

Internal Audit Check list

Vandagraph Sensor Technologies Ltd Handling and Stock Control

Created:	17/May 1995	Audit No 07	
			Page 1 of 10
Audit Date	9-May 25	Auditor Helen Lamb	

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 7.1.4	Environment for the operation of processes The organization shall determine, provide and maintain the environment necessary for the operation of its processes and to achieve conformity of products and services. NOTE A suitable environment can be a combination of human and physical factors, such as: a) social (e.g. non-discriminatory, calm, non-confrontational); b) psychological (e.g. stress-reducing, burnout prevention, emotionally protective); c) physical (e.g. temperature, heat, humidity, light, airflow, hygiene, noise). These factors can differ substantially depending on the products and services provided.	Management Review Feedback Issues HSE questionnaire Doc index Reg Readings
VST Ltd ISO9001:2015 7.1.5.1	General 7.1.5.1 General The organization shall determine and provide the resources needed to ensure valid and reliable results when monitoring or measuring is used to verify the conformity of products and services to requirements. The organization shall ensure that the resources provided: a) are suitable for the specific type of monitoring and measurement activities being undertaken; b) are maintained to ensure their continuing fitness for their purpose. The organization shall retain appropriate documented information as evidence of fitness for purpose of the monitoring and measurement resources.	Doc index Calibration index Supplier Review QA system Training Records
VST Ltd ISO9001:2015 8.1	Operational planning and control 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: a) determining the requirements for the products and services; b) establishing criteria for: 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: 1) to have confidence that the processes have been carried out as planned; 2) to demonstrate the conformity of products and services to their	Feedback Issues Management Review Route Map QA system Supplier Review

	<p>requirements.</p> <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. The organization shall ensure that outsourced processes are controlled (see 8.4).</p>	
<p>VST Ltd</p> <p>ISO9001:2015</p> <p>8.4.1</p>	<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> <p>a) products and services from external providers are intended for incorporation into the organization's own products and services;</p> <p>b) products and services are provided directly to the customer(s) by external providers on behalf of the organization;</p> <p>c) a process, or part of a process, is provided by an external provider as a result of a decision by the organization.</p> <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>	<p>management</p> <p>Renew</p> <p>Supplier</p> <p>Renew</p> <p>Doc index</p> <p>marketing</p> <p>index</p> <p>QA system</p> <p>Feedback</p> <p>PMS</p>
<p>VST Ltd</p> <p>ISO9001:2015</p> <p>8.4.2</p>	<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> <p>a) ensure that externally provided processes remain within the control of its quality management system;</p> <p>b) define both the controls that it intends to apply to an external provider and those it intends to apply to the resulting output;</p> <p>c) take into consideration:</p> <p>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;</p> <p>2) the effectiveness of the controls applied by the external provider;</p> <p>d) determine the verification, or other activities, necessary to ensure that the externally provided processes, products and services meet requirements.</p>	<p>management</p> <p>Renew</p> <p>Supplier</p> <p>Renew</p> <p>Doc index</p> <p>marketing</p> <p>index</p> <p>QA system</p> <p>Feedback</p> <p>PMS</p>
<p>VST Ltd</p> <p>ISO9001:2015</p> <p>8.5.1</p>	<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> <p>a) the availability of documented information that defines:</p> <p>1) the characteristics of the products to be produced, the services to be provided, or the activities to be performed;</p> <p>2) the results to be achieved;</p> <p>b) the availability and use of suitable monitoring and measuring resources;</p> <p>c) the implementation of monitoring and measurement activities at</p>	<p>Doc index</p> <p>procedures</p> <p>Tech files</p> <p>QA system</p>

	<p>appropriate stages to verify that criteria for control of processes or outputs, and acceptance criteria for products and services, have been met;</p> <p>d) the use of suitable infrastructure and environment for the operation of processes;</p> <p>e) the appointment of competent persons, including any required qualification;</p> <p>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;</p> <p>g) the implementation of actions to prevent human error;</p> <p>h) the implementation of release, delivery and post-delivery activities</p>	<p>Renew meetings</p> <p>Procedures</p>
<p>VST Ltd</p> <p>ISO9001:2015 8.5.2</p>	<p>Identification and traceability</p> <p>The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services.</p> <p>The organization shall identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision.</p> <p>The organization shall control the unique identification of the outputs when traceability is a requirement, and shall retain the documented information necessary to enable traceability.</p>	<p>QA</p> <p>System</p> <p>procedure</p> <p>Barcode tracking</p> <p>Doc index</p>
<p>VST Ltd</p> <p>ISO9001:2015 8.5.3</p>	<p>Property belonging to customers or external providers</p> <p>The organization shall exercise care with property belonging to customers or external providers while it is under the organization's control or being used by the organization.</p> <p>The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services.</p> <p>When the property of a customer or external provider is lost, damaged or otherwise found to be unsuitable for use, the organization shall report this to the customer or external provider and retain documented information on what has occurred.</p> <p>NOTE A customer's or external provider's property can include materials, components, tools and equipment, premises, intellectual property and personal data.</p>	<p>QA system</p> <p>procedure</p> <p>Barcode tracking</p> <p>Doc index</p>
<p>VST Ltd</p> <p>ISO9001:2015 8.5.4</p>	<p>Preservation</p> <p>The organization shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements.</p> <p>NOTE Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.</p>	<p>QA system</p> <p>Barcode tracking</p> <p>Doc index</p>
<p>VST Ltd</p> <p>ISO9001:2015 8.7.1</p>	<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> <p>The organization shall deal with nonconforming outputs in one or more of the following ways:</p> <p>a) correction;</p>	<p>QA system</p> <p>Barcode tracking</p> <p>Pms</p> <p>Feedback</p>

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	b) segregation, containment, return or suspension of provision of products and services; c) informing the customer; d) obtaining authorization for acceptance under concession. Conformity to the requirements shall be verified when nonconforming outputs are corrected.	
VST Ltd ISO9001:2015 9.1.1	General The organization shall determine: a) what needs to be monitored and measured; b) the methods for monitoring, measurement, analysis and evaluation needed to ensure valid results; c) when the monitoring and measuring shall be performed; d) when the results from monitoring and measurement shall be analysed and evaluated. The organization shall evaluate the performance and the effectiveness of the quality management system. The organization shall retain appropriate documented information as evidence of the results.	management Renew Doc index marketing index

	<u>QUESTION:</u>	<u>RESPONSE</u>	<u>Y/ N</u>
1	Check all issues from the previous audit are completed.	Nothing outstanding	Y
2	Check that incoming products are stored correctly on receipt.		Y
3	Check that the in-house stores area is adequate, safe and accessible.		Y
4	Verify that products for repair are suitably boxed prior to movement. i.e. In ductet with correct paperwork including SRS number.		Y
5	Verify that stock items are suitable packed and labelled for entry into stock.		Y
6	Check that gloves and or hand sanitiser is available and used, where necessary, when returns are received.		Y
7	Check in Intrastats that COSHH data sheets are available for all products.		Y
8	Check that items in a stock locations are correct to Intrastats. Verify that the quantity of an item in stock is correct to that in Intrastats. Check that the packing and labelling of the finished		

	<p>product is appropriate and will preserve quality to the end user.</p> <p>Check 5 items.</p> <ol style="list-style-type: none"> 1. 8030515 2. 8010004 3. 8010026 4. 8050009 5. 		✓
9	Check that demonstration and exhibition stock is separate from other stock, and areas labelled correctly.		✓
10	Verify that product in the non-conforming area can only be removed by authorised personnel. Verify that transfer of non-conformance stock is done by use form QC19.		✓
11	Verify that special requirement areas are available should the product require it.		✓
12	<p>Check that completed products are adequately stored.</p> <p>List those checked.</p> <ol style="list-style-type: none"> 1. 8010004 2. 8010026 3. 4. 5. 		✓
13	Verify that there are adequate storage areas in the workshop for a working stock of assembly components.		✓
14	Check that product movement around the workshop is by ducket only.		✓
15	<p>Are stores and storage areas secure and suitably identified with signs.</p> <p>List problem areas.</p>	all ok.	✓
16	<p>Are uncontrolled material and parts identified as such, and in the correct area.</p> <p>Check that items in Quarantine have HOLD labels with an issue number, date and initials.</p>		✓
17	Check unentered and pre QA items have labels and/or are in the correct area.		✓
18	Are all parts in the warehouse properly identified with Viamed Location Tracking barcodes. Identify unmarked items.		✓

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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

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Product Controller					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID 7873 Review the Highs and Lows in Temperature of stored stock and products. The temperature range can be found on the temperature page.	Task: 800 <i>362021</i> Company Secretary ✓ Audit :	Freq 2 Risk 2 Overall 14	Task 3M		
Marketing Controller					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID 8024 This is a review of old stock that is being sold and then when stock runs out it will be withdrawn from sale.	Task: 971 <i>364252</i> Marketing Processes ✓ Audit :1211 <i>363755</i> Office Processes <i>n terms</i>	Freq 1 Risk 1 Overall 11	Task 1W Audit 12M		
Warehouse Team Leader					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID 5858 Opera Counts bulk stock in and issues stock out against orders. Multiple processes cause stock to be used internally, Opera requires a weekly update to bring the stock count into line with whats been used outside the invoicing systems NO LONGER REQUIRED, New system live counts these now	Task: 110 Audit: 261	Freq 2 Risk 1 Overall 12			
PROCESSID 5935	Task: 447	Freq 2			

To allocate stock that has not automatically be linked to a repair or invoice.	Audit :	Risk 1 Overall 1 2			
No longer required with replacement order system					
PROCESSID 6850 Review current stock levels	Task: 615 Goods In 364111✓ Audit :778 361884✓ Managing Director	Freq 2 Risk 1 Overall 1 2	Task 2W Audit 6M		
PROCESSID 6945 To synchronise Opera stock Count against Intrastats internal movement of stock, E.G. Items that wont uniquely appear on an opera order - such as production parts.	Task: 110 Audit :783	Freq 1 Risk 1 Overall 1 1			
TASK IS NO LONGER REQUIRED					
PROCESSID 6973 review qc 19 forms	Task: 1170 356390✓ Managing Director Audit :	Freq 1 Risk 1 Overall 1 1	Task 12M		
PROCESSID 7673 To check that all the stock on the selves are within their use by dates.	Task: 294 Goods In 363197✓ Audit :477 361991✓ Managing Director	Freq 1 Risk 2 Overall 1 2	Task 1M Audit 3M		
PROCESSID 7689 Move Stock From QA Shelf To Stock Shelf	Task: 545 Goods In 364631✓ Audit :	Freq 2 Risk 1 Overall 1 2	Task 1W		
PROCESSID 7694 Move Stock From QA Shelf To Stock Shelf	Task: 544 Goods In 364103✓ Audit :782 344203✓ Office Processes	Freq 2 Risk 1 Overall 1 2	Task 1W Audit 12M		
PROCESSID 7695 Move Stock From QA Shelf To Quick Shipping Shelves	Task: 495 Goods In 364621x in forms Audit :	Freq 1 Risk 1 Overall 1 1	Task 1W		
PROCESSID 7866 Ensure we do not run out of oxygen	Task: 785 361413✓ Production Processes Audit :	Freq 2 Risk 1 Overall 1 2	Task 3M		
PROCESSID 7902 Empty depleted sensor bin from the	Task: 876	Freq 1 Risk 1			

office	Audit :877	Overall 1 1			
PROCESSID 7903 Empty Warehouse depleted sensor bin into Bin in cage and record weights in intrastats where relevant	Task: 878 Goods In 363979 ✓ Audit :879 Office Processes 354365 ✓	Freq 1 Risk 1 Overall 1 1	Task 1M Task 3W Audit 6M		
PROCESSID 7904 Check Weeee waste pallet and sensor bin, arrange collection if FULL	Task: 880 Goods In 354366 ✓ Audit :881 Office Processes 339742 ✓	Freq 1 Risk 1 Overall 1 1	Task 6M Audit 12M		
PROCESSID 7942 To make sure we have a QA procedure or service manual in place for all our stock coming through Viamed and VST. Some may just say check packaging and barcode and other may need to go further in depth. With testing procedures. Those who do not require testing should state this in the procedure.	Task: 1036 Company Secretary with DL. 357978 X Audit :1037 Managing Director 360200 ✓	Freq 1 Risk 3 Overall 1 3	Task 6M Audit 12M		
PROCESSID 8008 Check sufficient Hand gel and gloves available for use in goods in.	Task: 1162 Office Processes 356387 ✓ Audit :1163 Production Processes 357164 ✓	Freq 1 Risk 1 Overall 1 1	Task 3M Audit 12M		
Audits					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID 7719 To carry out Audit Audit 07 Handling And Storage Viamed	Task: Audit :25 Company Secretary 361544 * The Audit in forms	Freq 1 Risk 2 Overall 1 2	Audit 12M		
PROCESSID 7767 To carry out Audit 07 Handling And Storage VST	Task: Audit :178 Company Secretary 361546 * The Audit in forms	Freq 1 Risk 2 Overall 1 2	Audit 12M		
Goods In					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes

PROCESSID 8002 Verification goods in products correctly identified	Task: 1149 356233✓ Office Processes Audit :1150 360208✓ Company Secretary	Freq 1 Risk 3 Overall 13	Task 12M Audit 12M		
PROCESSID 8004 Verify non conformaing parts and products and segregated identified, with a hold label with an issue number, date and initials on them.	Task: 1153 356234✓ Office Processes Audit :1154 363991✓ Company Secretary	Freq 1 Risk 2 Overall 12	Task 12M Audit 12M		
Production Processes					
Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID 7940 To check the date of the grease used in the production and servicing of the Tom Thumb. To see if it needs to be removed. Look at date purchased then add 4 years to the date. Dispose of this when it goes beyond this date.	Task: 1003 343515✓ Company Secretary Audit :1004 Managing Director 347458✓	Freq 1 Risk 1 Overall 11	Task 12M Audit 12M		
PROCESSID 7944 To check the use by date or manufacturers life span, of any Sealant, Glues, Greases, Sprays, Gases And Tapes You Use In Production, Service And Repairs For Viamed And VST. To see if it needs to be disposed of. Dispose of and where needed re order new, when it goes beyond this date.	Task: 1011 351562✓ Production Processes Audit :1012 347795✓ Company Secretary	Freq 1 Risk 1 Overall 11	Task 6M Audit 12M		
PROCESSID 8060 To check the use by date or manufacturers life span, of any Sealant, Glues, Greases, Sprays, Gases And Tapes You Use In Production, Service And Repairs For Viamed And VST. To see if it needs to be disposed of. Dispose of and where needed re order new, when it goes beyond this date.	Task: 1010 Production Processes 360927✓ Audit :	Freq 1 Risk 1 Overall 11	Task 3M		

Rolling Tasks Linked to Document :Task (25) Task (178) Task (110) Task (447)
Task (615) Task (1170) Task (294) Task (545) Task (544) Task (495) Task (785)

Task (800) Task (880) Task (878) Task (876) Task (1036) Task (1003) Task (1011)
Task (1162) Task (1149) Task (1153) Task (971) Task (1010)