



REMOTE AUDITING

April 9, 2020

by
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LEAD

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LEAD AUDITOR AND TRAINER for ISO 9001, OHSAS 18001 (ISO 45001), ISO 14001, ISO 27001, ISO 22301, ISO 50001, ISO 55001 and ISO 37001

An engineer by profession with over 24 years of experience in providing training, auditing and implementation expertise for many ISO standards to a number of industrial sectors.

Conducted numerous training sessions and audits across the USA, Europe, Canada, Thailand, Saudi Arabia, Bahrain, Oman, Qatar, Pakistan and the United Arab Emirates.

FOUNDED: 1828

**REVENUE:
€ 5 Billion**

**75,000
EMPLOYEES**

**1,400
OFFICES & LABS**

**140
COUNTRIES**

**400,000
CUSTOMERS**

A world leader in

Testing, Inspection & Certification

Services

Specializing in

Quality

Health, Safety & Environment

Social Responsibility

Sustainability

Enterprise Risk Management

HEALTH & SAFETY

- ⇒ ISO 45001 (OHSAS 18001)
- ⇒ Compliance Audits
- ⇒ Industry Standards

QUALITY

- ⇒ ISO 9001
- ⇒ AS/EN-9100 - Aerospace
- ⇒ TL 9000
- ⇒ IATF 16949 - Automotive
- ⇒ ISO 20000
- ⇒ TiCK IT

ENVIRONMENT & ENERGY

- ⇒ ISO 14001/EMAS/ISO 14064
- ⇒ ISO 50001
- ⇒ Greenhouse Gas – UN CDM / Eu ETS
- ⇒ Forestry -PEFC, FSC

SECURITY

- ⇒ ISO 27001/20000
- ⇒ TAPA
- ⇒ ISO 28000
- ⇒ ISO 22301

FOOD SAFETY

- ⇒ BRC Global Food Standard
- ⇒ IFS International Food Standard
- ⇒ ISO 22000
- ⇒ FSSC 22000
- ⇒ EurepGAP
- ⇒ Dutch HACCP and Danish HACCP DS 3027
- ⇒ GMP+ and QS and GMO
- ⇒ Fami-QS
- ⇒ Bio-terrorism
- ⇒ Supply Chain Management / Confidence

SOCIAL

ACCOUNTABILITY

- ⇒ SA8000
- ⇒ Global Reporting Initiative (GRI)
- ⇒ AA1000

OTHERS:

- ⇒ Clients Own / Auditing
- ⇒ Integrated Management Systems
- ⇒ BS EN 16001/ ISO 28000
- ⇒ Vericert

And training services on all the above offerings.....!!!

1

- Why Remote Auditing

2

- Aspects of Remote Auditing

3

- Execution of Remote Auditing vs Onsite Auditing

BUSINESS CONTINUITY – CURRENT SCENARIO

- Today, our world is facing the COVID-19 pandemic, which is prohibiting visitors at many of our clients' facilities.
- Restrictions have been put in place at the direction of local, state and federal government officials in an attempt to limit the spread of the virus.
- It is now imperative that Bureau Veritas takes preventive measures to protect our employees and clients from potential exposure to the virus.
- Exposure can be limited by eliminating the extensive travel requirements borne on our auditors through the course of their duties.
- Bureau Veritas Certification is now authorized to conduct offsite Remote Audits for clients who qualify.

REMOTE AUDITS – GOVERNING DOCUMENTS

The Remote Auditing methodology is based on the following documents :

- **ISO 17021-5** - Requirements for bodies providing audit and certification of management systems
- **IAF MD4:2018** – Mandatory Document for the use of Information and Communication Technology (ICT) for Auditing / Assessment Purposes
- **IAF MF5:2019** – Determination of Audit time for the Quality, Environmental and Occupational Health & Safety Management Systems
- **IAF ID12:2015** – Principles on Remote Assessment

WHAT IS A REMOTE AUDIT?

BUREAU VERITAS DEFINITION:

A Remote Audit is conducted when an offsite auditor audits a client's company processes, policies, procedures and personnel in real time through ICT (Information and Communication Technology).

NOTE 1: All the processes and types of industries cannot be audited remotely.

NOTE 2: The Remote Audit is used as an alternate to the due onsite audit.

REMOTE AUDITS – WHICH AUDITS CAN BE DONE REMOTELY?

The following audits can be done remotely:

- Stage 1 Audits
- Surveillance Audits
- Recertification Audits
- Follow-up Audits

NOTE 1 : The application of a remote audit to any other audit type shall be agreed upon and approved by the Accreditation Manager.

REMOTE AUDITS – WORK FLOW

If the due audit is either a
1) stage 1,
2) Surveillance,
3) Recertification or a
4) follow-up audit

**1. An onsite
Audit is due**

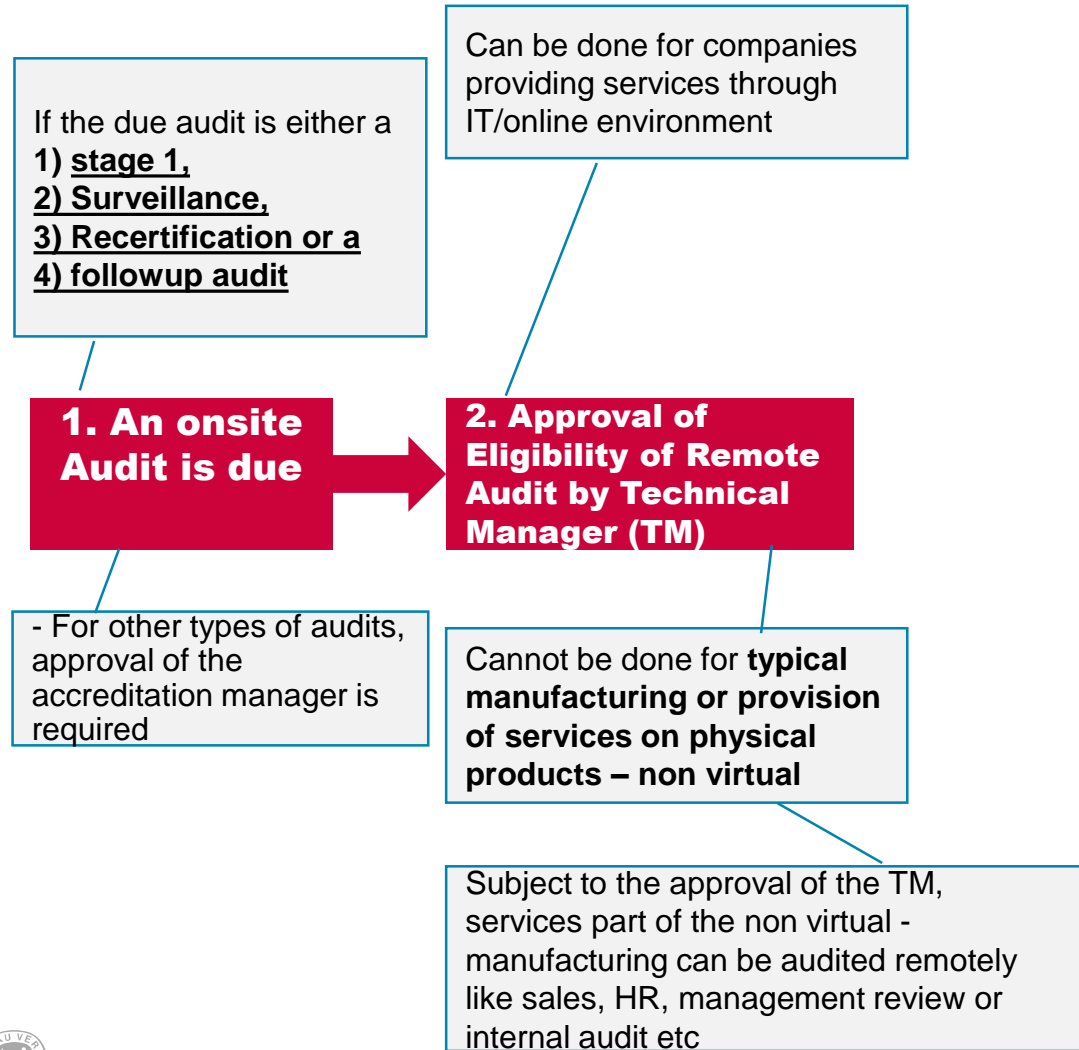
- For other types of
audits, approval of the
accreditation manager is
required

REMOTE AUDITS – ELIGIBILITY

For which businesses/processes can Remote Audits be done?:

- Remote Audits can be done where a client organization performs work or provides a service using an online environment allowing people irrespective of physical locations to execute processes – virtual site.
- Remote audits cannot be done where the processes must be executed in a physical environment, e.g., warehousing, manufacturing, physical testing laboratories, installation or repairs to physical products – non virtual site.
- Based on number of factors, the Technical Manger has final authority to decide on which industry/nature of business and up to which extent the Remote Audit can be done.

REMOTE AUDITS – WORK FLOW



REMOTE AUDITS – ICT

Which ICT (Information and Communication Technology) can be used for remote audits?:

- An ICT Audit includes any evaluation of a company's systems using software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence and others.
- It is mostly done through video call (using laptop or desktop computers) to share and review documents and interviewing/exchanging with a client's employees (in real time).

NOTE 1: The selected ICT needs to be tested prior to the audit date between the client and auditor.

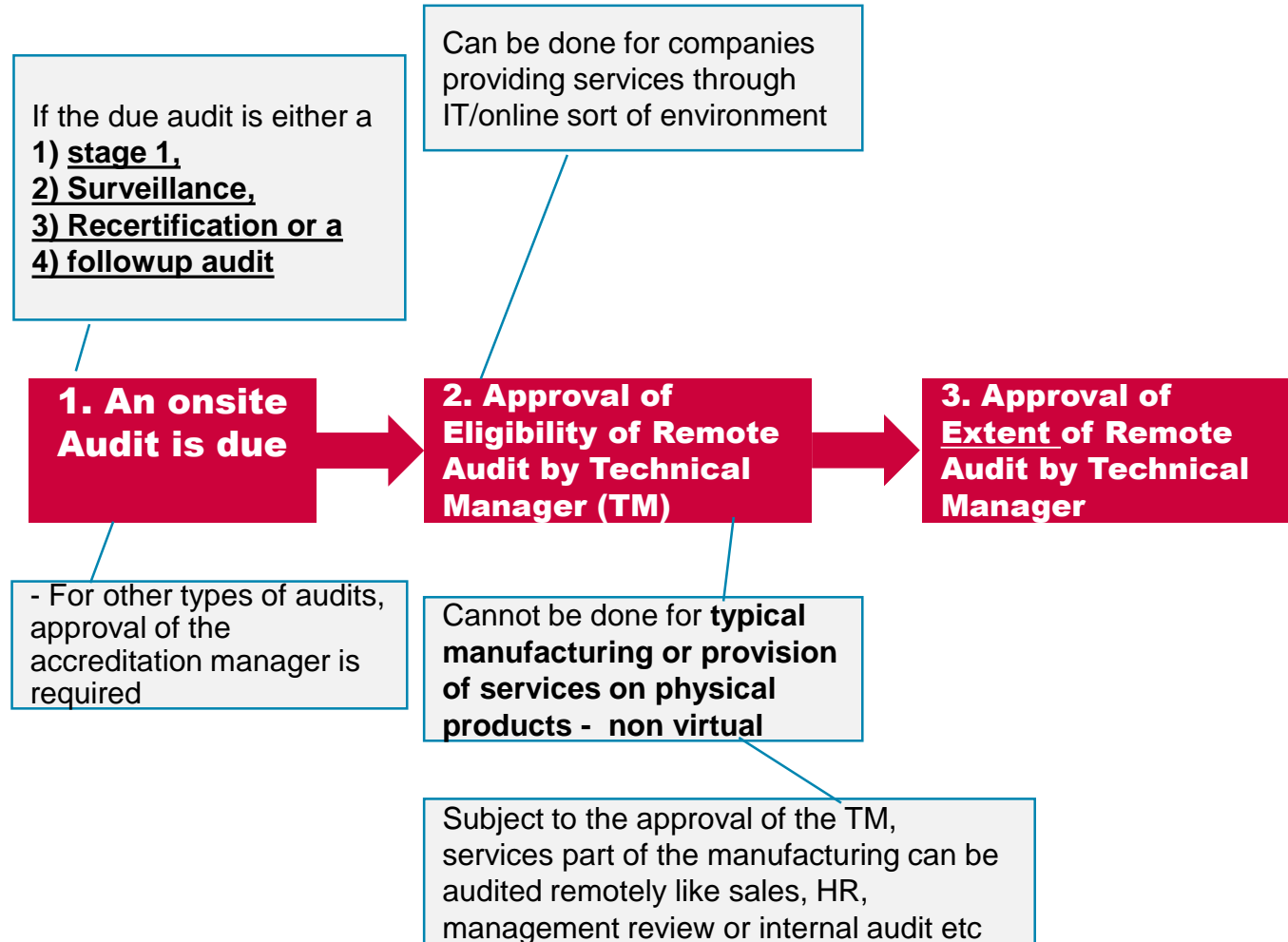
NOTE 2: Prior to the remote audit, risk assessment is done for information security and data privacy.

REMOTE AUDITS – EXTENT OF REMOTE AUDIT

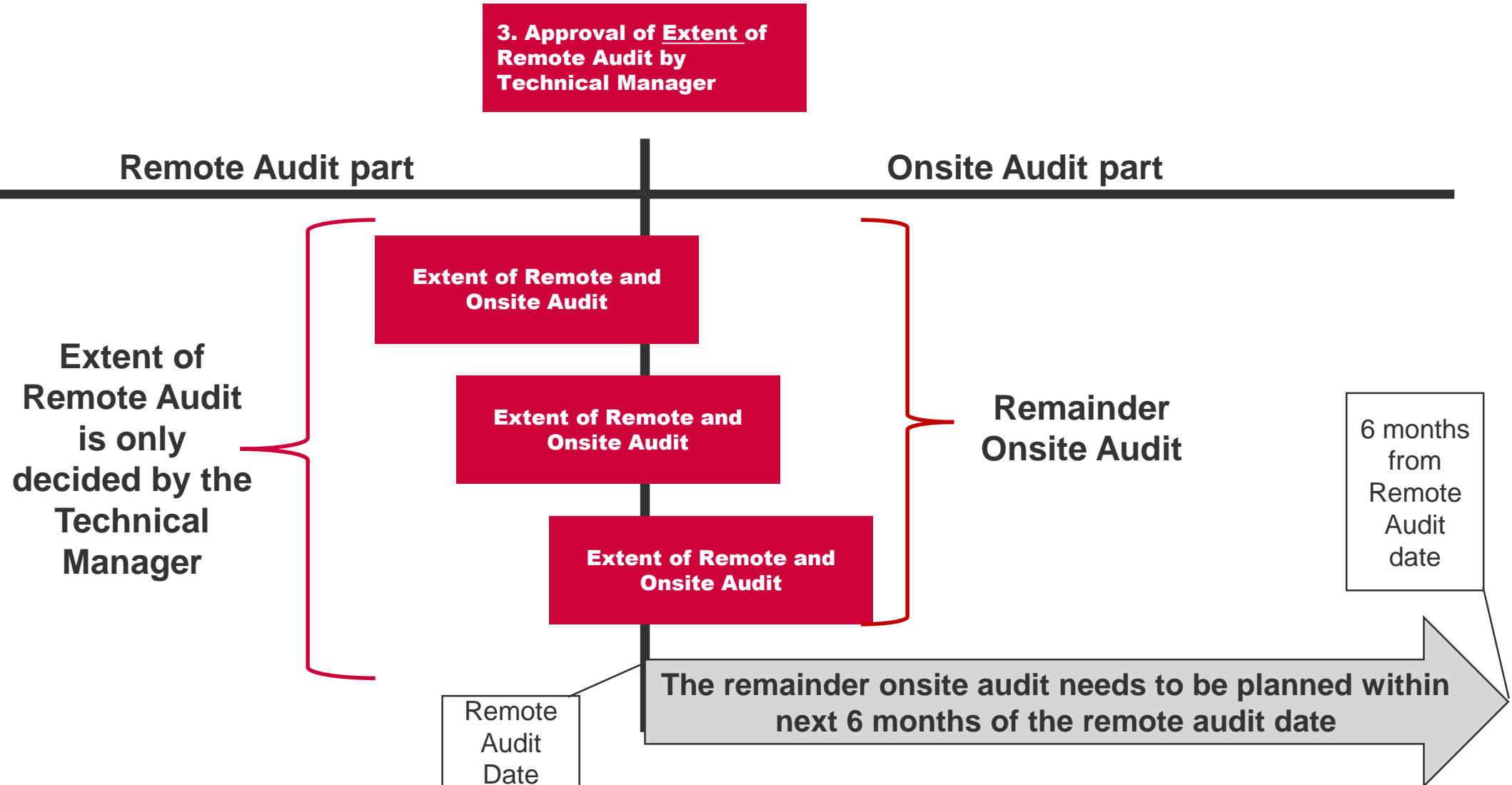
Remote Audit Planning :

- At Bureau Veritas, the Technical Manager approves a Remote Audit (as an alternate to a due onsite audit), and determines the maximum allowable time of the due onsite audit that can be covered through the Remote Audit.
- The portion of the 'due audit' that couldn't not be covered by the remote audit 'must be' performed onsite within 6 months of the Remote Audit.
- The Bureau Veritas Scheduling Team will make arrangements with the client to schedule the remainder of the onsite audit within the next 6 months from the Remote Audit date.

REMOTE AUDITS – WORK FLOW



EXTENT OF REMOTE AUDITS



REMOTE AUDITS – EXECUTION

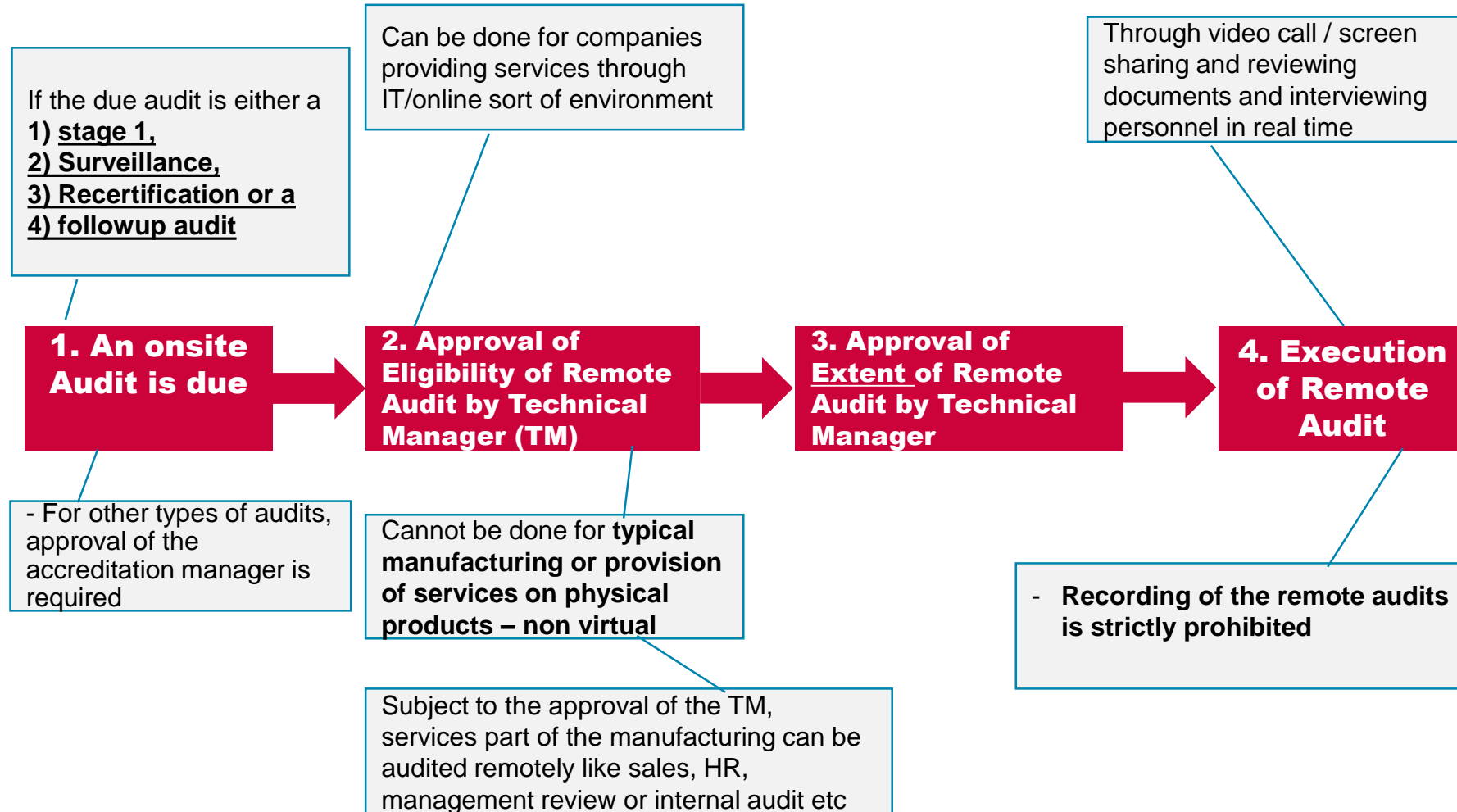
An auditor can cover the following audit activities:

- Conducting the opening meeting
- Performing document review while conducting the audit
- Communicating during the audit
- Collecting and verifying information
- Preparing audit conclusions
- Conducting the closing meeting

NOTE 1: *Recording the remote audit is strictly prohibited.*



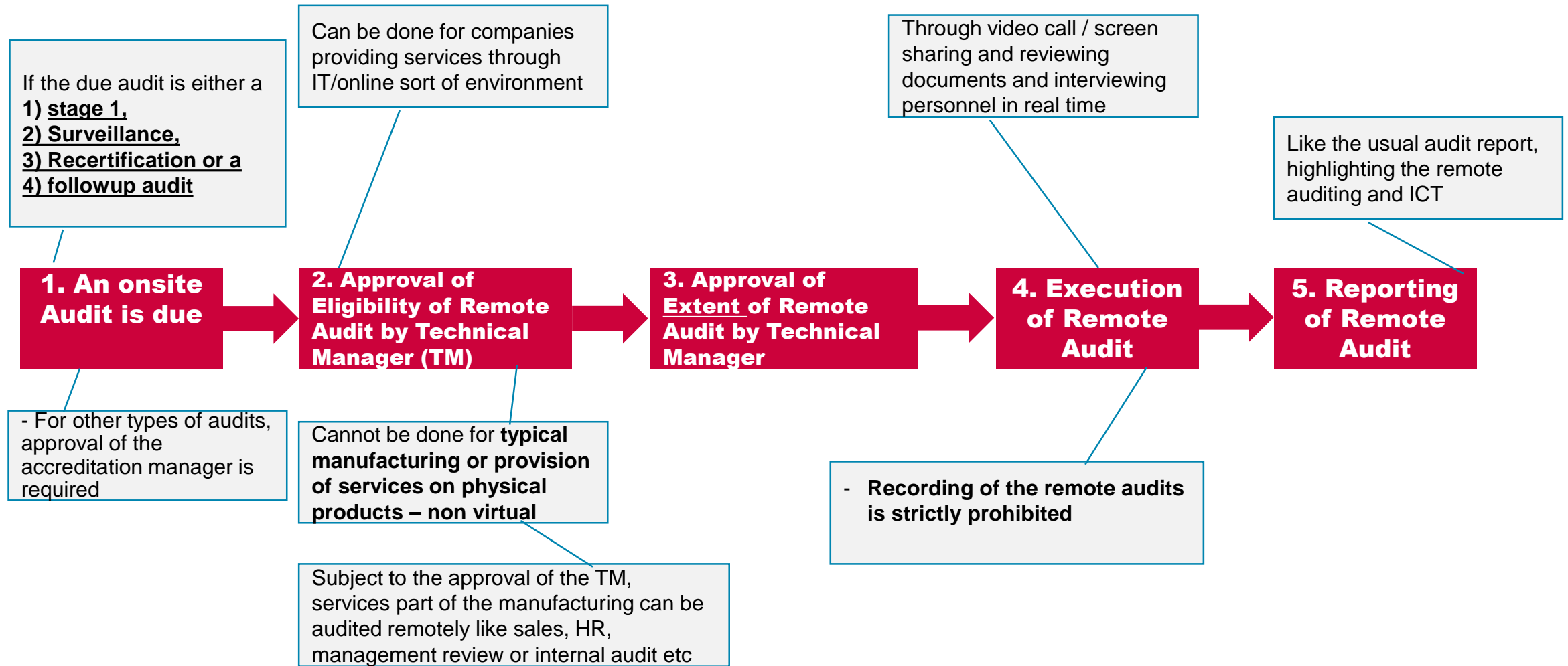
REMOTE AUDITS – WORK FLOW



REMOTE AUDITS – REPORTING

- Audit reports shall clearly identify the extent to which any ICT has been used in carrying out the audit and the effectiveness of the ICT in achieving audit objectives.
- The rest of the report would be the same as an onsite audit.

REMOTE AUDITS – WORK FLOW



REMOTE AUDITS – STANDARD CLAUSES COVERED

Which processes/documents will be audited remotely?

Per each standard, the following clauses can be audited during the remote audit however the Auditor will specify the processes / documents to be audited prior to audit through the audit plan/schedule

- **ISO 9001:2015** – clauses: **4, 5, 6, 7.1.1, 7.1.2, 7.1.6, 7.2, 7.3, 7.5, 8.1, 8.2, 8.4** (without 8.4.2), **8.5** (only for services), **8.6** (only for services), **8.7** (only for services), **9, 10**
- **ISO 14001:2015** – clauses: **4, 5, 6, 7.1, 7.2, 7.3, 7.5, 9** (without 9.1.1), **10**
- **OHSAS 18001:2007** - except processes control and OH&S risk control (for OH&SMS ICT usage shall be limited to reviewing documents/records and to interviewing staff and workers); taking the above into consideration, the following clauses can be audited remotely: **4.1, 4.2, 4.3.1, 4.3.2, 4.3.3, 4.4.1, 4.4.2, 4.4.3.2, 4.4.4, 4.4.5, 4.5** (without 4.5.1), **4.6**
- **ISO 45001:2015** - except processes control and OH&S risk control (for OH&SMS ICT usage shall be limited to reviewing documents/records and to interviewing staff and workers); taking the above into consideration, the following clauses can be audited remotely: **4, 5, 6, 7.1, 7.2, 7.3, 7.5, 9** (without 9.1.1), **10**

REMOTE AUDITS – STANDARD CLAUSES COVERED

Which processes/documents will be audited remotely?

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- **ISO 27001:2013** – all the clauses with the exceptions to physical security measures for buildings and facilities
- **ISO 22000:2018** – clauses: **4, 5, 6, 7.1** (except: 7.1.3, 7.1.4), **7.4, 7.5, 8** (except: 8.2, 8.5.4.3, 8.7), **9, 10**;
- **ISO 50001:2018**- Clause **4, 5, 6, 7.1** (partly 7.2 & 7.3), **7.4, 7.5, 8** (except 8.1 and 8.2) **9 & 10**
- **ISO 55001:2014** - Clause **4, 5, 6** (except 6.1 partly) **7** (except 7.2 & 7.3 Partly) **9 & 10**.
- **ISO 22301:2012** - Clause **4, 5, 6, 7** (Except 7.3) , **8**, (except 8.3.2 c) buildings, work environments and associated utilities, d) facilities, equipment and consumables where it is a requirement to verify on site)

REMOTE AUDITS – FINAL WORDS...

Bureau Veritas CER maintains the position of protecting its clients, employees and representatives to prevent them from any undue harm during the course of performing their duties.

At the same time, we value our clients' trust and will make every effort to maintain their certification status.

Should you have any questions regarding this matter you may forward them to:

bvcnnewbusiness@bureauveritas.com





IQ & A



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