

Internal Audit Check list

Vandagraph Sensor Technologies Ltd Purchasing Suppliers

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Audit Date	17-10-24	Auditor <i>Helen Lamb</i>	

Company / ISO Section	Criteria of ISO Section	Auditor Comments Issues
VST Ltd ISO9001:201 5.7.1.3	<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> <ul style="list-style-type: none"> a) buildings and associated utilities; b) equipment, including hardware and software; c) transportation resources; d) information and communication technology. 	QA Systems procedures Feedback Issues IT System HSE Questionnaire
VST Ltd ISO9001:201 5.8.4.1	<p>General</p> <p>The organization shall ensure that externally provided processes, products and services conform to requirements.</p> <p>The organization shall determine the controls to be applied to externally provided processes, products and services when:</p> <ul style="list-style-type: none"> 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. <p>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.</p>	Management Review Supplier Review Doc index Marketing index QA system Feedback PMS
VST Ltd ISO9001:201 5.8.4.2	<p>Type and extent of control</p> <p>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.</p> <p>The organization shall:</p> <ul style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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; d) determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements. 	Supplier Review Doc index Marketing index QA system Feedback PMS Procedures.

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VST Ltd ISO9001:201 5.8.4.3	<p>Information for external providers</p> <p>The organization shall ensure the adequacy of requirements prior to their communication to the external provider.</p> <p>The organization shall communicate to external providers its requirements for:</p> <ul style="list-style-type: none"> a) the processes, products and services to be provided; b) the approval of: <ul style="list-style-type: none"> 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. 	Management Renew Supplier Renew Doc index marketing index Feedback Roles + titles
VST Ltd ISO9001:201 5.8.5.1	<p>Control of production and service provision</p> <p>The organization shall implement production and service provision under controlled conditions.</p> <p>Controlled conditions shall include, as applicable:</p> <ul style="list-style-type: none"> a) the availability of documented information that defines: <ul style="list-style-type: none"> 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 	Doc index Procedure Tech files Management Review Calibration index Roles + titles
VST Ltd ISO9001:201 5.8.7.1	<p>The organization shall ensure that outputs that do not conform to their requirements are identified and controlled to prevent their unintended use or delivery.</p> <p>The organization shall take appropriate action based on the nature of the 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>	QA systems Barcode tracking PMS

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	<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><i>Feedback Supplier Renew Doc index</i></p>
VST Ltd ISO9001:2011 5.9.3.2	<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><i>management Renew. Roles + titles R/ Feedback PMS Issues.</i></p>

	Question	Response/Answer	Y/N
1	Review Last years Audit. Update processes if required. Are all follow on Issue resolved satisfactory.	Nothing outstanding	Y
2	Check Rolling Task ID 15 to make sure it is up to date. #336693		Y
3	When was the Approved Supplier List last completed. <i>Purchase order cannot be placed without annual review - Dynamic List</i>	Task 15 ✓	Y
4	Verify that there is an up to date suppliers used list.		Y

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5	Is the List up to date and reviewed annually.	Task 15	Y
6	Check that this list is monitored on a regular basis. Task 15 #336693 ✓	See responsibilities and roles in Intrastats	Y
7	Are individual suppliers graded and reviewed on Intrastats.		Y
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. PST 4037 ✓ ✓ 2. PST 4023 ✓ ✓ 3. PST 4012 ✓ ✓ 4. PST 3998 ✓ ✓ 5. PST 3997 ✓ ✓		Y
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.		Y

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		Roll Task	Risk	Action	* Notes
Process Scope	Roll Audit				

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PROCESSID 34 Ensure the latest version of our Insurance / master indemnity letters are up to date	Task: 33 Managing Director <i>333472</i> Audit :	Freq 1 Risk 1 Overall 1	Task 12M		
ISO Controller					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID 28 Check our supplier are still certified to ISO 9001 or ISO 13485, and do a review of their internal grading.	Task: 15 Managing Director <i>336693</i> Audit :610 Company Secretary <i>326259</i>	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M		
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		
PROCESSID 8040 Weee Report Due Vandagraph Qtr	Task: 78 Managing Director <i>343017</i> Audit :	Freq 1 Risk 1 Overall 1	Task 3M		
Warehouse Team Leader					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID 5855 To contact Teledyne and confirm the purchase orders we have outstanding for them	Task: 220 Director 3 (Steve) <i>in terms</i> Audit :375 Managing Director <i>341268</i>	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	Task: 64 Audit :376	Freq 1 Risk 2 Overall 2			
PROCESSID 5868 To get Returns numbers from suppliers with return shipments pending.	Task: 66 Goods Out <i>343608</i> Audit :69 Managing Director <i>339080</i>	Freq 2 Risk 1 Overall 2	Task 1W Audit 2M		
PROCESSID 6829 Orders that have not been supplied in the time scale provided.	Task: 616 Director 3 (Steve) <i>in terms</i> Audit :942 Managing Director <i>344070</i> <i>339912</i>	Freq 2 Risk 2 Overall 4	Task 1M Audit 3M		
PROCESSID 6832	Task: 483 <i>341391</i> <i>n terms</i>	Freq 2	Task 1M		

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Orders that will be placed in the future.	Director 3 (Steve) Audit :964 344212 Managing Director	Risk 1 Overall 2	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.	Task: 479 343360 ✓ Director 3 (Steve) Audit :	Freq 2 Risk 1 Overall 2	Task 2W	
PROCESSID 7680 To check that we have stock in for customer proformas and orders. Or review if any stock needs to be ordered.	Task: 480 343207 ✓ Director 3 (Steve) Audit :916 344077 ✓ Managing Director	Freq 2 Risk 1 Overall 2	Task 2W 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.	Task: 481 Goods In 343489 ✓ Audit :	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.	Task: 482 343618 ✓ Director 3 (Steve) Audit :	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.	Task: 484 344182 ✗ Director 3 (Steve) Audit : terms	Freq 2 Risk 1 Overall 2	Task 1W	
PROCESSID 7784 Supplier returns to Envitec, return any products waiting to be returned	Task: 622 Goods In 343638 ✓ Audit :625 341817 ✓ Managing Director	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID 7785 Supplier returns to Teledyne, return any products waiting to be returned	Task: 624 Goods In 342879 ✓ Audit :625 341817 ✓ Managing Director	Freq 2 Risk 1 Overall 2	Task 2W Audit 1M	
PROCESSID 7786 Supplier returns to Maxtec, return any products waiting to be returned	Task: 623 Goods In 342878 ✓ Audit :625 341817 ✓ Managing Director	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.	Task: 626 Goods In 341818 ✓ Audit :625 341817 ✓ Managing Director	Freq 3 Risk 1 Overall 3	Task 1M Audit 1M	
PROCESSID 7956 Internal Process for Vandagraph to request teledyne stock for ordering via Viamed	Task: 1045 342459 ✓ EX Sales Controller Audit :1046 342460 ✓ Managing Director	Freq 1 Risk 1 Overall 1	Task 1M Audit 12M	
PROCESSID 7975 Arranging Teledyne failed sensors for credits and /	Task: 1097 Director 3 (Steve) 336882 ✗	Freq 1 Risk 1	Task 3M	

out of Date

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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.	Audit :	Overall 1			
Office Team Leader					
Process Scope	Roll Task Roll Audit	Risk	Action	* Notes	
PROCESSID 8051 Purchase Order log Viamed ensure the purchase order log is up to date	Task: 264 339682 X Director 3 (Steve) in terms Audit :	Freq 1 Risk 1 Overall 1	Task 3M		
Audits					
Process Scope	Roll Task Roll Audit	Risk	Action	* Notes	
PROCESSID 7717 To carry out Audit 05 Purchasing Suppliers Viamed	Task: 339671 Audit :37 Company Secretary in terms	Freq 1 Risk 2 Overall 2	Audit 12M		
PROCESSID 7765 To carry out Audit 05 Purchasing Suppliers VST	Task: 339679 X Audit :190 Company Secretary in terms	Freq 1 Risk 2 Overall 2	Audit 12M		
Accounts Processes					
Process Scope	Roll Task Roll Audit	Risk	Action	* Notes	
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.	Task: 572 342871 ✓ Company Secretary Audit :	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.	Task: 573 342872 ✓ Company Secretary Audit :	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.	Task: 571 343927 ✓ Company Secretary Audit :930 344079 X Office Processes in	Freq 1 Risk 2 Overall 2	Task 1W Audit 1M		
PROCESSID 7790 A invoice is generate at the end of each month to	Task: 635 terms	Freq 3 Risk 1			

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charges Humanmed for the admin fee, carriage charges and any special carriage charges.	Audit: 688 Task: 641 342443 * Director 3 (Steve) in terms Audit:	Overall 3 Freq 2 Risk 1 Overall 2	Task 3M
PROCESSID 7794 To review the payments of commissions for the v1000 Product line	Task: 811 343783 ✓ Company Secretary Audit: 812 341673 ✓ Office Processes	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.	Task: 1113 342728 ✓ Company Secretary Audit: 1114 332533 ✓ Office Processes	Freq 1 Risk 1 Overall 1	Task 1M Audit 6M
Office Processes			
Process Scope	Roll Task Roll Audit	Risk	Action
PROCESSID 5850 Check the PO log is up to date with confirmations and expected shipping dates	Task: 616 344070 * Director 3 (Steve) in terms Audit: 942 Managing Director 339912 ✓	Freq 2 Risk 1 Overall 2	Task 1M Audit 3M
PROCESSID 6972 task no longer required, WE switched toups online WITH LIVE PRICES Update the UPS rates to ensure we charge the correct amount of carriage	Task: 64 Audit: 467	Freq 1 Risk 2 Overall 2	
PROCESSID 7707 Emailing purchase orders to suppliers	Task: 520 344187 * in terms Audit: 521 344188 ✓ Company Secretary	Freq 1 Risk 1 Overall 1	Task 1D Audit 1W
PROCESSID 7751 Check the VST PO log is up to date with confirmations and expected shipping dates	Task: 584 343773 ✓ Office Processes Audit: 585 344067 * in terms	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	Task: 1219 343797 ✓ Office Processes Audit: 1220 339453 ✓ Office Processes	Freq 1 Risk 2 Overall 2	Task 1W Audit 6M
PROCESSID 8034 Stage 2 of checking supplier prices against our Purchase orders.	Task: 1229 343099 ✓ Managing Director Audit:	Freq 1 Risk 2 Overall 2	Task 2W

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Goods In		Roll Task Roll Audit	Risk	Action	* Notes
Process Scope					
PROCESSID 7991 Verification of our purchasing documents.		Task: 1128 Company Secretary <i>326857</i> Audit :	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		Task: 1151 Office Processes <i>322255</i> Audit :1152 Company Secretary <i>331268</i>	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M	

Rolling Tasks Linked to Document :Task (37) Task (616) Task (64) Task (520) Task (584) Task (190) Task (641) Task (572) Task (573) Task (571) Task (635) Task (15) Task (220) Task (66) Task (483) Task (479) Task (480) Task (481) Task (482) Task (622) Task (624) Task (623) Task (626) Task (33) Task (484) Task (811) Task (1045) Task (1097) Task (1113) Task (1128) Task (1151) Task (1219) Task (1229) Task (77) Task (78) Task (264)