



DIGITAL TRANSFORMATION WITHIN THE BU IS

Measures against Corona: Accreditor Requirements

18.03.2020

Dr. Klaus Oberste Lehn, TN CERT HoCB

AGENDA

- 1 Current situation
- 2 What is important if audits cannot take place on site as planned?
- 3 Standard-specific regulations
- 4 Further procedure

AGENDA

- 1 Current situation
- 2 What is important if audits cannot take place on site as planned?
- 3 Standard-specific regulations
- 4 Further procedure

CURRENT SITUATION

Be careful – don't panic

- Everyday business should not be unnecessarily restricted because of the Coronavirus, if no significant risks are present

This does not apply to organizations which:

- are located in an area which has been categorized as an area of risk by the WHO or a national institute
- are located in a country for which an official travel warning has been issued
- refuse access to the audit team due to self-imposed protective measures or quarantine measures

If **access to an organisation is refused** to the auditor(s) in justified cases (e.g. as a result of protective or quarantine measures or similar imposed by the organisation itself), the client shall provide corresponding evidence.

CURRENT SITUATION

As a result of the worldwide growing spread of the Coronavirus SARS-CoV-2, we are receiving ever more questions about the performance of audits.

If clients ask for delay or postponement please act as follows:

- Enter into dialogue with the client and try to persuade him to continue with the audit as planned
- If the audit cannot take place as planned, there are 2 options:
 - a) remote audit**
 - b) delay or postpone the audit**

These options are based on the recommendations of the crisis management of the German government, local governments, the TÜV NORD GROUP and national/international institutes working in the field of disease monitoring and prevention.

AGENDA

- 1 Current situation
- 2 What is important if audits cannot take place on site as planned?
- 3 Standard-specific regulations
- 4 Further procedure

WHAT IS IMPORTANT IF AUDITS CANNOT TAKE PLACE ON SITE AS PLANNED?

Remote audits (more details later)

- In principle it is possible to use remote audit techniques for all audits (see A00VA05 Remote Audits)
- **In justified exceptional cases** there is a possibility of performing the audits **using 100% remote techniques**
 - The **approval of your quality manager** is necessary

Please note that according to our current information, some standard owners do not allow remote audits (e.g. IATF 16949, IFS, BRC) in order to maintain certification.

WHAT IS IMPORTANT IF AUDITS CANNOT TAKE PLACE ON SITE AS PLANNED?

Postponement of an audit

In order to maintain a certification on the basis of ISO 17021 (ISO 9001, ISO 14001, ISO 50001, ISO 45001, ISO 27001 etc.), according to the [IAF ID 3:2011](#), the planned audits can be postponed as follows:

(if no special measures have been announced by the specific standard owners, the designating authority or the accreditation body)

The postponement:

- must be based on a **risk assessment** and sufficient evidences from the customer shall be viewed with regard to the functioning management system (e.g.: management review, internal audit report, corrective actions)
- **within 6 months** must always be **discussed and agreed** with your **management**
- **more than 6 months** must be **approved** by your **quality manager**
- The **relevant team assistance staff** shall be informed by email (no special form is required). The necessary documents shall be included with the email.
- If postponement is unavoidable, **a new audit date shall be agreed with the client immediately**

If an audit is postponed, this will result in increased workload (risk assessment, documentation, possibly issuing a new certificate, etc.). The **customer will be invoiced** for the resulting costs.

WHAT IS IMPORTANT IF AUDITS CANNOT TAKE PLACE ON SITE AS PLANNED?

Restrictions for different audit types

- **The first surveillance audit after initial certification**

shall normally be carried out 12 months after the date of the certification decision at the latest

→ Postponement of **maximum six months** with **approval** by the **quality manager**

If, after **a maximum of 6 months**, it is **not possible** to carry out the first surveillance audit which follows the first certification audit, the certificate is withdrawn or an initial certification has to be carried out.

- **All other surveillance audits**

*shall be carried out once per calendar year in accordance with the requirements of ISO 17021-1, i.e. in **2020***

→ Any postponement of the shall be **discussed and agreed individually** with your **management**

WHAT IS IMPORTANT IF AUDITS CANNOT TAKE PLACE ON SITE AS PLANNED?

Restrictions for different audit types

- **Recertification audit**

normally has to be completed by the expiry date of the certificate

- Validity extension of the existing certificate by a **maximum of 6 months**
- A new certificate can be issued with a validity extended by 6 months
- The actual recertification (the audit, the verification of the corrective actions and the independent certification decision) shall be completed within the extended validity of the certificate
- The newly-issued certificate is based on the previous validity and shall be shortened by a maximum of 6 months

If, after a **maximum of 6 months**, it is **not possible** to carry out the recertification audit, the certificate is withdrawn or an initial certification has to be carried out.

WHAT IS IMPORTANT IF AUDITS CANNOT TAKE PLACE ON SITE AS PLANNED?

What happens, if the certification body does not receive sufficient evidence from the customer?

If the certification body **does not receive sufficient evidence** from the customer and it is not possible to carry out a risk assessment

→ the audits (first surveillance audit following initial certification or recertification) **cannot be postponed**

→ In these cases, the certificate is

- suspended or
- possibly withdrawn or
- the time when no certification was in existence has to be stated on the certificate or
- an initial certification has to be carried out

AGENDA

- 1 Current situation
- 2 What is important if audits cannot take place on site as planned?
- 3 Standard-specific regulations
- 4 Further procedure

STANDARD-SPECIFIC REGULATIONS

The following special regulations exist and are available in TIC services (Status: 05.03.2020):

- IAF Response to impact of COVID-19 (21st February 2020)
- IATF Oversight Certification Body Communiqué # 2020-001 (Issue date: February 2020)
- IAQG Notice “Management of Extraordinary Events for Circumstances Affecting ABs, CABs and Certified Organizations – Novel Coronavirus (2019-nCoV) (Issue date: February 2020)
- Certification Body Webinar, IRIS Management Centre (18th February 2020)
- ANAB Communiqué on Response to the Coronavirus Outbreak in China (Issue date: February 6, 2020)
- ISCC System Update – Permission to conduct recertification audits on a desk basis (20 February 2020)
- Separate Guideline Food and Feed (FSSC 22000/ISO 22000, IFS, BRC, FAMI-QS, QS, GMP+) (28.02.2020)
- Various Announcements of standard owners in the area of food and feed certification (BRC, FAM-QS, FSSC, IFS, MSC, QS etc.)
- etc.

[→ see information from standard owners on the SharePoint “Coronavirus”](#)

AGENDA

- 1 Current situation
- 2 What is important if audits cannot take place on site as planned?
- 3 Standard-specific regulations
- 4 Further procedure

FURTHER PROCEDURE

- If it is stated that no further danger exists ("all clear"), the audits shall be carried out as originally planned
- If the Coronavirus epidemic is not overcome in the next 6 months, the certification body shall discuss and agree the further procedure with the accreditation bodies.

CONTACT DATA



Dr. Klaus Oberste Lehn
Head of Certification Body

Langemarckstrasse 20
45141 Essen
Germany

Tel +49 (201) 825-2207

koberste-lehn@tuev-nord.de

www.tuev-nord-cert.de



DIGITAL TRANSFORMATION WITHIN THE BU IS

Measures against Corona: Remote Audits

18.03.2020

Katharina Friederich, TN CERT QM-Department

AGENDA

- 1 Starting Point
- 2 Remote audit – yes or no?
- 3 Requirements
- 4 Infrastructure
- 5 Customer communication
- 6 Hyperlink collection

AGENDA

- 1 Starting Point**
- 2 Remote audit – yes or no?
- 3 Requirements
- 4 Infrastructure
- 5 Customer communication
- 6 Hyperlink collection

REMOTE AUDIT – STARTING POINT

- Contribution from TN CERT to the digitalisation within the BU IS via Remote-Audits
- What does remote audit mean?
Digitalisation of audit components through interactive web-based communication (mostly video conference)
- Application Area (under DAkkS)
Within TN CERT pilot phase (2019) for accredited standards
 - ISO 9001
 - ISO 14001
 - ISO 45001
 - ISO 50001
 - OHSAS 18001
 - SCC
 - AZAV

AGENDA

1 Starting Point

2 **Remote audit – yes or no?**

3 Requirements

4 Infrastructure

5 Customer communication

6 Hyperlink collection

REMOTE AUDIT – YES OR NO?

Because of Coronavirus: remote audits permitted for additional standards

See some examples

- **Food**

- FSSC 22000
- BRC

→ Previous risk assessment might be necessary

- **Medical**

Limited to companies in risk areas

- Italy
- Iran
- China
- South Korea
- France

→ individual approve for each audit by Head of PC / Sp. Manager

→ see information from standard owners on the SharePoint “Coronavirus”

REMOTE AUDIT – YES OR NO?

- **Where** does a remote audit **make sense**?
 - Companies with many locations (national or international)
 - On-site audit time just over 10 hours
 - Office locations (in general)
 - Involving technical experts, interpreters
 - **NEW:** Companies in risk areas (see WHO information)
- For which **audit parts** does a remote audit **make sense**?
 - Introduction Meeting
 - Closing Meeting
 - Typical conversational situations
e.g. QM-Representative, Sales Department, Marketing, Top Management
 - Review of documents
e.g. management review, SWOT analyses, internal audits, corrective actions etc.
 - **NEW: total audit in individual case decisions**
 - **only with individual approve by the Head of Certification Body / Quality Manager (international)**



REMOTE AUDIT – YES OR NO?

- A remote audit is **not permitted** for
 - The following **audit parts**
 - Production sites
 - Storage areas
 - Construction sites
 - Hygienic inspections (can be postponed up to 6 months)
 - The following **standards**
 - Automobile area



→ See also [Coronavirus guideline for auditors](#) and [information from standard owners](#)

AGENDA

- 1 Starting Point
- 2 Remote audit – yes or no?
- 3 Requirements**
- 4 Infrastructure
- 5 Customer communication
- 6 Hyperlink collection

REMOTE AUDIT – REQUIREMENTS

Summary of essential mandatory requirements

- Remote audit **process**
 - Use for initial certification, recertification, surveillance, extension and upgrade audits
 - Remote audits can be performed in combination with on-site audits
 - Up to **50%** of the on-site audit time can be covered by a remote audit (*100% only with **individual approve***)
 - Remote audit times may not be scheduled as preparation and follow-up time

- Remote audit **documentation**
 - The audit **plan shall** (*mandatory!*) indicate which areas, activities, processes, etc. will be audited remotely
 - The audit **report shall** (*mandatory!*) indicate the extent to which ICT has been used in carrying out the remote audit and the effectiveness of ICT in achieving the audit objectives

All requirements are contained in [A00VA05 Remote-Audits](#), including requirements from [MD4](#) and ISO 17021

And the [Coronavirus guideline for auditors](#)

REMOTE AUDIT – REQUIREMENTS

Requirements based on the current Coronavirus situation:

If clients ask for delay or postponement please act as follows:

- Enter into dialogue with the client and try to persuade him to continue with the audit as planned
- If the audit cannot take place as planned, discuss the possibility of a partial or complete **remote audit** with the client
 - It is only possible to carry out a complete remote audit with the **agreement of your quality manager**
- It is only possible to **delay or postpone** the audit in exceptional cases
 - The permission of **your management** is necessary for this.

Remote audits

- **In principle** it is possible to use **remote audit techniques** for all audits (see **A00VA05 Remote Audits**)
- **In justified exceptional cases** there is a possibility of performing the audits **using 100% remote techniques**
 - The approval of your quality manager is necessary

Please note that according to our current information, some standard owners do not allow remote audits (e.g. IATF 16949, IFS) in order to maintain certification

AGENDA

- 1 Starting Point
- 2 Remote audit – yes or no?
- 3 Requirements
- 4 Infrastructure**
- 5 Customer communication
- 6 Hyperlink collection

REMOTE AUDIT – INFRASTRUCTURE

- **Internet access**

- Use the internet connection via LAN
- Avoid W-LAN, because of the stability of the internet connection (*if possible*)

- **Software** for remote audits

- Web-Ex (*preferred by project team, because of possibility to create an online list of participants*)
- Skype for Business

- **Hardware** for remote audits (equipment for a single workstation)

- 2 screens (*1 screen for informations, 1 screen for the camera image*)
- External camera (*at least 2 megapixels*)
- Headset or speaker (*built-in laptop audio devices are not useful, as characterized by low audio quality*)

- **Environment** for remote audits

- Use conference rooms
- The video conference should be held in a max. 2 per-son office

AGENDA

1 Starting Point

2 Remote audit – yes or no?

3 Requirements

4 Infrastructure

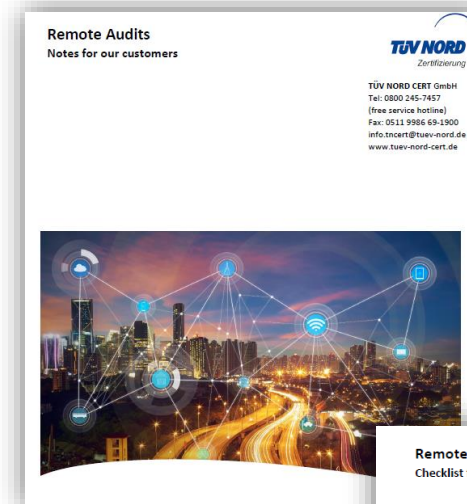
5 Customer communication

6 Hyperlink collection

REMOTE AUDIT – COSTUMER COMMUNICATION

■ Costumer information

- A00F050 Remote-Audits notes for our customers
- Checklist integrated - Are you ready for a remote audit?
- Available via TN CERT Web Page → Download area
- Customer information handling the coronavirus at TÜV NORD CERT
- Newsletter or additional costumer communication should be organized by international locations individually



Remote Audits
Checklist for our customers

Are you ready for a remote audit?
It is easy to find out.

Available rooms

Preferred: Is a quiet conference room available? Alternative: Is a quiet office available?

Infrastructure

Is there a stable internet connection?
Usual web browsers: Firefox, Chrome, Internet Explorer

Preferred: wired connection Alternative: Connection via WLAN

Is a computer/laptop/tablet/whiteboard available for the connection?

Is there a camera for video communication?

Preferred: Is there a Conference Cam? (with at least 2 Megapixels) Alternative: Webcam available?

Is audio equipment available?

Preferred: Audio conference system available? Alternative: Headset with microphone available?

Do all the people relevant to the audit have an email address?
The email address is required in order to invite the participants to the remote audit.

Software

Preferred: Video conference software available?
(Cisco WebEx or Microsoft Skype for Business) Alternative: If no video conference software is available:

- for WebEx: low initial time for plug-in installation (without additional costs)
- for Skype for Business: Participation only possible with account (with associated costs)

Documentation

Preferred: Are all the necessary documents available in digital form? Alternative: Is there a possibility of scanning in or photographing documents? (using Webcam e.g. along with: preinstalled "Camera" App) Only necessary if hardcopy documents are present.

AGENDA

- 1 Starting Point
- 2 Remote audit – yes or no?
- 3 Requirements
- 4 Infrastructure
- 5 Customer communication
- 6 Hyperlink collection**

REMOTE AUDIT – HYPERLINK COLLECTION

▪ Helpful Hyperlinks

- Requirement documentation

[A00VA05 Remote-Audits](#)

- Guidance documentation

[CERT-510-MU-001 Use of WebEx for EoE, remote audits etc](#)

[CERT-510-MU-02_e Brief manual how to take part in a WebEx Meeting](#)

- Customer documentation

[A00F050 Remote-Audits Notes for our customers](#)

[A00F100e Questionnaire for preparation for a Certification Procedure](#)

[CERT-510-MU-001 Use of WebEx for EoE, remote audits etc](#) (can be handed out to customers as well)

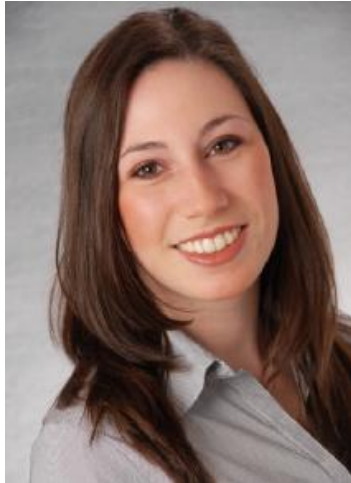
Coronavirus situation

[TIC Service](#)

[\(\) Coronavirus](#)

All information is summarised in the folder TN CERT [QMH 520](#)

CONTACT DATA



Katharina Friederich

QM-Department
Deputy QMR

Langemarckstr. 20
45141 Essen

Phone: +49 (0)201 825-2263

Mobil: 0160 888 2569

kafriederich@tuev-nord.de