>in terms</i>	Task 1W Audit 1M	

PROCESSID 7693 Collect the filing form the warehouse	Task: 506 Goods Out 334379	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M	
PROCESSID 7699 Shredding of sensitive information	Audit :507 Office Processes 333663	333560 in terms		
PROCESSID 7705 Checking if a customer has uploaded an order directly to our website	Task: 508 Office Processes 333663	Freq 1 Risk 1 Overall 1	Task 2W Audit 1M	
PROCESSID 7705 Checking if a customer has uploaded an order directly to our website	Audit :509 Office Processes 333192			
PROCESSID 7711 Download the most recent bank statement from the bank website	Task: 517 Audit :518	Freq 2 Risk 2 Overall 4		
PROCESSID 7711 Download the most recent bank statement from the bank website	Task: 526 Office Processes 334591	Freq 2 Risk 1 Overall 2 in terms	Task 1D Audit 1W	
PROCESSID 7711 Download the most recent bank statement from the bank website	Audit :527 Company Secretary 334383			