

# Internal Audit Check list

## VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 1 of 11
Audit Date	23/3/26	Auditor Helen Lamb	

Company / ISO Section	Criteria of ISO Section	Auditor Comments / Issues
VST Ltd ISO9001:2015 8.5.1	<p><b>Control of production and service provision</b> The organization shall implement production and service provision under controlled conditions. 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 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>Doc index Tech files QA system Calibration index  Management Review</p>
VST Ltd ISO9001:2015 8.5.2	<p><b>Identification and traceability</b> The organization shall use suitable means to identify outputs when it is necessary to ensure the conformity of products and services. The organization shall identify the status of outputs with respect to monitoring and measurement requirements throughout production and service provision. 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 systems Bar code tracking Doc index</p>
VST Ltd ISO9001:2015 8.5.3	<p><b>Property belonging to customers or external providers</b> The organization shall exercise care with property belonging to customers or external providers while it is under the</p>	

# Internal Audit Check list

## VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 2 of 11
Audit Date		Auditor	

	<p>organization's control or being used by the organization. The organization shall identify, verify, protect and safeguard customers' or external providers' property provided for use or incorporation into the products and services. 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. 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 Barcodes Doc index</p>
<p>VST Ltd ISO9001:2015 8.5.4</p>	<p><b>Preservation</b> The organization shall preserve the outputs during production and service provision, to the extent necessary to ensure conformity to requirements. NOTE Preservation can include identification, handling, contamination control, packaging, storage, transmission or transportation, and protection.</p>	<p>QA system Barcodes Doc index</p>
<p>VST Ltd ISO9001:2015 8.6</p>	<p><b>Release of products and services</b> The organization shall implement planned arrangements, at appropriate stages, to verify that the product and service requirements have been met. The release of products and services to the customer shall not proceed until the planned arrangements have been satisfactorily completed, unless otherwise approved by a relevant authority and, as applicable, by the customer. The organization shall retain documented information on the release of products and services. The documented information shall include: a) evidence of conformity with the acceptance criteria; b) traceability to the person(s) authorizing the release</p>	<p>Doc index management review marketing index</p>
<p>VST Ltd 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. 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. The organization shall deal with nonconforming outputs in one or more of the following ways: a) correction; b) segregation, containment, return or suspension of provision of</p>	<p>QA system Barcodes PMS Feedback Supplier review</p>

## Internal Audit Check list

### VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 3 of 11
Audit Date		Auditor	

	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.	
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	QUESTION:	RESPONSE:	Y/N
1	Check all issues from the previous audit are completed. <i>No Non Conformance.</i>	<i>Nothing outstanding</i>	Y
2	Check that stock booked in, is transferred to relevant location with Barcodes. All stock opened should have barcodes or a Hold label with Issue number.		Y
3	Verify that goods are checked against the original Purchase Order and Supplier delivery Note. Then entered into the Deliveries in Intrastats. Check the Supplier delivery Note has been marked to show quantity delivered and ticked off. Then stamped with the dated received stamp and initialled  Check 5 separate stock items from the good awaiting QA shelf. Pick an item, put the ID in Serial Number search to get the Purchase Order Number and go to the Delivery Notes file. 1. <i>PST 4920</i> 2. <i>PST 5055</i> 3. <i>PST 4929</i> 4. <i>PST 5030</i> 5. <i>PST 5029</i>		Y
4	Check that incorrect goods, non-conforming parts and those with queries are segregated, identified as such and put on hold awaiting action. These must all have a HOLD label with Issue Number, date and initials. List any that are unidentified.		Y
5	Are goods identified Hold when awaiting action and in the appropriate area. Those on a none hold shelf should have a HOLD label with Issue Number, date and initials. List any items that are unidentified.		Y

## Internal Audit Check list

**VANDAGRAPH SENSOR TECHNOLOGIES LTD  
GOODS INWARDS AND PRODUCT IDENTITY**

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 4 of 11
Audit Date		Auditor	

6	<p>Check the Deliveries on Intrastats has been filled in correctly. Look at the last week. Check for purchase order numbers, stock types, quantities, SRS's etc. In Stock – Deliveries</p>		Y
7	<p>Are all incoming consignments logged in the Deliveries on Intrastats. Check 5 random Delivery Notes/Purchase orders for the previous 3 months from different companies.</p> <p>1. PST 4920 2. PST 5055 3. PST 4929 4. PST 5030 5. PST 5029</p>		Y
8	<p>Check that items, once through QA are packaged correctly and labelled appropriately. List 5 checked.</p> <p>1. PST 4920 2. PST 5055 3. PST 4929 4. PST 5030 5. PST 5029</p>		Y
9	<p>Check that goods in the Goods Inward area can be identified and have not been left unprocessed for more than two days. List any found.</p> <p style="text-align: center;"><i>None found.</i></p>		Y
10	<p>Verify that repairs booked in are identified by Service Repair Number (SRN) and Service Repair Sheet (SRS). That the appropriate information is included in the ductet prior to moving to workshop. Check all the ductets on the Repairs shelf in Goods In. List any without the correct paperwork.</p>	<i>all have paperwork</i>	Y
11	<p>Check that the relevant information is entered onto Intrastats. Check 5 SRS's. Returns – Returns Completed or Repairs not completed.</p>		

# Internal Audit Check list

## VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 5 of 11
Audit Date		Auditor	

	<ol style="list-style-type: none"> <li>1. SRS 69198 ✓</li> <li>2. SRS 69208 ✓</li> <li>3. SRS 69210 ✓</li> <li>4. SRS 69329 ✓</li> <li>5. SRS 69279 ✓</li> </ol>		Y																														
12	Check the building for unidentified or unmarked goods without a hold label. The label should include an Issue number, date and initials. List any that are found.	None found	Y																														
13	Are goods identified Hold when awaiting action and in the appropriate area. HOLD label must have Issue Number, date and initials. List any items that are unidentified.	Nothing unidentified	Y																														
14	Check that Return to Supplier is complete and up to date as per Intrastats. Task ID (66) Search issue to see if up to date.		Y																														
15	Check that there are no goods over one month left waiting to be returned on the shelf.		Y																														
16	Check Meeting in Intrastats is completed quarterly by MD.		Y																														
17	Check that completed stock is identified as such by Barcodes and the location is correct. Check 5 stock items at random. <table style="margin-left: 20px; border-collapse: collapse;"> <thead> <tr> <th></th> <th>stock</th> <th>id</th> <th>loc</th> <th></th> </tr> </thead> <tbody> <tr> <td>1.</td> <td>8010006</td> <td>2920990</td> <td>126537</td> <td>✓</td> </tr> <tr> <td>2.</td> <td>8010033</td> <td>2933689</td> <td>126537</td> <td>✓</td> </tr> <tr> <td>3.</td> <td>8030491</td> <td>Not Yc tracked</td> <td>126540</td> <td>✓</td> </tr> <tr> <td>4.</td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td>5.</td> <td colspan="4" style="text-align: center;">No other stock at time of Audit</td> </tr> </tbody> </table>		stock	id	loc		1.	8010006	2920990	126537	✓	2.	8010033	2933689	126537	✓	3.	8030491	Not Yc tracked	126540	✓	4.					5.	No other stock at time of Audit					Y
	stock	id	loc																														
1.	8010006	2920990	126537	✓																													
2.	8010033	2933689	126537	✓																													
3.	8030491	Not Yc tracked	126540	✓																													
4.																																	
5.	No other stock at time of Audit																																
17	Check that storage areas are adequate for safe handling and easy access to goods. Walk round all stock areas and note any restriction/problems.		Y																														

# Internal Audit Check list

## VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 6 of 11
Audit Date		Auditor	

### Sub Processes Linked to Audit 09

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

### List Processes Per Title

Clone from Docid

<b>Managing Director</b>				
<b>Process Scope</b>	<b>Roll Task</b> <b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
PROCESSID 7830 To review the Quantities of Failed product per Stock reference Passing through the Q.A. system	Task: 727 393436 ✓ Goods In  Audit :729 387472 ✓ Managing Director	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
<b>IT Controller</b>				
<b>Process Scope</b>	<b>Roll Task</b> <b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
PROCESSID 6838 To find and correct opera when it reads Negative stock values.  NOT REQUIRED ANYMORE Opera	Task: 461  Audit :	Freq 1 Risk 1 Overall 1		
<b>Product Controller</b>				
<b>Process Scope</b>	<b>Roll Task</b> <b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
PROCESSID 5854 To update and maintain the Stock FAQ list	Task: 231 393268 ✓ Director 3 (Steve)  Audit :374 394955 Managing Director	Freq 1 Risk 1 Overall 1	Task 1M Audit 3M	
<b>Marketing Controller</b>				
<b>Process Scope</b>	<b>Roll Task</b> <b>Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>

## Internal Audit Check list

### VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 7 of 11
Audit Date		Auditor	

<b>PROCESSID 6894</b> Maintenance and research of cross reference tables	Task: 673 <i>394992 x</i> Marketing Processes <i>in terms</i> Audit :674 Director 3 (Steve) <i>392898 x</i>	Freq 3 Risk 1 Overall 3	Task 1M Audit 3M	
<b>Sales Controller</b>		<i>in terms</i>		
<b>Process Scope</b>	<b>Roll Task Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
<b>PROCESSID 57</b> To Review Memos on Stock references tagged as Temporary	Task: 207 <i>394341 x</i> Director 3 (Steve) <i>in terms</i> Audit :206 <i>390417 ✓</i> Managing Director	Freq 2 Risk 1 Overall 2	Task 1M Audit 3M	
<b>Warehouse Team Leader</b>				
<b>Process Scope</b>	<b>Roll Task Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
<b>PROCESSID 7826</b> To Receive Goods from Suppliers	Task: 915 <i>392906 ✓</i> Goods Out Audit :734 <i>392761 ✓</i> Office Processes	Freq 2 Risk 2 Overall 4	Task 1M Audit 3M	
<b>PROCESSID 7903</b> Empty Warehouse depleted sensor bin into Bin in cage and record weights in intrastats where relevant	Task: 878 <i>392136 ✓</i> Goods In Audit :879 <i>387484 ✓</i> Office Processes	Freq 1 Risk 1 Overall 1	Task 1M Task 3W Audit 6M	
<b>PROCESSID 7914</b> To download or pdf the proof of deliveries  This is not needed at present. It was brought in prior to covid.	Task: 917 <i>370064 ✓</i> Company Secretary Audit :918 <i>340753 ✓</i> Office Processes	Freq 1 Risk 1 Overall 1	Task 12M Audit 24M	
<b>PROCESSID 7915</b> To ensure we have enough items of particular stock for certain customer whom can and do place large orders of regular stock,	Task: 921 <i>395380 ✓</i> Goods In Audit :	Freq 1 Risk 1 Overall 1	Task 1W	
<b>PROCESSID 7917</b> Check stock requirements for human med Stock	Task: <del>920</del>	Freq 1 Risk 1 Overall 1		

# Internal Audit Check list

## VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 8 of 11
Audit Date		Auditor	

Process Scope	Roll Task	Risk	Action	Notes
NO Longer required	Audit :			
<b>PROCESSID 7923</b> To Review and tidy up any outstanding RMAs that have been resolved by Supplier credit notes	Task: 935 <i>395250x</i> Goods Out <i>in terms</i>  Audit :936 <i>393903 ✓</i> Goods In	Freq 1 Risk 1 Overall 1	Task 2W Audit 1M	
<b>PROCESSID 7957</b> Warehouse requests for stock to be reviewed, any shortages to be ordered or produced with a production Job	Task: 1047 <i>395014 x</i> Director 3 (Steve) <i>in terms</i>  Audit :	Freq 1 Risk 1 Overall 1	Task 1M	
<b>PROCESSID 7967</b> To count the final year end stock for VST	Task: 1084 <i>392645</i> Goods In <i>in terms</i>  Audit :	Freq 2 Risk 2 Overall 4	Task 12M	
<b>PROCESSID 8006</b> Visually check the warehouse for unidentified stock	Task: 1158 <i>391159 ✓</i> Company Secretary  Audit :1159 <i>365856 ✓</i> Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	
<b>PROCESSID 8009</b> Randomly test/list 5 stock Items from finished shelves. to verify their loction in intrastats, Check for Barcode label. check serial number or batchnumber where applicable to the barcode. confirm packaged suitably.	Task: 1164 <i>389731 ✓</i> Office Processes  Audit :1165 <i>391160 ✓</i> Production Processes	Freq 1 Risk 1 Overall 1	Task 6M Audit 12M	
<b>PROCESSID 8010</b> Verify Ebay stock is scanned to the correct shelf.	Task: 1166 <i>389732 ✓</i> Marketing Processes  Audit :1167 <i>394398 x</i> Office Processes <i>in terms</i>	Freq 1 Risk 1 Overall 1	Task 6M Audit 12M	
<b>PROCESSID 8011</b> Confirm location and condition of all Demo and Exhibition Stock. Confirm stock is separate from regular stock. Confirm stock levels are correct.	Task: 1168 <i>393644 ✓</i> Marketing Processes  Audit :1169 <i>365857 ✓</i> Managing Director	Freq 1 Risk 1 Overall 1	Task 12M Audit 12M	
<b>Audits</b>				
<b>Process Scope</b>	<b>Roll Task</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>

# Internal Audit Check list

## VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 9 of 11
Audit Date		Auditor	

	Roll Audit			
<p><b>PROCESSID 7721</b> To carry out Audit 09 Goods Inward And Product Identity Viamed</p> <p>Any follow on issues must be identified with Observation Issue or a Non Conformance Issue.</p> <p>If the issue is a Non Conformance a QC21 form must be filled in, as per the QC21 form procedure, and investigated as such.</p>	<p>Task:</p> <p style="text-align: center;"><i>391100x in terms</i></p> <p>Audit :170 Company Secretary</p> <p style="text-align: center;"><i>This Audit</i></p>	<p>Freq 1 Risk 2 Overall 2</p>	<p>Audit 12M</p>	
<p><b>PROCESSID 7769</b> To carry out Audit 09 Goods Inward And Product Identity VST</p> <p>Any follow on issues must be identified with Observation Issue or a Non Conformance Issue.</p> <p>If the issue is a Non Conformance a QC21 form must be filled in, as per the QC21 form procedure, and investigated as such.</p>	<p>Task:</p> <p style="text-align: center;"><i>391101x</i></p> <p>Audit :174 Company Secretary</p> <p style="text-align: center;"><i>Audit</i></p>	<p>Freq 1 Risk 2 Overall 2</p>	<p>Audit 12M</p>	
<b>Office Processes</b>				
Process Scope	Roll Task Roll Audit	Risk	Action	Notes
<p><b>PROCESSID 7792</b> A report is generated from figures in Intrastats to display how many orders have been shipped without errors</p>	<p>Task: 637 <i>393301✓</i> Managing Director</p> <p>Audit :638 <i>393302✓</i> Company Secretary</p>	<p>Freq 2 Risk 1 Overall 2</p>	<p>Task 3M Audit 3M</p>	
<p><b>PROCESSID 7914</b> To download or pdf the proof of deliveries</p> <p>This is not needed at present. It was brought in prior to covid.</p>	<p>Task: 917 <i>370064✓</i> Company Secretary</p> <p>Audit :918 <i>340753✓</i> Office Processes</p>	<p>Freq 1 Risk 1 Overall 1</p>	<p>Task 12M Audit 24M</p>	
<p><b>PROCESSID 7943</b></p>	<p>Task: 1006 <i>393696✓</i></p>	<p>Freq 1</p>	<p>Task 1M</p>	

# Internal Audit Check list

## VANDAGRAPH SENSOR TECHNOLOGIES LTD GOODS INWARDS AND PRODUCT IDENTITY

Created:	17/May 1995	Audit No 09	VM3/COP05/06 VOP07
			Page 10 of 11
Audit Date		Auditor	

To review stock levels of 8000004	Office Processes	Risk 1	Overall 1	
	Audit :			
<b>Goods In</b>				
<b>Process Scope</b>	<b>Roll Task Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
PROCESSID 7859 Checking of the POR Files For Items Delivered But Not Removed From File	Task: 767 Goods In 394995 ✓ Audit :	Freq 3 Risk 1 Overall 3	Task 1M	
PROCESSID 7898 Stamp Acceptance of parcels in goods in with date stamp, log entry into the goods in database	Task: 836 Goods In 395376 ✓ Audit :	Freq 1 Risk 1 Overall 1	Task 1D	
PROCESSID 7976 Decontamination Of Incomming Products And Repairs. Clean items and make sure safe to handle. Use gloves where needed.	Task: 1098 Goods In 394656 ✓ Audit :1099 389019 ✓ Company Secretary	Freq 2 Risk 2 Overall 4	Task 1M Audit 12M	
<b>QA Goods In</b>				
<b>Process Scope</b>	<b>Roll Task Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
PROCESSID 7962 To upload any supplier qa results to the PO update log	Task: 1059 Goods In 393323 ✓ Audit :1060 382355 ✓ Managing Director	Freq 1 Risk 1 Overall 1	Task 1M Audit 6M	
<b>Repair Processes</b>				
<b>Process Scope</b>	<b>Roll Task Roll Audit</b>	<b>Risk</b>	<b>Action</b>	<b>Notes</b>
PROCESSID 7897 To check the daily returns for any that are oxygen sensors only, so they can be fast tracked through the system	Task: 834 Production Processes 395375 ✓ Audit :	Freq 1 Risk 1 Overall 1	Task 1D	

Rolling Tasks Linked to Document :Task (170) Task (637) Task (174) Task (915)  
Task (207) Task (231) Task (673) Task (461) Task (727) Task (767) Task (836) Task  
(878) Task (834) Task (917) Task (921) Task (920) Task (935) Task (1006) Task

<b>Internal Audit Check list</b>			
<b>VANDAGRAPH SENSOR TECHNOLOGIES LTD</b>			
<b>GOODS INWARDS AND PRODUCT IDENTITY</b>			
Created:	17/May 1995	<b>Audit No 09</b>	VM3/COP05/06 VOP07
			Page 11 of 11
Audit Date		Auditor	

(1047) Task (1059) Task (1084) Task (1098) Task (1158) Task (1164) Task (1166)  
Task (1168)