

Procedure for remote-audits

About remote audits

Using electronic tools, remote audits can partially replace on-site audits. Remote audit techniques include web-based applications for reviewing customer processes.

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

The use of information and communication technologies should be generally implemented by the client, as it is not possible to interview the audited organization face-to-face. When relying on the systems/technologies of either the client or the auditor, it must be ensured that all are:

- ▶ exclusively recognized on the market,
- ▶ equipped according to state-of-the-art security protocols,
- ▶ compliant with data protection laws, and
- ▶ proven to remain confidential and secure when using remote techniques.

The procedure

The procedure with information technologies and their management as well as the security and confidentiality of remote audits are explained by DEKRA Certification GmbH (DCG) for new and existing customers. A request for remote audit can be made for the upcoming planned audit or in case of a special circumstance. When conducting a remote audit, an equivalent result to that of an on-site audit should be achieved.

Competent handling of information and communication technology is crucial to a successful and precise audit.

According to the result from the remote audit request, the lead auditor (coordinator) plans the audit activities and prepares the audit plan (including marking which parts are to be remotely conducted).

As part of the planning done by the lead auditor (coordinator) and the customer, it must be ensured that both parties use appropriately functioning hardware, software and infrastructure. A review of the communication technologies prior to the actual audit is performed to ensure that the audit can be conducted according to plan. Furthermore, the customer must take all appropriate security measures needed to protect confidential information.



Criteria for exclusion

The following general factors may preclude a remote audit and should be reviewed in advance:

- ▶ the confidentiality and security provided by remote techniques are not guaranteed,
- ▶ in the case of an audit, where the sense of sight, hearing or touch and smell are required for verification,
- ▶ the need for interviews, which requires observation and questioning of the employee at the workplace.

Note for remote audits

Remote initial certification audit and recertification audits:

These cannot be 100% remotely performed; a certification decision cannot be made until the on-site audit is complete.

Remote first audit after a certificate transfer (new customer situation):

The procedure is identical to the initial certification audit remote requirements.

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