



# Remote Audit Guidance

## Introduction

In exceptional circumstances, where it is not possible to arrange a site audit a remote audit can be arranged and this guidance provides an overview of the remote audit process.

The remote audit will make use of Information and Communications technology to allow the audit to be completed in a comprehensive and efficient manner and your assistance is required to ensure the audit can be completed effectively.

The remote audit will still be scheduled for a particular day / time and we will be in touch regarding the arrangements in advance of the scheduled date and request that you allocate time on the day of the remote audit just as you would if the auditor was actually visiting your site.

## The remote Audit Process

The remote audit will follow a similar approach to an onsite audit;

1. Opening Meeting
2. Review of Management System Documentation
3. Review of other Evidence

The audit will start with a phone or video call from the auditor to complete the opening meeting at the arranged time and will include a review of the remote audit plan including reviewing what other evidence is required and how this will be shared or viewed.

The auditor will then complete a review of the management system documentation and prepare an audit report as normal.

### **Management System Files required for the audit;**

The auditor will need to review your management system documentation just as they would during a site visit including the following;

- Management System Manual / Procedures / Overview documents
- Relevant Policies i.e. Quality Policy if ISO 9001 audit
- Internal Audits; Audit schedule and completed internal audit documentation



- Management Review and Objectives
- Review and management of risk
- Management of problems, complaints and improvements

If all of the above can be shared in advance of the opening meeting this would assist with the audit process.

## Evidence Files

As well as reviewing the management system documentation detailed above the auditor will also need to review some further evidence for compliance in the form of actual records such as equipment maintenance records.

What evidence is required will be reviewed with the auditor and they will provide you with a list of audit evidence required and arrange with you how this can be gathered and supplied.

## Sharing Files with the Auditor



In advance of the audit we can send you the details for a shared folder using **Dropbox** (unless we already have a shared Dropbox folder setup with your company). This shared folder will also be available to the auditor and a new folder will be created within the '**Client-Supplied**' folder for the audit evidence and all relevant files requested should be added into this folder.

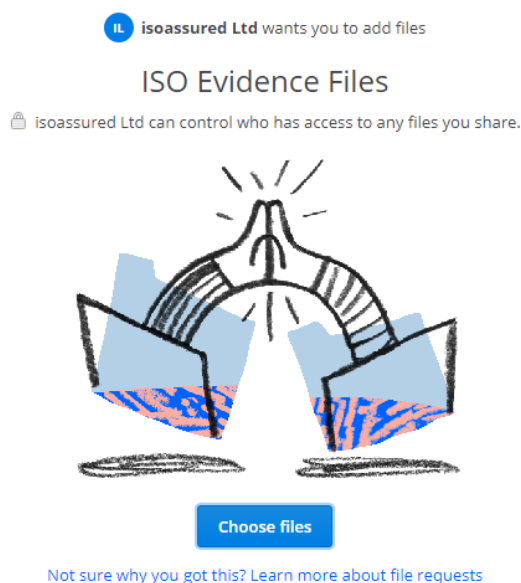
### Dropbox File Requests

The simplest way to use Dropbox is by installing the app but it is also possible to use Dropbox to share and download files without having a Dropbox account or installing anything.

If you have been sent a file request just click on the supplied link which will open the **Dropbox**

**Submit Files** page in your web browser.

To securely share files just click on the '**Choose Files**' link and select the relevant files.



## Telecommunication Systems to support the remote audit

In advance of the audit we will also be in touch to establish your preferred method for communication with the auditor on the day of the audit.

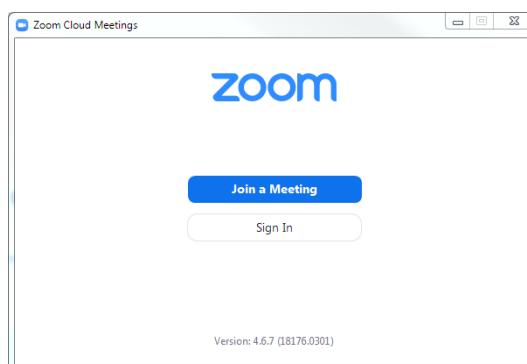
There are various options available to assist with communications from simply making a phone call to your preferred mobile or landline contact number to full video-conferencing with everyone in your team.

### Zoom Virtual Meetings

A virtual meeting room can also be setup for the day of the audit which makes use of **Zoom** video conferencing software that allows multiple users to simultaneously connect to the virtual meeting room.

Connection can be made using audio only, video and audio and includes other options for file and screen-sharing to assist with reviewing of files or other documentation.

The meeting room can be accessed by any type of device by simply clicking on the supplied link and alternatively allows connection by dialling in using the supplied landline number.



**Note :** when using the zoom link you will be prompted to install zoom and it is recommended that the application is installed to improve performance but it is also possible to just connect using a web browser or to dial in to the from a landline or mobile using the supplied number.

### Dropbox Paper Virtual Meeting Space

As well as real-time video conferencing we can also setup a virtual meeting space for asynchronous discussion using **Dropbox Paper** which also allows tasks to be assigned to different users and files to be shared and reviewed and all users to comment and discuss.



Other applications such as **WhatsApp** or **FaceTime** can also be used for video calling or text communication if preferred.

**Security** - all the file sharing and communications systems we use are fully encrypted and secure. We will not ask you to email files or share using any non-encrypted technologies.