

One Pager - customer information about the procedure Remote Audits

1. Remote Audits

Remote audits can partially replace on-site audits using electronic tools. Remote audit techniques include web-based applications for auditing customer processes.

A survey of employees from other locations of the audited organisation who have travelled to the audit and are interviewed on site can also be considered a remote audit.

The use of information and communication technologies should always be used by the client, as it is not possible to interview the audited organisation face to face. If the systems/technology of the client or the auditor have to be used, it must be ensured that:

- exclusively recognized on the market,
- secured according to the state of the art
- data protection compliant systems are used and
- confidentiality and security is provided by remote techniques.

2. Procedure Remote Audit

DEKRA Certification GmbH (DCG) explains the procedure with information technologies and their administration as well as the security and confidentiality of remote audits to new and existing customers. An application for remote audit can be made for the upcoming planned audit, an audit cycle or in a special case. The evaluation of general risks (risk assessment of information technologies for remote audits) as well as the confidence in the effectiveness of the certified management system to be maintained by remote audits is taken into account.

After evaluation and approval by DCG, the auditor/audit team leader plans further audit activities based on the audit program. This includes:

- Establishing contact and clarifying technical possibilities
- Request of documents by the certification body
- Document evaluation
- Audit interview (live) with the company
- Final meeting

Through consultation with the client and DCG, a new assessment of the risks of communication technologies can be made in the audit, and if necessary, an adjustment of the planned audit program may be necessary. Within the scope of the planning of the audit by the auditor/audit team leader and the client, it must be ensured that both parties use an appropriately functioning hardware, software and infrastructure. A review of the communication technologies provided should be carried out before the actual audit to ensure that the assessment can be carried out as planned. Furthermore, appropriate security measures by the customer are necessary to protect the confidential information.

3. Procedure in the event of exceptional occurrences

An extraordinary event is a circumstance that is beyond the control of the organisation and therefore cannot be influenced. Examples include war, strikes, riots, political instability, geopolitical tensions, terrorism, crime, pandemics, floods, earthquakes, malicious computer hacking, other natural or man-made disasters, and travel warnings issued by the foreign Office.

An extraordinary event affecting a certified company or DCG may temporarily prevent DCG from carrying out planned on-site audits. When such a situation occurs, work is carried out according to recognized standards, DCG processes or regulatory documents e.g. IAF.

In consultation with the certified company, a planned procedure such as remote audits or a postponement of the on-site audit date will be determined, taking into account the special deadlines. The customer will be informed about the associated effects on the certificate validity and contract billing.

Special rules apply in the event of a pandemic. No buildings and machinery are affected. The focus is on the health of the staff.

The procedure "Special case pandemic customer / DCG" is only applicable for the period in which DEKRA Certification GmbH has proclaimed the pandemic case. DCG determines and evaluates the risks of continued certification and documents the resulting steps for the certified company affected by an extraordinary event.

DCG collects the necessary information as a basis for valuation. It is based on the DEKRA Group guidelines (travel warnings / travel stops), which serve as a basis for decision-making.

For the procedure "Special case pandemic customer / DCG" (e.g. to comply with deadlines and other regulations) the details are discussed with the customer. After exchanging the collected information, an evaluation and release for the implementation of the upcoming audit is carried out. The auditor/audit team leader plans the audit as described under point 2.

Hint:

Initial certification audit pandemic:

These cannot be performed 100% remotely, only after completion of the on-site audit a certification decision can be made.

First audit after a certificate transfer (new customer situation) pandemic:

The procedure is identical to that of the initial certification audit pandemic.