



How to Prepare for a Remote Registrar Audit

Business Problem: New Unknown Audit Conditions

- International health crisis is disrupting normal business.
- Remote Auditing Now Available for Certification (keep on schedule)
- Technical Preparations
- Best Practices





Business Solution

- Learn how to prepare for Remote Registrar Audits



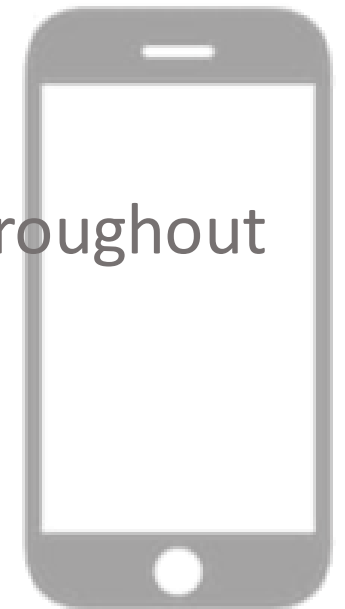
Situation Background

- Why are we here?
- First-time certifications
- Surveillance audits
- Re-certifications
- Difference between standards and Registrars



Are You Qualified for a Remote Audit?

- Can you use the Registrar's online meeting platform or your own?
- Are enough of your employees familiar with this technology?
- Are your QMS documents and records mostly available via screenshare?
- Will you be manufacturing during the audit?
- Will your mobile devices connect to the meeting platform throughout your facility?
- Do you permit live streaming of video to your auditor?



How can working remotely affect the audit?

- Technical issues
- User problems
- Reduction of visual clues
 - Nonverbal communication
 - Limited view of the workplace
- Misunderstanding of questions and responses
- Showing things that aren't on the computer
 - Inventory, Equipment, Tags and Labels, People



Always be aware of
social distancing, safe
practices and
confidentiality

Steps to Prepare

- Confirm that you qualify for a remote audit
- Confirm methodology (way the audit is conducted)
- Confirm date and times
- Get special instructions from Registrar
- Get process owners and documentation prepared and available



Steps to Prepare

- MREP organizes the audit
- Review audit plan
- Inform process owners, times, be ready technically
- Have sample documents available digitally (be aware the auditor may ask for a random sample)
- Review company information security practices and policies



Technical Considerations

- Video Conferencing
 - Platform (Zoom/GotoMeeting/Webex/Microsoft Teams/Other)
 - Microphone on Computer/Earbuds with Mic/Headset with Mic (be aware of hygiene and health concerns)
 - Speakers/Headphones
 - Phone call-in if necessary with computer screen sharing
- Site Tour Necessary? (phone or portable screen sharing device – Facetime/Google Duo/Zoom)
- Talk through/test connectivity to WIFI to determine issues/work arounds



Facility Tour and Mobile Devices

- Your auditor may want you to take them on a virtual tour if they are unfamiliar with your facility
 - Understand how to switch between front/back cameras (is applicable)
 - Explain as you go
 - Introduce key people (those who may be part of the audit)
 - Be aware of background noise
 - Consider use of ear buds or headphones
 - Suggest you don't share these accessories due to health and hygiene concerns
 - Employees may be able to use their own
 - Consider the use of an "audio splitter" so you and others may hear the auditor at the same time
 - Be aware the auditor may want to interview some and "look at" items in the workplace (e.g. equipment, labels, warehouse, inventory, etc.)

Location of Documents and Records

- Preparation: Locate Documents/Records (prepare samples)
- Documents in Binder (scan, take pictures)
- Setup/Use the CORE Compliance Platform for virtual audit, Audit Evidence Subfolder
- Housekeeping
- Ensure secure document sharing (cybersecurity checks)
- CORE Compliance Platform Demo Realm example

What Do Users Need to Know How to Do?

- Launch or connect to the meeting (and leave the meeting)
- Turn audio on and off (muting)
- Turn camera on and off
- Sharing your screen
 - Multiple windows
 - Multiple monitors
- Displaying on large monitor or projector (if needed)
- Key is to test, test, test... then practice.
 - Make sure everyone who will participate in the audit knows the basics.



Buttons and features vary between platforms. Take time to become familiar.

Day of the Audit

- Sign-in 15 minutes early
- Conduct in office/meeting room/reduce interruptions
- Share button/presentation to share screen
- Call-in number if no mic
- Earbuds/mic preferred
- Walk-through device ready (if applicable)
- Tidy computer desktop
- Examples ready to share
- Secure way to share data/no email
- Consultant to look over documents/records, process plans, Internal Audit



Questions You May Want to Ask Your Registrar

- What meeting platform can we use or do you provide?
- When will your auditor send the audit plan?
- Do you have an information security policy governing remote audits?
- How will the opening and closing meetings be conducted?
- How will remote auditing affect the time/cost needed for the audit?
- What are the alternatives available for our audit if we cannot conduct it remotely?

Information Security During a Remote Audit

- Company documents and data are considered proprietary and confidential
- The auditor will follow the company's internal information security policy when handling company documents and data.
- First preference for viewing customer documents and data is via encrypted web meeting desktop sharing feature.
- Second preference would be to allow the auditor to access company documents/data via secure platform Last preference would be to receive company documents/data via unsecure email Any documents/data received by the auditor will not be kept by the auditor and will be destroyed follow the close of the audit.
- If the auditor is granted remote access to a customer's data management system, the auditor will restrict his/her investigations to the scope of the certification.



Are Remote Audits Here to Stay?

- Remote audits have been available for years but rarely used
- In the US, ANAB has put out written guidelines for remote auditing during the pandemic
- Auditors, Registrars and ANAB are all getting a crash course on widespread remote auditing
- Customer feedback on this audit method will be critical
- It is possible remote audits will continue to be available upon customer request and qualification requirements



Closing Remarks

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