

# Checklist for using ICT – Corona Epidemic

(ICT = Information and communication technology)

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## 1 Planned ICT Use

<b>Type of Audit</b> (e.g. "SA with scope extension")	1 <sup>st</sup> Surveillance
<b>Original Deadline</b> for this audit	
<b>New deadline after extension</b> (if applicable)	
<b>Certificate Scope</b> (as mentioned in ICMS field: Scope)	Supply of Water Services to Concessionaires in the City of Carcar and its Neighboring Towns
<b>Risk class(es)</b> (e.g.: "ISO 9001: high ; ISO 14001: medium")	Medium as per the calculation tool
<b>Audit time</b> (remote + on site) [days]:	2 mandays (16 hours)
<b>Time remote</b> [days]:	2 mandays
<b>Percentage remote</b> [%]:	100% Remote Audit
<b>Justification</b> for above mentioned percentage remote (e.g. all processes audited remote are done in a virtual environment; low risk products; postponement of on-site part with low risk based on results of last audit)	<ul style="list-style-type: none"> <li>- 100% remote audit is possible as the organization is implementing a flexible working methodology. Personnel required to report to the office are scheduled and arranged accordingly.</li> <li>- The audit can be done with multiple auditors having individual invite for Zoom meeting links.</li> <li>- Auditees have their own ICT device or equipment including the support personnel during the conduct of the audit.</li> <li>- Documented information is accessible at the office for both soft copy and hard copy format.</li> <li>- Simulation of the document evaluation through "screen sharing", and email, confirms the possibility of gathering objective evidence remotely at the office and from work-from-home arrangement</li> <li>- The internal quality audit performed by the organization to determine the preparedness of the auditees resulted to an effective flow of activities.</li> <li>- Travel restriction at the Cebu City site (especially at the virtual sites) requires strict protocols and is subject for approval by the local government unit.</li> </ul>
<b>Action(s) and other cases which reduce risk</b> (e.g. conduction of next audit within 6 month after last audit day of this remote audit; auditor knows the site(s) from previous audits)	<p>The assigned auditors are familiar with the process where services are offered to the concessionaires since this is also similar with the other certified water districts.</p> <p>The system implemented at the water district are also being followed for all off site area such as the warehouse and pumping stations.</p> <p>Documented information are available in electronic form and can be</p>

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	<p>shared remotely for verification. Hard copy document can be scanned and emailed, or photographed and send through email or file transfer facility</p> <p>Test for this documented information sharing are shown on the “screen shots” at the later part of this report.</p>
<p><b>ISO 22000</b></p> <p>List all the non-conformities that have been detected during the last audit, including their grading</p>	Not Applicable

**Table “Processes”**

Process types / Processes (e.g. management processes, production processes of physical products, repair of physical products)	Task(s) within the process (e.g. office tasks with virtual tools, welding, drilling, repair of electronic devices)	Risks concerning reaching audit objectives (e.g. limited overview about whole production area, limited possibility to see extraordinary events during the audit)	Used ICT and used technology e.g. wearable camera and microphone (technology: Wearable technology connected to Microsoft Teams)
Top Management	<ul style="list-style-type: none"> <li>Confirmation of Contract (address, scope, etc.)</li> <li>- Changes in the QMS</li> <li>- Quality Policy and Strategic Direction</li> <li>- Scope of application and Context of the Organization</li> <li>- Understanding the Needs &amp; Expectations of Interested Parties</li> <li>- Applicable Statutory &amp; regulatory requirements</li> <li>- Overall Performance of Quality Objectives/Targets</li> <li>- Management Review Results</li> <li>- Resources</li> <li>- Continual Improvement</li> </ul>	<ul style="list-style-type: none"> <li>- Internet connection stability</li> <li>- Power interruption</li> <li>- Not all files can be shared due to the confidentiality of documents</li> <li>- Wi-Fi signal strength stability during the virtual tour; the use of a stable data connection for the mobile device</li> </ul>	<ul style="list-style-type: none"> <li>- Zoom meeting for video conferencing</li> <li>- Laptop computer with webcam</li> <li>- Smart phone or mobile device with data connectivity for the site audit</li> <li>- File sharing through email or file transfer protocol</li> </ul>
Internal Audit	Internal Quality audit and corrective action process		

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Human Resource	Personnel skills and competency enhancement	<ul style="list-style-type: none"> <li>- Internet connection stability</li> <li>- Power interruption</li> <li>- Not all files can be shared due to the confidentiality of documents</li> <li>- Wi-Fi signal strength stability during the virtual tour; the use of a stable data connection for the mobile device</li> </ul>	<ul style="list-style-type: none"> <li>- Zoom meeting for video conferencing</li> <li>- Laptop computer with webcam</li> <li>- Smart phone or mobile device with data connectivity for the site audit</li> <li>- File sharing through email or file transfer protocol</li> </ul>	3 of 11
Pump Station & Water Source	Water production process			
Commercial Division	Management and control of concessionaires accounts			
Control of Documented Information	Control on revision, changes, originate of QMS procedures and retention of quality record			
Marketing & Customer Service	Interface with the customers, surveys, and feedback management			
Construction & Engineering	Project implementation monitoring and control			
Maintenance & Calibration	Maintenance management of equipment used for the operation including the necessary calibration of measuring instrument			
Warehouse & Motorpool	Storage process for materials necessary for the operation including spare parts for the maintenance of equipment			
Production Team	Water production process and controls			

## 2 Test of ICT

<b>Description</b> of planned ICT use	see column "Used ICT and used technology" of table "Processes" above
<b>Description</b> of planned ICT system (e.g. Skype)	see column "Used ICT and used technology" of table "Processes" above

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<p><b>Test date</b> of technical equipment / received and sent documents (Only necessary, if remote audit will be conducted from outside a client's location)</p>	<p>Processes to be audited remotely will be held at the water district office. Platform to be used is Zoom meeting wherein all employees are using, and are already familiar, since the pandemic period for the virtual meeting and other communications. Site audit tour will be evaluated by the organization using the data connection prior the scheduled Remote Audit.</p>
<p><b>Name</b> of person who did the testing by Customer</p>	<p>Archie Campaneon Ted Tupaz</p>
<p><b>Name</b> of person who did the testing by TÜV Rheinland</p>	<p>Hilario J. Capili</p>
<p><b>Result</b> (e.g.: Test has shown that ICT is sufficient to achieve audit objectives)</p>	<p>The assigned auditors are familiar with the process where services are offered at the head office and other extension offices.  Documented information is available in electronic form and can be shared remotely for verification. Hard copy document can be scanned and emailed, or photographed and send through email or file transfer facility  Test for this documented information sharing are shown on the “screen shots” at the later part of this report.</p>

Zoom meeting conference with clear video and audio.



Zoom meeting conference with clear video and audio. All participants are also familiar with the use of the chat box for the exchange of information.

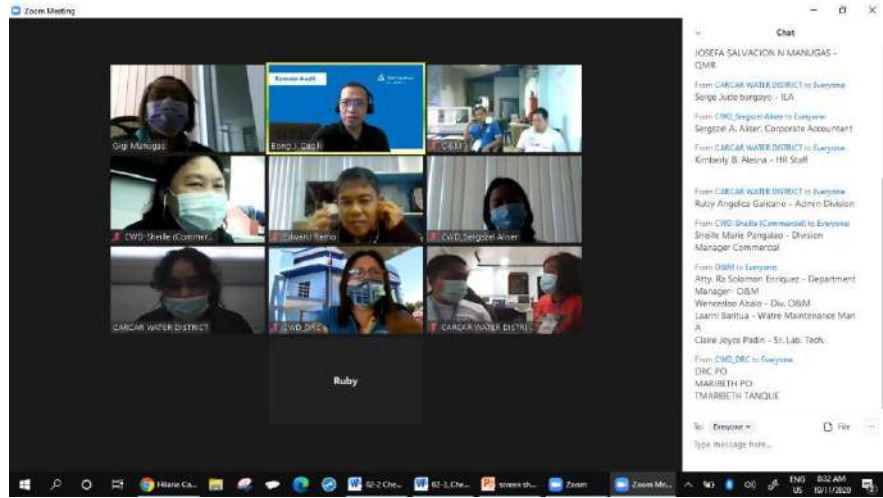


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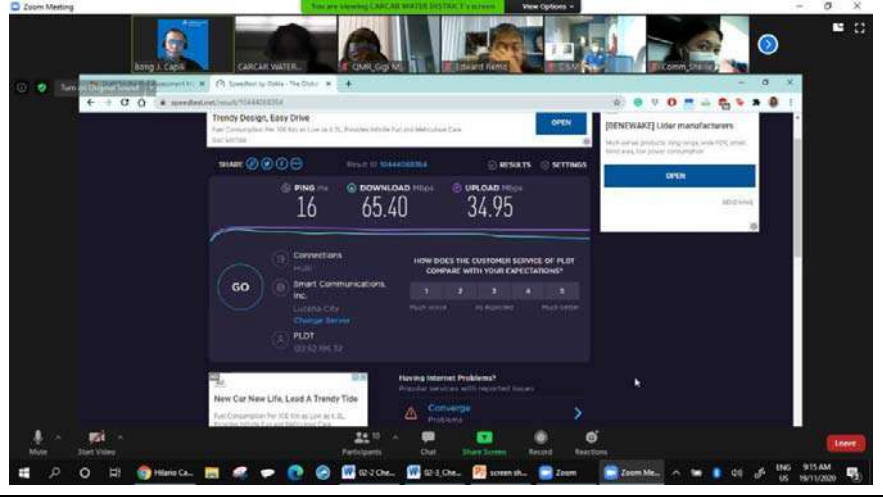
Zoom meeting conference with clear video and audio. All participants are also familiar with the use of the chat box for the exchange of information.



Internet speed test of different participants to determine capability to share information from the office and work-from-home



Internet speed test of different participants to determine capability to share information from the office and work-from-home



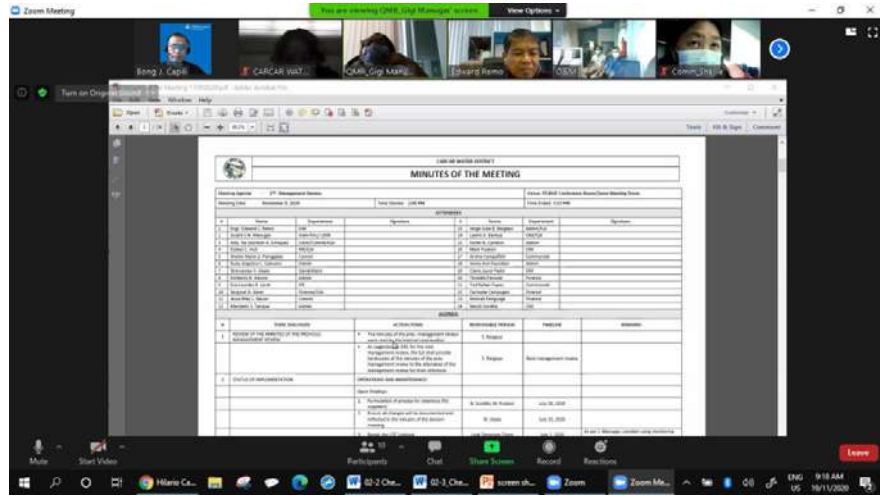


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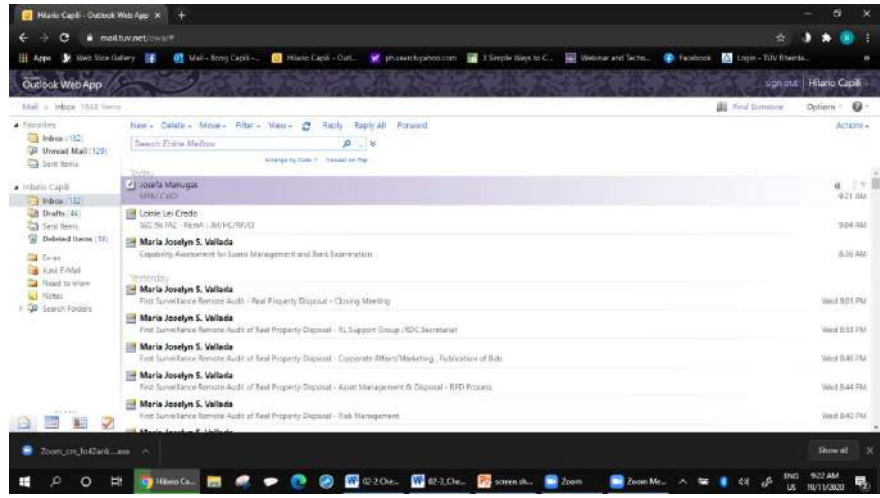
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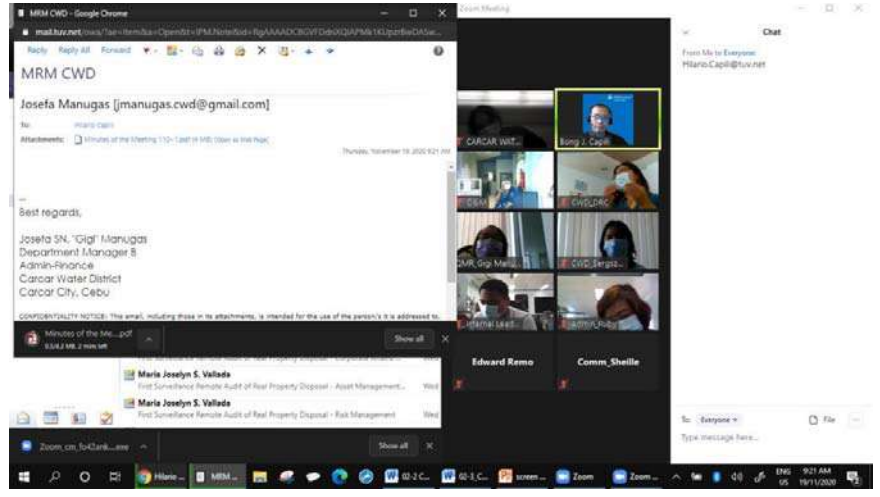
The use of "Share Screen" for presenting information during remote audit. (As shown from the QMR Josefa Manugas screen)



File sharing through the official tuv.net email received within 1 minute. (e.g. Email from Josefa Manugas with attachment "minutes of the meeting" presented on the "Share Screen")



File sharing through the official tuv.net email received within 1 minute. (e.g. Email from Josefa Manugas with attachment "minutes of the meeting" presented on the "Share Screen")

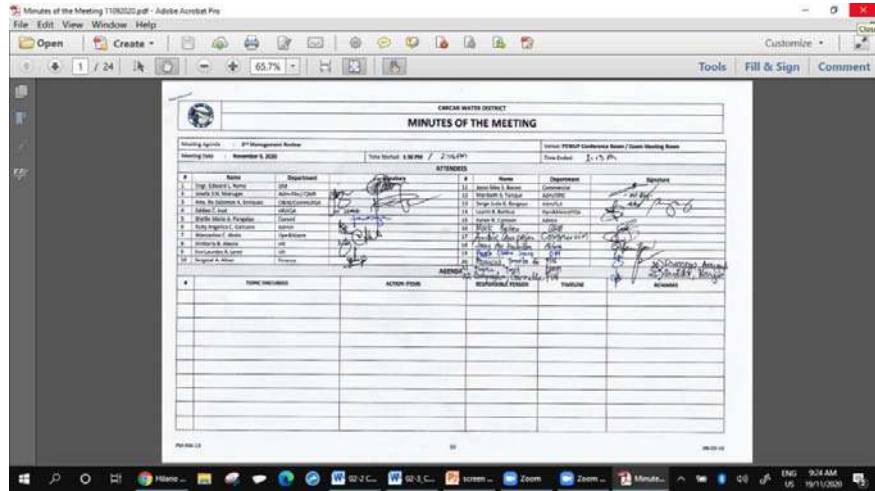


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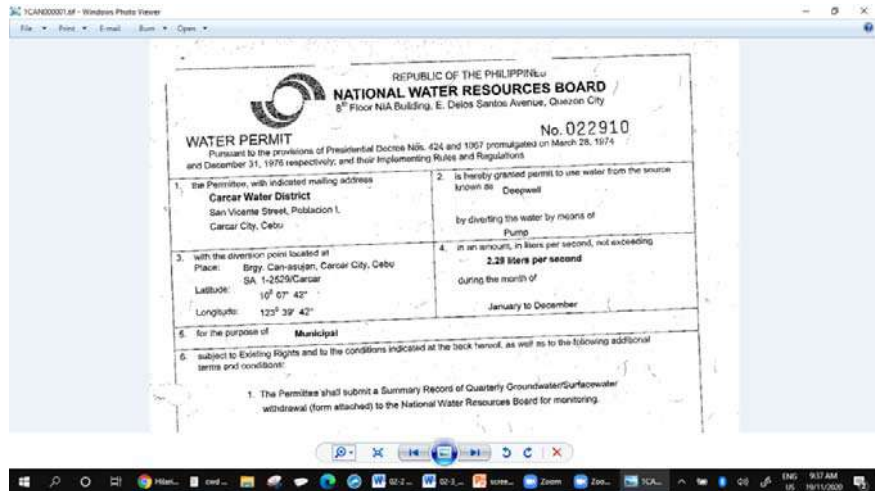
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Attachment sent through email



Document in hard copy format presented through "Share Screen" and emailed as attachment after scanning the original document



Telling process can be observed and audited using mobile device connected through the office Wi-Fi

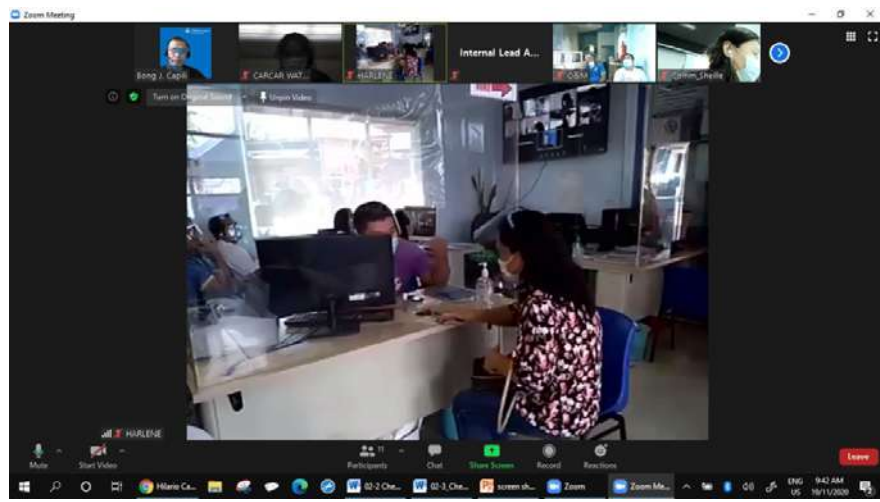


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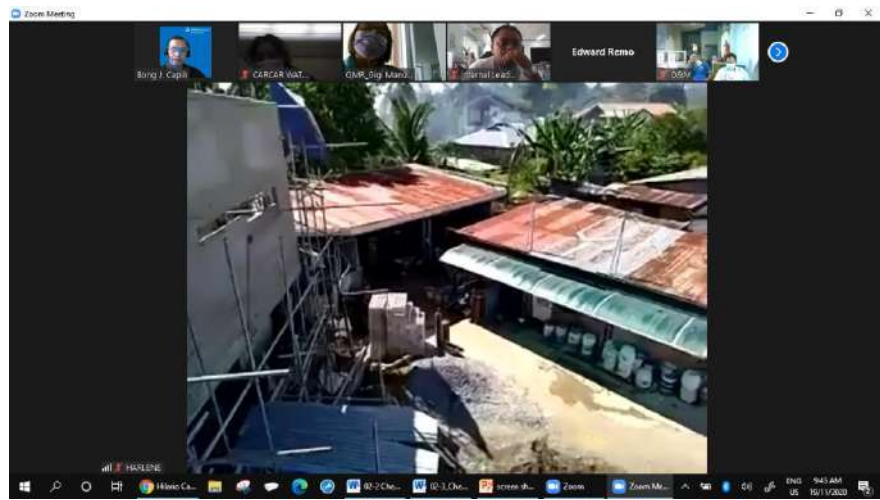
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Public assistance process can be observed and audited using mobile device connected through the office Wi-Fi



Warehouse (temporary) as observed in remote view through the mobile device connected to the office Wi-Fi.



Warehouse (temporary)

- Virtual tour limitation and was put on hold due to no Wi-Fi access outside the office
- Evaluation and management for the offsite tour specially at the pumping station audit will be done by the organization before the conduct of the scheduled Remote Audit





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Closing meeting with the discussion of the concerns noted during the capability assessment as follows:

- Evaluation of the data connection availability for the site tour audit at the warehouse and pump station for sampling



**Remark**

- 100% Remote Audit is very feasible.
- Process owners / auditees to be interviewed shall prepare the necessary documented information in an electronic or soft copy media ahead of the audit time for efficient audit interaction.
- Zoom Meeting invites shall be sent for each auditor assigned in the Remote Audit.
- Evaluation of the data connection availability for the site tour audit at the warehouse and pump station will be conducted by the organization prior to the scheduled Remote Audit.

**3 Requirements for using ICT**

- The checklist has to be completed with the audit planning and is part of the audit documentation.
- If remote audit(s) will be conducted from a client’s location to another client’s location: The test of the technical equipment has to be done by the client.
- To audit a site inspection remotely the client provides the Auditor with the following set of documents to support the remote audit approach as appropriate:
  - o Floor plans
  - o Technical datasheets (plants, facilities,....)
  - o Descriptions of the site, equipment, processes etc.
- In case of site inspection the client is equipped with mobile IC-Technology providing real time imaging such as wearable technology, smartphones/handheld devices, video camera.
- If remote audit activities will be conducted from outside a client’s location, the client should select the communication system. The certification body can additionally propose a communication system to the client to find a fitting system. TÜV Rheinland is not liable for the software safety requirements and regulations of the used ICT.
- In order to ensure the confidentiality, it must be ensured that only the audit team and the involved persons of the client have access to the ICT.
- Video and audio recordings and screen shots are not permitted without specific approval by the contracting parties. They can be used for the audit documentation (e.g. as proof for participation)
- The client shall bear any additional cost (e.g. audit time) incurred by technical problems on the client side. The certification body shall be entitled, even where a fixed or maximum price has been agreed, to charge extra for this additional cost.

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2020-Novemeber-29

Date

Hilario J. Capili

Audit Leader / Auditor(s) or Application Reviewer

19-01-2020

Date

JOSEFA S.M. MANUGAS

Signature Client

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## Requirements for using this checklist:

- 1) This checklist is relevant for all kind of audits (CA, RA, SA, extension audits, .....)
- 2) In case of more than 50 % remote audit time this checklist must be released by a reviewer prior to the audit.
- 3) Special requirements:

No Go's for 100% remote approach:

Standard	Requirement
ISO 9001	Initial Certification (CA) for IAF 11 and 38/1
ISO 14001	Initial Certification (CA) and extension new sites for high risk class
ISO 45001	Initial Certification (CA) and extension new sites for high risk class
ISO 50001	Initial Certification (CA) and extension new sites for EnMs complexity level high
ISO 22000	<ul style="list-style-type: none"><li>✓ Initial Certification (CA) and extension new sites</li><li>✓ Auditor has not audited the company before</li><li>✓ Occurrence of <u>serious events</u> since the last audit (e.g. <u>legal proceedings, prosecutions and the outcomes of these related to food safety or legality, public food safety events in connection with clients, such as e.g. public recalls, calamities, etc.</u>)</li></ul>