

OPERATIONS NOTABLE

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| DATE: | 26-OCT-2020 |
| NOTABLE #: | 2020-01 (Rev.2) |
| SUBJECT: | COVID 19 / CoV-2 "Corona Virus" – Action Package for Generic + Audits - |
| REFERENCE: | IAF requirements, with EU, DAkKS and Standard Owner |

In accordance with the information updated by the IAF on how to deal with the current audit situation, we consulted and, in particular, consulted IAF MD 4, IAF ID 3 as well as the "DAkKS adopted package of measures" for the decision and send you our current procedure as follows.

With regard to audit planning, we would like to inform you today that we should be as flexible as possible for our customers. In the following, the DAkKS accredited standards and the standards based on them are discussed. However, you can reach out to us for each individual customer and standard to discuss possible options.

We would like to submit our process for the **protection of employees, auditors and customers** with equal top priority with regard to the separate situation of the CoVid-19 (Coronavirus) and its handling. All audits are welcome to continue to be carried out regularly on site, if possible and coordinated by the customer, auditors and yourself.

DAkKS and other standard owners clearly state that the risk analysis and decision on the scope of remote audits is within the competence of the certification body (KBS = conformity assessment body) to react appropriately and responsibly.

If you cannot carry out audits on site because of the current pandemic, we ask you to consider the following options for the different types of audit. You are also welcome to do this with us; the Intertek employees; vote on a case-by-case basis.

It is important that postponements and remote audit approvals can only be a "case by case" decision. For a customer, special attention must be paid to the certificate, the audit type, any previously identified recommendations, minor non-conformities, major non-conformities and positive aspects with an outlook for the following years and a decision in writing with justification for individual cases.

We have the responsibility to react appropriately to the current situation and to implement appropriate measures; the special features of the office, the products, the markets, the regulatory features, the capabilities, the disaster situation, etc. must also be assessed and this can only be done in case by case .





Special individual approvals up to 100% remote audit even for clients from the manufacturing sector (from low to high-class risk) can be done if the following is available:

- Written application with appropriate reasons and evidence such as reasons from the evaluating office or "hotspot" designations by the federal government as well as other meaningful evidence
- Taking into account information from previous audits, for example, minor non-conformities and the review in the following year
- Whether a full audit is possible within the calculated audit time or whether additional audit time is needed

If a major non-conformity was raised during the last audit, a 100% remote audit approval is not possible-

If you cannot postpone audits within the possible deadlines, we ask you for information so that we can choose another auditor for this audit. You will then be asked again for the next year, so the customer is not automatically completely handed over to another auditor.

Initial Certification Audit

Initial certification audits cannot currently be certified without an on-site audit at Stage 2. At Stage 2 an audit of at least 50% of the on-site time (plus up to a maximum of 50% remote auditing) or a regular 100% on-site audit is mandatory.

If a Stage 1 readiness assessment has already taken place and the stage 2-certification audit cannot be carried out within 90 days (three (3) months), it can be extended by three (3) months up to 180 days (six (6) months). The approval needs to take all relevant agreed and repeated points of Stage 1 into account before the stage 2 audit begins.

Before each stage 2 - initial certification audit, all open and relevant points of stage 1 - readiness assessment must be demonstrably closed and a technical review must have been carried out by the certification body with the release at the start of the stage 2 - initial certification audit. No back to back audits!

After approval of form „F108-DE-EN Use of Remote Technology Questionnaire“ the Stage 1 audit can be performed up to 100% as a remote audit.

Stage 2 - Initial Certification can include up to a maximum of 50% of the on-site man days (md). This is to be checked based on the information from F108-DEEN and decided "case by case" according to IAF ID 3 point 4. After a positive certification decision, a certificate can be issued for up to a maximum of six (6) months. Within these six (6) months the on-site audit shall be performed, all nonconformities identified, if applicable, must be closed, on-site follow-up-audit, if applicable, shall be performed and completed, the complete audit package shall be submitted, reviewed and positively decided by the technical team and certification decision needed. After the positive certification decision, the certificate is issued for three (3) years minus one (1) day.

A maximum of 6 months, as it has to be completed in the calendar year and the last possible date is December 31 of the year.



An initial certification with more than 50% as a remote audit can only be approved as a special release if the company can be shown to maintain at least one other management system in the accredited area with a valid certificate. In the case of integrated management systems in particular, and if no weaknesses due to minor or major non-conformities were identified in previous years, up to 100% remote audits can be approved. However, the on-site share must be verified in the next year. If extra time is required to carry out a full audit, this will be discussed on a case-by-case basis with the customer, auditor and a technical expert.

Under certain conditions, a special release on a case-by-case basis can be possible. Therefore the following is needed:

- Initial certification is carried out instead of a takeover or re-certification, or
- Conformity assessment reports from accredited certification bodies have already audited and assessed the full scope of accredited certification procedures in the past or similar evidence can be used as a basis.

1. Überwachungsaudit nach einer Erst-Zertifizierung

Das 1. Überwachungsaudit nach einer Erst-Zertifizierung muss innerhalb von maximal 12 Monaten (9 bis 12 Monate) nach der Erst-Zertifizierungsentscheidung stattfinden. Stichtag für das zu planende Audit ist das Zertifikatsauslaufdatum minus (-) drei (3) Monate = Due Date; basierend auf dem Due Date ist das Audit minus (-) drei (3) Monate und plus (+) drei (3) Monate zu planen. Eine Freigabe basierend auf der aktuellen Situation vom Zertifizierungsentscheidungsdatum bis plus (+) sechs (6) Monate (= bis zu max. 18 Monate nach der positiven Zertifizierungsentscheidung) kann durch die Kundenbetreuung erteilt werden.

First Surveillance audit after an initial certification

The first surveillance audit after an initial certification must take place within a maximum of 12 months (9 to 12 months) after the initial certification decision. The key date for the audit to be planned is the certificate expiry date minus (-) three (3) months = due date; based on the due date, the audit should be scheduled minus (-) three (3) months and plus (+) three (3) months. Approval based on the current situation from the due date to plus (+) six (6) (= up to a maximum of 18 months after the positive certification decision) can be issued by customer service.

After approval of form „F108-DE-EN Use of Remote Technology Questionnaire“ can the 1st surveillance after Initial Audit can be partly conducted as remote audit include up to a maximum of 50% of the on-site man days (MD). This is to be checked based on the information from F108-DE-EN and decided "case by case" according to IAF ID 3 point 4. After a positive certification decision, a "letter of audit confirmation" can be issued. Within needed time frame as above mentioned the on-site audit shall be performed, all nonconformities identified, if applicable, must be closed, on-site follow-up-audit, if applicable, shall be performed and completed, the complete audit package shall be submitted, reviewed and positively decided by the technical team.

If necessary, 100% remote audits can be approved under special conditions in an individual case with a written justification, but are NOT recognized as a blanket approval.



Surveillance audits after a re-certification

The first surveillance audit (SA1) after re-certification or the second surveillance audit (SA2) is to be planned with the key date of the certificate expiry date minus (-) three (3) months = due date.

Based on this, the audit should be planned minus (-) three (3) months and plus (+) three (3) months.

Approval based on the current situation from the due date to plus (+) six (6) months can be given by customer support.

In addition, a person with responsibility for certification decisions can be consulted and, with justification, extend the audit within the calendar year up to a maximum of December 31. If the audit cannot be carried out in the calendar year, this person starts the decertification process.

If customers would like a remote audit for surveillance audits than up to 30% of the on-site day works plus rounded up offsite man-days can be performed remotely. A process confirmation can be issued.

After approval of the "F108-DE VERWENDUNG_DES_REMOTE_FRAGEBOGEN" can the 1st surveillance after a re-certification or the 2nd surveillance audit up to a maximum of 50% of the on-site man days (MD). This is to be checked based on the information from F108-DE and, according to IAF ID 3 point 4, to be decided on a case-by-case basis. After a positive technical test, a procedural confirmation can be issued according to the current status. The on-site audit must be carried out within the above-mentioned deadlines, all identified deviations must be closed, any follow-up audits carried out and completed on site, the complete audit package submitted, checked and a positive decision made by the technical review.

100% remote audits can be approved under special conditions in a special case-by-case decision with a written justification, but are NOT recognized as a blanket approval.

Transferaudit

A transfer audit is to be rated like a re-certification audit, since the basis of the certification decision cannot be fully examined during the change from one certification body to another.

If necessary, 100% remote audits can be approved under special conditions in an individual case with a written justification, but are NOT recognized as a blanket approval.



Re-Zertifizierungsaudit

A re-certification audit must always be carried out **before the certificate expiry date** or at least the remote audit must have been completed before the certificate expiry date.

A remote audit can be partly carried out according to IAF MD 4: 2008 (see chapter 1.2.3 with reference to ISO / IEC 17021).

A remote audit can include up to 30% of the on-site time and plus rounded up offsite man-days.

The man-days are calculated according to the list minus (-) the reduction options, of which at least 2/3 of the time must be audited on site. From this time, a maximum of 30% can be converted into remote audit. Since these results in odd day works, these can be rounded up with the off-site man-days to half and whole mandays.

After implementation (more detailed description follows below) and positive certification decision, an examination and certification decision is made for up to a maximum of six (6) months from the certificate expiry date; however in any case **within the calendar year**.

The customer receives based on the remote audit, a certificate of a maximum of six (6) months.

The remaining on-site man-days must be audited on site **within this period**.

After completion of the on-site audit, the split audit fully completed and after a positive certification decision, the regular re-certificate will be issued for up to three (3) years until the original certificate expiration date plus three (3) years.

After approval of form „F108-DE-EN Use of Remote Technology Questionnaire“ can the Re- Certification Audit can be partly conducted as Remote Audit include up to a maximum of 50% of the on-site man days (md). This is to be checked based on the information from F108-DE-EN and decided "case by case" according to IAF ID 3 GT004-P / Rev. 0 4 point 4.

After a positive certification decision, a certificate can be issued for up to a maximum of six (6) months based on expiration date. Within these six (6) months the on-site audit shall be performed, all nonconformities identified, if applicable, must be closed, on-site follow-up-audit, if applicable, shall be performed and completed, the complete audit package shall be submitted, reviewed and positively decided by the technical team and certification decision needed.

After the positive certification decision, the certificate is issued for three (3) years minus one (1) day based on prior validation.

Further information:

- If audits only include 0.5 MD off-site + 0.5 MD on site, we give the information 30% of on-site is 0.15, rounded up, 0.25 MD Remote Audit is the audit time plus later 0.5 MD on-site audit, so the remote time only refers to the off-site time, since we are **not allowed to audit less than 0.5 MD on-site**.
- Major non-conformities, which demonstrably do not necessarily have to be closed on site, receive a follow-up audit as a "remote audit" option and verification on site will take place with the next audit.



If necessary, 100% remote audits can be approved under special conditions in an individual case with a written justification, but are NOT recognized as a blanket approval.

General requirements for remote audits

Remote audits, even if only up to a maximum of 30% of the calculated on-site audit time are performed, have to be communicated to the customer service with a clear audit date.

It would be optimal if a fixed audit date was agreed directly for the on-site audit within a maximum of six (6) months from the certificate expiry date; since the audit / activity begins with the remote audit and is later completed with the on-site audit.

To plan a remote audit, we first need an "application from the company / top management to postpone the recertification audit based on the CoVid-19/ CoV-2 case with reasons and supporting documents (risk area, or other governmental or company-specific prevention measure, etc.)"

If the certification body checks and agrees accordingly, a "remote audit" can be carried out and completed before the certificate expiry date. This means that the customer provides all relevant documented information for a full documental review.

This includes:

- Boundaries and scope of the management system,
- Process matrix,
- Policy of the management system,
- Targets, Objectives, KPI overview, Action plan(s)
- Management review,
- Internal audit (Audit program, audit plan and audit report),
- Trainings of staff,
- Operational control,
- Design procedures (if design is applicable),
- Control of externally provided processes, products and services,
- Labeling and traceability,
- Property of customers or external providers,
- Monitoring and measurement,
- Monitoring of changes,
- Release of products and services,
- Non-Conformity and corrective actions
- Continual improvement evidence



For ISO 50001 / ISO 14001/ ISO 45001 (OHSAS 18001) additional documented information is needed such as:

- ISO 50001: Energy planning process including Energy review / SEU / EnPI / Energy baseline / Reports, Measurement plan, Purchasing process in regards to energy efficiency criteria, etc.
- ISO 14001: Environmental planning process Environmental Aspect Review / SEA / KPI / Reports, Purchasing process in regards to environmental criteria, etc.
- ISO 45001/ OHSAS 18001: Health/ Safety planning process / actions / KPI / Reports, etc.

The submission can also be simplified by showing or communicating via telephone conference, web meetings (e.g. Microsoft Teams; Skype, etc.).

Audit documents remote audit:

F103-1-DE Audit plan:

The documentation of the remote audit includes the audit plan (F103-1-DE audit plan) that starts with the remote audit and finishes with the on-site audit. One audit plan needs to be created that includes the complete audit (remote + onsite).

F103-11-DE audit records / F103-16-DE process records and F103-12 Checklist:

The documented audit records (F103-11-DE audit records / F103-16-DE process records) need to be submitted as well as the audit checklist version (F103-12) is to be filled out with all relevant information similar to a "short report".

These three forms are the basis of the remote audit certification decision and shall be uploaded in the activity on iEnable by the auditor.

Optionally, if there are identified deviations, the deviation report (F103-21-DE deviation report) as well as changes to the forum changes to the certificate (F103-23-DE changes to the certificate) and checklists to other standards, if applicable, are to be submitted.

The customer service needs to be informed actively by the auditor.

The remaining documents, such as F103-2-DE audit program, F103-7-DE list of participants, are regularly submitted after the on-site audit with the complete audit package.

For a 100% remote audit, the live video transmission MUST be used. Intertek is happy to send an invitation to the customer and auditor via the Intertek Microsoft Teams software tool, if necessary.

In the following year, it must be checked whether the audit time must be increased for a full audit or whether this is sufficient according to the current calculation, since the remote audit was carried out 100%.



Separate provisions on multi-site / multi-location procedures

This confirms that alternative locations can be selected for multi-site procedures for the on-site audit.

It is important to ensure that, with a sufficient number of locations, the same locations that were visited in the last audits are not selected. If the number does not indicate this, you can of course also visit locations where you have already audited.

When using remote techniques according to IAF MD4, there is no longer any restriction on the audit duration. This affects special situations and normal audit situations.

It is important that you have sufficient evidence and information to make an informed and secure certification decision. Here, document verification is still feasible as an option to supplement the remote audit.

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DISTRIBUTION: All Technical Managers (Accredited Business Units)
All Operational Managers / General Managers
All Certification Managers
All Customer Service and Sales /BD personnel
All Auditors
