**Dear Client to apply for and to justify possible application of Waivers**, **we like you to answer the following questions and send it to your related PT TÜV NORD Indonesia office**

|  |  |
| --- | --- |
| Company / Site name (as on Certificate) |  |
| Street, number: |  |
| ZIP City: |  |
| Certificate Registration No. (shown on Certificate) |  |
| Other Certification held |  |

|  |  |
| --- | --- |
| Certificate validity date: |  |
| Time frame of next audit |  |

**PART A: To be filled by Client**

**A1: Reason for Waiver Request**

|  |
| --- |
| tick reason(s) for your application (in left column, several reasons can be ticked as applicable): |
|  | Site is directly affected by Coronal Outbreak issues (employee shortages, governmental requirements, trade restrictions related due to corona outbreak)  |
|  | Site is affected by Corona Outbreak related restrictions please specify the country / state / region:  |
|  | Site is affected by decreased / stopped demands from corona outbreak impacted Customers  |
|  | Site is affected by pre-material / service issue (e.g. delivery shortages / production stops) of suppliers affected by corona outbreak |
|  | Other (please explain): |

**A2: Requirements on remote audit to be confirmed by the client**

| Please tick (√ ) for your application (in left column, several reasons can be ticked as applicable): |
| --- |
|  | Computer with Internet-Access |
|  | Conferencing tools (WebEX, Skype for Business, Zoom, etc.) |
|  | Webcam |
|  | Good audio equipment (microphone, speakers, headset, telephone, etc.) |
|  | Secure and stable Internet connection (LAN, WLAN) also in all areas of the production facility |
|  | In case of specific company security requirements the client is responsible to provide a secured internet connection |
|  | all the necessary documents available in digital form Alternative: If there is a possibility of scanning in or photographing documents (using Webcam e.g. along with: preinstalled “Camera” App)? Only necessary if hardcopy documents are present. |
|  | Alternative: If there is a possibility of scanning in or photographing documents (using Webcam e.g. along with: preinstalled “Camera” App)? Only necessary if hardcopy documents are present. |

**A3: We like you to answer the following questions and sign this document and send it to your related PT TÜV NORD Indonesia office**

| **Question** (with reference to IAF ID3:2011) | **Answer / Explanation** | **Remark** |
| --- | --- | --- |
| How in particular is Your Organization / Site as above directly / indirectly affected by the Corona-Outbreak? |  |  |
| When will your organization expect to be able to function normally? |  |  |
| When will your organization expect to be able to ship products or perform the service defined within the current scope of certification? |  |  |
| Have You informed Your Customer(s) about implication of the Corona-Outbreak to Your site (as above)  |  |  |
| Will your organization need to use alternative manufacturing and/or distribution sites?  |  |  |
| If so, are these currently covered under current certification? |  |  |
| Does existing inventory still meet customer specifications or will your organization contact your customers regarding possible concessions? |  |  |
| A plan and system is in place to manage the incident effectively  |  |  |
| Will some of the processes and / or services performed or products shipped be subcontracted to other organizations?  |  |  |
| If so, how will the other organizations’ activities be controlled by the certified organization / Your site (as above)? |  |  |

**A4: Waiver Application prepared by Client**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |  |
| Date |  | Name |  | Function |  | Signature |

(Print), sign (scan) and send to your supporting

**TÜV NORD Indonesia Office**

**Part B: To be filled / processed by PT TÜV NORD Indonesia**

**B1: Risk Assessment of PT TÜV NORD Indonesia**

|  |  |  |  |
| --- | --- | --- | --- |
| **Requirements evaluation:** | **0** | **1** | **3** |
| Presence of hardware and software resources to be able to carry out an exhaustive and effective remote audit (e.g. webcam, microphones, speakers, fast internet line, etc.)Presence = 0Absence = 3 |  | N.A. |  |
| Absence of critical situations throughout the organization's certification history with respect to the standardAbsence of certificate suspension and/or withdrawn in the last 3 years = 0Presence of certificate suspension and/or withdrawn in the last 3 years = 1 |  |  | N.A. |
| Presence of a mature systemSite certified since >= 3 years = 0Site certified since < 3 years = 1 |  |  | N.A. |
| Absence of critical situations in the previous auditCertificate Grade >= B = 0Certificate Grade < B = 3 |  | N.A. |  |
| Presence of other active certifications with the CB (or other accredited CB)Presence = 0Absence = 1 |  |  | N.A. |
| Presence of pending complaints / Compliance activities / legal proceedings Absence = 0Presence = 3 |  | N.A. |  |
| Presence of substantial changes compared to the previous verification Absence = 0Presence = 1 |  |  | N.A. |
| Presence of a COVID-19 crisis management planPresence = 0Absence = 1 |  |  | N.A. |
| Presence of multi-site certification (where allowed) with centralized processesAbsence = 0Presence = 1 |  |  | N.A. |
| Presence of processes or services outsourced following the COVID-19 emergencyAbsence = 0Presence = 1 |  |  | N.A. |
| If the sum of the individual items is <= 2, the risk is considered LOW.If the sum of the individual items is > 2, the risk is considered HIGH. | **Risk:**  |

|  |  |  |
| --- | --- | --- |
| Based on above risk assessment a remote audit will be accepted.  | yes |  |
| no |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
|  | Date |  | Name |  | Signature of Auditor |

|  |  |
| --- | --- |
| **Scenario**  | **Outcome**  |
| Site operating but situated in government restricted travel zone or biosecurity company policy does not allow an auditor onsite  | Remote audit undertaken and new certificate issued  |
| Site operating in government restricted travel zone refuses opportunity for remote audit  | Certificate expires or suspend  |
| Site is not operating  | Audit cannot take place and is due as soon as the site starts operating. Current certificate expires  |
| Site refuses auditor without appropriate justification  | Audit doesn’t take place and non conformity is issued for late audit  |
| CB cannot provide appropriate auditor to undertake audit  | Advise site to contact alternative CB to arrange. Concession will be issued so site is not penalised with non conformity for late audit  |
| CB needs to change confirmed audit arrangements because auditor is affected by travel restrictions  | Concession will be issued so site is not penalised with non conformity for late audit  |
| The site is still not accessible 6 months after the remote audit  | Normal concessions apply  |
| The site originally had an unannounced site, how will this change?  | The certificate based on the remote audit will carry the same grade and same type (announced/unannounced). The second audit will be conducted in the same way as the last full audit  |