**Process Based audit - Checklist**

**FP-OPS-01 - General Sales (Rev 1)**

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| **Chris Docherty (Auditor)** | **(Auditee)** |  |
| **Internal Sales:** | **Joe Blogs** |  |
| **External Sales:** | **Peter Smith** |  |

|  | **Task Title** | **Responsible** | **Task Description** | **Finding** | **Comment** |
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| 1.0 | Enquiry Handling |  |  | OFI/NC |  |
| 1.1 | Receive Enquiry | **R - Sales**  A – Contracts Manager  A – Contracts Admin | An enquiry can come in from a client by various means and passed to internal sales person. |  |  |
| 1.2 | Assess Enquiry | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Based on client’s enquiry assess their requirements and identify the product specification. |  |  |
| 1.3 | Sales System Input | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Create Task ID in sales order system and assign to appropriate sales person. |  |  |
| 1.4 | Clarification | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Seek clarification from client if required. |  |  |
| 1.5 | Client Correspondence | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Upload all correspondence and specification information etc. |  |  |
| 2.0 | Quoting |  |  |  |  |
| 2.1 | Create Quote | **R – Contract Manager**  A – Sales  A – Contracts Admin | Create quote based on selling prices or discount structure in place with client, or price as agreed by sales team. |  |  |
| 2.2 | Send Quote | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Send quote by method agreed with client. |  |  |
| 2.3 | Task Status | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Update status of task within sales order system. |  |  |
| 2.4 | Follow-up | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Follow-up with client, depending on value and criticality. |  |  |
| 2.5 | Modify Status | **R – Contract Admin**  A – Contracts Manager  A – Sales | Amend task status in sales order system and/or enter information in running report. |  |  |
| 3.0 | Manage Sale |  |  |  |  |
| 3.1 | Record Sale | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Record customer purchase order. |  |  |
| 3.2 | Generate Sales Order | **R - Sales**  A – Contracts Manager  A – Contracts Admin | Import quotation and modify if required or enter sales information directly if no quote has been issued. |  |  |
| 3.3 | Create PO | **R – Contract Manager**  A – Contracts Admin | Create a PO if goods are not available from stock. Issue PO to supplier and request order acknowledgment Spend authorisation levels identified within the purchasing process must be adhered to. |  |  |
| 3.4 | Order Expediting | **R – Contract Manager**  A – Contracts Admin | PO's to be progressed in advance of delivery date for client specific orders. |  |  |
| 4.0 | Manage Delivery |  |  |  |  |
| 4.1 | Delivery Address Confirmation | **R – Contract Admin**  A – Contracts Manager | Confirm delivery to appropriate branch or to alternate address if instructed by client. |  |  |
| 4.2 | Confirm Receipt | **R – Contract Admin**  A – Contracts Manager | Confirm physical receipt of item(s) at branch or clients chosen address. |  |  |
| 4.3 | Discrepancy handling | **R – Contract Manager**  A – Contracts Admin | Where item(s) received have a discrepancy, report discrepancy to the person that ordered the item(s)Item(s) should not be receipted on to the system as received under discrepancy has been resolved Follow Purchasing Process Discrepancy Handling |  |  |
| 4.4 | System Receipt | **R – Contract Admin**  A – Contracts Manager | Receive item(s) on to sales order system. |  |  |
| 4.5 | Dispatch Note | **R – Contract Admin**  A – Contracts Manager | Create dispatch note. |  |  |
| 4.6 | Delivery Identification | **R – Contract Admin**  A – Contracts Manager | Identify route of delivery and record on system. |  |  |
| 4.7 | Arrange Delivery | **R – Contract Admin**  A – Contracts Manager | Enter delivery details on courier system or by company transport. |  |  |
| 4.8 | Authorisation/Sign on Delivery | **R - Logistics**  A - Contracts Admin | Sign dispatch note, leave copy with client and return one to accounts department. |  |  |
| 4.9 | Track Delivery | **R – Contract Admin** | If complaint about non-delivery then track delivery and advise client. |  |  |
| 5.0 | Invoice |  |  |  |  |
| 5.1 | Generate Invoice | **R – Contract Admin** | Generate invoice based on sales order within the sales order system. |  |  |
| 5.2 | Issue Invoice | **R – Contract Admin** | Send invoice (as required) to client as instructed. |  |  |
| 5.3 | Closed |  |  |  |  |