Internal Audit Check list

Vandagraph Sensor Technologies Ltd
Contract Review and Sales Order Processing

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			VOP12
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Audit Date	2-9-25	Auditor Helen Lamb	

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 5.1.2	**Customer focus** 5.1.2 Customer focus Top management shall demonstrate leadership and commitment with respect to customer focus by ensuring that: a) customer and applicable statutory and regulatory requirements are determined, understood and consistently met; b) the risks and opportunities that can affect conformity of products and services and the ability to enhance customer satisfaction are determined and addressed; c) the focus on enhancing customer satisfaction is maintained.	management review PMS QA External parties
VST Ltd ISO9001:2015 8.2.1	**Customer communication** Communication with customers shall include: a) providing information relating to products and services; b) handling enquiries, contracts or orders, including changes; c) obtaining customer feedback relating to products and services, including customer complaints; d) handling or controlling customer property; e) establishing specific requirements for contingency actions, when relevant.	Roles + tasks Doc index Feedback
VST Ltd ISO9001:2015 8.2.2	**Determining the requirements for products and services** When determining the requirements for the products and services to be offered to customers, the organization shall ensure that: a) the requirements for the products and services are defined, including: 1) any applicable statutory and regulatory requirements; 2) those considered necessary by the organization; b) the organization can meet the claims for the products and services it offers.	Doc index Route map marketing index Roles + tasks
VST Ltd ISO9001:2015 8.2.3.1	The organization shall ensure that it has the ability to meet the requirements for products and services to be offered to customers. The organization shall conduct a review before committing to supply products and services to a customer, to include: a) requirements specified by the customer, including the requirements for delivery and post delivery activities; b) requirements not stated by the customer, but necessary for the specified or intended use, when known; c) requirements specified by the organization; d) statutory and regulatory requirements applicable to the products and services; e) contract or order requirements differing from those previously expressed. The organization shall ensure that contract or order requirements differing from those previously defined are resolved. The customers requirements shall be confirmed by the organization before acceptance, when the customer does not provide a documented statement of their requirements. NOTE In some situations, such as internet sales, a formal review is	Procedures Roles + tasks Doc index Feedback. Route Map

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	impractical for each order. Instead, the review can cover relevant product information, such as catalogues.			
VST Ltd ISO9001:2015 8.2.3.2	The organization shall retain documented information, as applicable: a) on the results of the review; b) on any new requirements for the products and services.		Doc index QA system feedback	
VST Ltd ISO9001:2015 8.2.4	Changes to requirements for products and services 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.		Doc index Required reading.	

	QUESTION:			Y/N
1	Review Last years Audit Are all follow on Issue resolved satisfactory?	Nothing out standing No Non conformance Issues.		Y
2	Are Telephone orders being logged in the call log correctly.			Y
3	Are Contact Details being updated in the system correctly and fully. Check 6 of this weeks Invoices, different companies. Check the Invoice, customer paperwork and CRM are correct. 1. 157007 2. 158264 3. 156151 4. 157218 5. 157454 6. 156352			Y
4	Check contacts match to Accounts package. Review the same as question 3. 1. 2. 3. 4. 5. 6.	checked as above		Y

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5	Check 6 invoices match between Intrastats and Accounts package. Use the same as Question 3. Address, stock, totals, VAT. 1. 2. 3. *checked same as* 4. *Q3* 5. 6.		Y
6	Paperwork – All is now digital but double check in the sales office and around both buildings for paperwork that should be disposed of securely. Ensure it is processed as per GDPR, not left lying around and when finished with shredded or archived correctly. Review Tasks ID1087, ID1086, ID508, ID509	*this issue is related to Credit card. No longer done*	Y
7	Quotes and proformas – check 4 of each, check the addresses, stock, and quantities to the customer paperwork. Check any over the limit set in VM3COP03 have been approved by a director. Quotes 1. 2. 3. 4. Proformas 1. 2. 3. 4. *✓ ST Does not seem to do Quotes + proformas. So few customers*		N/A
8	Quotes and proformas – check these are being reviewed regularly. Note any that have not been reviewed within the last 2 months. Note these below and issue the person responsible.		N/A

Sub Processes Linked to Audit 02
Review the below processes tasks and audits and ensure they are completed in a timely manner.

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List Processes Per Title

Clone from Docid

ISO Controller

Process Scope	Roll Task / Roll Audit	Risk	Action	*	Notes
PROCESSID **7941** Check Leaflets, Letterhead and other paperwork to see if the correct BSI logo is in use. Remove and dispose of all old items if found. Ask Catrin to review the website for old leaflets.	Task: 1005 371479 ✓ Managing Director Audit :	Freq 1 Risk 3 Overall 3	Task 12M		

IT Controller

Process Scope	Roll Task / Roll Audit	Risk	Action	*	Notes
PROCESSID **8027** To make sure the pricing on the Shopify web shop is updated when the prices are updated in the companies. Regular checks to ensure all prices are correct.	Task: 1204 374210 ✗ Marketing Processes in terms Audit :1215 Company Secretary 371682 ✓	Freq 1 Risk 1 Overall 1	Task 1W Audit 6M		
PROCESSID **8028** Export the Viamed Shopify Sales transaction Report	Task: 1212 374056 ✗ Marketing Processes in terms Audit :1216 371695 ✓ Company Secretary	Freq 1 Risk 1 Overall 1	Task 1M Audit 6M		

Product Controller

Process Scope	Roll Task / Roll Audit	Risk	Action	*	Notes
PROCESSID **5905** Check we have consistent pricing across the different databases.	Task: 418 371620 ✗ Director 3 (Steve) Audit :71 366087 ✓ Managing Director	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M		
PROCESSID **7697** To review the current pricing and impact of increases	Task: 501 362971 ✓ Director 3 (Steve) Audit :502 365310 ✓ Managing Director	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M		
PROCESSID **7893**	Task: 822 370964 ✗	Freq 1	Task 3M		

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To confirm the Document index Price Lists	Director 3 (Steve) Audit :	Risk 1 Overall 1			

Humanmed Controller

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **7670** Review of Humanmed sales and orders and clear any duplicates or problems.	Task: 611 Audit :	Freq 3 Risk 1 Overall 3			
PROCESSID **7782** Remove Started But Not Used Order Numbers from intrastats. Process no longer required with end of Opera	Task: 770 Audit :	Freq 2 Risk 1 Overall 2			

Sales Controller

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **7801** To review the current pricing and impact of increases	Task: 653 349708 ✓ Director 3 (Steve) Audit :654 350597 ✓ Managing Director	Freq 1 Risk 2 Overall 2	Task 12M Audit 12M		
PROCESSID **8033** Filling in any outstanding sales forecasts, Intrastats - Sales - Sales - Stock Sales Forecasts Look at the Sales Warnings Intrastats - Sales - Sales - Sales Warnings	Task: 56 372658 Director 3 (Steve) ✗ Audit :	Freq 2 Risk 1 Overall 2	Task 1M		
PROCESSID **8086** Does the customer have climate change as a critera for choosing suppliers	Task: 1270 351377 ✓ Director 3 (Steve) Audit :	Freq 1 Risk 1 Overall 1	Task 12M		

Accounts Controller

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **8020** Check Proformas And Quotes for Vandagraph To The Bank. To see if any have paid, if they have turnm to order.	Task: 1200 373892 ✓ Office Processes Audit :1201 370716 ✓ Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit 3M		

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UK Sales Force

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **5871** Review the Sale or Return list in intrastats. Ensure it is up to date.	Task: 292 _365840_ ✓ Managing Director Audit :293 _366753_ ✓ Managing Director	Freq 2 Risk 1 Overall 2	Task 1M Audit 3M		
PROCESSID **5876** To Collect E.Commerce Cardea And Multiquote Orders	Task: 361 Audit :	Freq 1 Risk 1 Overall 1			
PROCESSID **7971** Chase outstanding Quotes and Proformas put on by Steve H or that he is responsible for.	Task: 1091 _371921_ ✓ Marketing Processes Audit :1092 _371343_ ✓ Office Processes	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M		

EX Sales Force

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **5872** Review the Sale or Return list in intrastats. Ensure it is up to date.	Task: 291 _371610_ ✓ EX Sales Controller Audit :293 _366753_ ✓ Managing Director	Freq 2 Risk 1 Overall 2	Task 1M Audit 3M		
PROCESSID **7970** Chase outstanding Quotes and Proformas put on by Ryan or that he is responsible for.	Task: 1089 _371926_ ✓ EX Sales Controller Audit :1090 _371342_ ✓ Office Processes	Freq 3 Risk 1 Overall 3	Task 1M Audit 6M		

OEM Sales Controller

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **7808** To find and Tag any sales that are removed from commissions, as they are break even products for relationships purposes	Task: 670 _374019_ ✓ Managing Director Audit :704 _369066_ ✓ Director 3 (Steve)	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M		
PROCESSID **7894** To check the Current Customer Agreements are still Valid	Task: 823 _362656_ X Director 3 (Steve) Audit :1067 _359926_ X	Freq 1 Risk 1 Overall 1	Task 6M Audit 12M		

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		Managing Director				

Vandagraph

Process Scope	Roll Task / Roll Audit	Risk	Action	*	Notes
PROCESSID 7791 Changing of the prices lists. Issue to check these are current *Vandagraph is not an ISO company	Task: 636 371910 ✓ EX Sales Controller Audit :	Freq 1 Risk 2 Overall 2	Task 1M		

Repairs Controller

Process Scope	Roll Task / Roll Audit	Risk	Action	*	Notes
PROCESSID 8005 Check relevant information is being fully entered correctly on SRS system. Check 5 SRS in the system, make sure, there is customer contact details, including email address, serial numbers, part numbers.	Task: 1156 363126 ✓ Office Processes Audit :1157 374053 ✓ Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M		

Audits

Process Scope	Roll Task / Roll Audit	Risk	Action	*	Notes
PROCESSID 7715 To carry out Audit 02 Contract Review Viamed	Task: *Audit* Audit :36 373964 × Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M		
PROCESSID 7763 To carry out Audit 02 Contract Review VST	Task: *Audit* Audit :187 373972 Company Secretary	Freq 1 Risk 2 Overall 2	Audit 12M		

Accounts Processes

Process Scope	Roll Task / Roll Audit	Risk	Action	*	Notes
PROCESSID 7872 To review with the banks any embargo countries	Task: 794 361885 ✓ Company Secretary Audit :	Freq 1 Risk 3 Overall 3	Task 6M		

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Office Processes

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **2** Office Answering taking calls and either dealing with the enquiry or passing the call onto someone who can, or making a call log for someone to return a call	Task: Audit :668 374199 ✓ Office Processes	Freq 2 Risk 1 Overall 2	Audit 3M		
PROCESSID **7** Process to check customer orders and enable picking	Task: Audit :901 374204 ✓ Office Processes	Freq 1 Risk 1 Overall 1	Audit 1W		
PROCESSID **14** Ensuring that fax reports have been generated for both sent and received faxes and ensuring there is paper in the fax machine	Task: 367 Audit :411	Freq 1 Risk 1 Overall 1			
PROCESSID **36** Invoices are emailed to customers	Task: 430 374179 ✓ Office Processes Audit :362 373854 ✓ Company Secretary	Freq 2 Risk 1 Overall 2	Task 1D Audit 1W		
PROCESSID **37** Viamed has a consignment stock with West Yorkshire Ambulance, We scan stock to a shelf, then send them the consignment stock As and when they use stock each week we do a rational and invoice them for the used stock and replenish the consignment stock. WYA Stock check via the website. We can now check their stock agrees with ours.	Task: 348 Audit :349	Freq 1 Risk 1 Overall 1			
PROCESSID **5875** Checking the PayPal website for payments from customers that may have been missed or not emailed to the main inbox	Task: 239 373750 ✓ Office Processes Audit :401 372883 ✓ Office Processes	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M		
PROCESSID **5882** Humanedmed post is received, it needs to be forwarded to Humanmed UK Sales Manager HumanMed has Gone, tasks no longer required	Task: 382 Audit :383	Freq 4 Risk 1 Overall 4			
PROCESSID **5891**	Task:	Freq 3			

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To process the Repair Quotes And Orders as they come in.	Audit :536	Risk 1 Overall 3		
PROCESSID **5892** Checking the eBay and Amazon accounts for orders that have not been emailed to the main inbox and checking to see if there are messages or questions.	Task: 397 374176 Office Processes Audit :398 373978✓ Office Processes	Freq 2 Risk 2 Overall 4	Task 1D Audit 1W	
PROCESSID **5893** Answering any questions that are asked via the website from within Intrastats PROCESS NO LONGER REQUIRED Web QUESTIONS NOW COME IN VIA shopify, and Email	Task: 643 Audit :396	Freq 1 Risk 1 Overall 1		
PROCESSID **5894** Check the Active Back orders ensure no orders get missed	Task: 896 374036 Office Processes ✓ Audit :897 371476✓ Office Processes	Freq 1 Risk 1 Overall 1	Task 1W Audit 2M	
PROCESSID **5895** Ensuring that the allocated tasks are being completed	Task: 776 374027✓ Managing Director Audit :777 373177✓ Office Processes	Freq 3 Risk 1 Overall 3	Task 1W Audit 1M	
PROCESSID **5897** Task to Frank outgoing Mail	Task: 564 374191✓ Goods Out Audit :568 361069✓ Office Processes	Freq 5 Risk 1 Overall 5	Task 1D Audit 6M	
PROCESSID **5899** Chase outstanding Quotes and Proformas	Task: 409 373632✓ Office Processes Audit :410 372780✓ Office Processes	Freq 3 Risk 1 Overall 3	Task 1W Audit 1M	
PROCESSID **5913** Checking the logistics mailbox from within and the main inbox for outstanding Humanmed orders. NO LONGER REQUIRED HUMANEMD STOPPED	Task: 465 Audit :466	Freq 2 Risk 1 Overall 2		
PROCESSID **5943** Checking the Cardea and Multiquote websites for outstanding orders or requests	Task: 530 374001✓ Office Processes 371885✓ Audit :279 Company Secretary	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M	
PROCESSID **5948** Adding customer accounts to account management software	Task: Audit :669 365821✓	Freq 3 Risk 1 Overall 3	Audit 12M	

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	Company Secretary	Freq / Risk / Overall	Task / Audit		
PROCESSID 5949 Check Square transactions for any anomalies or problems	Task: 903 373181 ✓ Office Processes Audit :904 371671 Company Secretary	Freq 2 Risk 2 Overall 4	Task 1M Audit 1M		
PROCESSID 7676 Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NO LONGER REQUIRED AS DONE BY THE SYSTEM AUTOMATICALLY	Task: 504 Audit :505	Freq 2 Risk 1 Overall 2			
PROCESSID 7678 Checking the Catalog 360 Circle website for outstanding orders or requests SYSTEM NO LONGER USED	Task: 478 Audit :531	Freq 2 Risk 1 Overall 2			
PROCESSID 7686 Check that outstanding orders with unresolved issues are being followed up and addressed	Task: 487 373862✓ Office Processes Audit :569 372536✓ Company Secretary	Freq 2 Risk 1 Overall 2	Task 7D Audit 1M		
PROCESSID 7696 Emailing Notifications of shipments	Task: 496 374184 / Office Processes Audit :537 374002/ Office Processes	Freq 2 Risk 1 Overall 2	Task 1D Audit 1W		
PROCESSID 7709 Ensure invoices are generated for shipped orders	Task: 523 374186 Office Processes Audit :524 372247 ✓ Office Processes	Freq 2 Risk 2 Overall 4	Task 1D Audit 1M		
PROCESSID 7712 Review the payments received to ensure proformas can be shipped	Task: 528 374188 Office Processes Audit :529 373769/ Office Processes	Freq 3 Risk 1 Overall 3	Task 1D Audit 1W		
PROCESSID 7735 Ensure samples and Sale or Return items are followed up after 4 weeks for feedback and the item(s) is returned as appropriate	Task: 549 373873 Office Processes Audit :550 374190✓ Managing Director	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M		
PROCESSID 7758 Check the emails for orders from GHX	Task: 603 373652 Office Processes Audit :604 373173 Office Processes	Freq 2 Risk 1 Overall 2	Task 1W Audit 1M		

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PROCESSID 7761 Emailing Notifications of shipments	Task: 620 374197 Office Processes Audit :621 373879 Office Processes	Freq 2 Risk 1 Overall 2	Task 1D Audit 1W			
PROCESSID 7783 Process of PDF ing Invoices into the system for easy of use in the future and the Emailing of Invoices to customers NOW DONE AUTOMATICALLY	Task: 612 Audit :613	Freq 2 Risk 1 Overall 2				
PROCESSID 7795 Answering any questions that are asked via the website from within Intrastats	Task: 643 Audit :	Freq 1 Risk 1 Overall 1				
PROCESSID 7822 To check we have the stock available to supply our customer Oxylink. NOTE THIS PROCESS HAS BEEN STOPPED. Part number has been superseded	Task: 708 Audit :709	Freq 3 Risk 1 Overall 3				
PROCESSID 7936 Checking external system for orders	Task: 990 373889 Office Processes Audit :991 373511 Office Processes	Freq 2 Risk 2 Overall 4	Task 1W Audit 1M			
PROCESSID 7953 To Send Vandagraph Delivery notifications	Task: 1043 374206 Office Processes Audit :	Freq 1 Risk 1 Overall 1	Task 1D			
PROCESSID 7955 Vandagraph Shipper SignOff Collection List	Task: 1044 374207 Office Processes Audit :	Freq 1 Risk 1 Overall 1	Task 1D			
PROCESSID 7988 To confirm contact details are being entered into the system correctly. Between our Invoice, Customer Paperwork and the existing CRM	Task: 1122 361429 Company Secretary Audit :1123 345754 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M			
PROCESSID 7989 Verifiying the contact details on invoices match between internal system and the external accounts package	Task: 1124 361430 Company Secretary Audit :1125 347009 Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M			
PROCESSID 8023 Vandagraph Check Shopify Order Delivery Notifications are sent and updated on the list.	Task: 1206 373518 Office Processes	Freq 1 Risk 1 Overall 1	Task 1M Audit 3M			

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		Audit :1207 367797 Company Secretary					
PROCESSID **8061** Checking external system for orders		Task: 1018 Audit :	Freq 1 Risk 1 Overall 1				

Goods Out

Process Scope	Roll Task Roll Audit	Risk	Action	*	Notes
PROCESSID **6954** To check the back orders in the tray in goods out and check the active list back orders has been reviewed	Task: 905 373782 Goods Out Audit :906 373509 Company Secretary	Freq 1 Risk 1 Overall 1	Task 1W Audit 1M		
PROCESSID **8071** Checked repair quotes have been sent to customers Check that all checked repair quotes have been emailed to customer and systems have been updated.	Task: 1232 Office Processes 374064 Audit :	Freq 1 Risk 1 Overall 1	Task 2D		

Rolling Tasks Linked to Document :Task (36) Task (905) Task (668) Task (901) Task (367) Task (430) Task (348) Task (239) Task (382) Task (536) Task (397) Task (643) Task (896) Task (776) Task (564) Task (409) Task (465) Task (530) Task (669) Task (903) Task (504) Task (478) Task (487) Task (496) Task (523) Task (528) Task (549) Task (603) Task (620) Task (612) Task (708) Task (636) Task (187) Task (670) Task (291) Task (292) Task (361) Task (770) Task (653) Task (418) Task (501) Task (611) Task (794) Task (822) Task (823) Task (990) Task (1005) Task (1043) Task (1044) Task (1089) Task (1091) Task (1156) Task (1122) Task (1124) Task (1200) Task (1206) Task (1204) Task (1212) Task (56) Task (1018) Task (1232) Task (1270)