

遠距稽核重要訊息公告：常見問題

The most important questions and answers

■ Which organisations are suitable for remote audits?

Due to the corona pandemic, there are many special requirements which mean that remote audits are possible for almost all companies to a greater extent than before. In particular, more and more remote audits have been conducted out for the auditing of management systems since the beginning of the pandemic, based on these special requirements.

■ What is the procedure for a remote audit?

Basically there is no difference between a remote audit and a traditional on-site audit. The audit dialogue on site is replaced – in part or as a whole – by a interactive web-supported video conference. It is important that all those taking part in the audit should check the technical equipment before the audit. A good way to do this is to have a test video conference. The final details of the audit can also be discussed with the auditors during this test conference.

■ Which audits can be performed remotely?

According to the international requirements for certification of management systems (ISO/IEC 17021-1, IAF MD 4), and according to the special requirements for performance of audits during the corona pandemic (IAF ID 3, IAF Frequently Asked Questions COVID-19 Pandemic), parts of certification, surveillance and recertification audits can be conducted remotely.

■ What are the technical requirements?

In order to be able to conduct remote audits successfully, suitable hard- and software (laptops, desktop PCs, headsets, webcams, stable Internet connection, conference tools like WebX or Ms Teams etc.) have to be present at the auditors' and the companies to be audited

■ Are 100% remote audits possible?

According to the international requirements for certification of management systems (ISO/IEC 17021-1), certification, surveillance and recertification audits shall include on-site audits. This is also basically true during the corona pandemic.

However, during the corona pandemic, in principle and only in justified individual cases it is possible to conduct audits 100% remotely, taking into account the special requirements for the performance of audits during the corona pandemic (IAF ID 3, IAF Frequently Asked Questions COVID-19 Pandemic). In order to conduct out 100% remote audits, the following conditions must be fulfilled:

1. the organisation to be audited refuses to allow the audit team to access the site, based on protective measures taken by the organisation itself,
2. the organisation is situated in an area which has been designated as a “virus variant area”, “high incidence area” or a risk area for COVID-19 and therefore is subject to travel restrictions and
3. the organisation is known to the auditor or the audit team from earlier audits.

In the case of remote audits it shall be ensured that all requirements of the standard can be assessed and that it is possible to view objects and processes.

All remote audits allowed as a result of the corona pandemic result from individual decisions based on risk and shall be approved by the TN CERT certification body.

■ **Can only office locations be audited remotely, or can remote audits also be used for production sites?**

If production sites are situated in an area which has been designated as a “virus variant area”, “high incidence area” or a “risk area” for COVID-19, remote audits can also be conducted at production sites, if it is ensured that all requirements can be assessed and it is possible to view objects and processes.

■ **How does TÜV NORD handle the confidentiality of data in remote audits?**

Naturally your data will be handled just as confidentially in a remote audit as in a normal on-site audit.

■ **Can I also make use of remote audits if I am a new customer of TÜV NORD?**

Remote audits can be conducted for all client groups. For organisations impacted by the coronavirus, in principle and only in justified individual cases, initial (first) certifications can also be conducted remotely. The part of the audit to be conducted remotely shall be determined as a decision for the individual case based on risk. The decision has to be approved by the TN CERT certification body.

資料來源 TÜV NORD Cert GmbH.

(<https://www.tuev-nord.de/en/company/certification/support/remote-audits/>)