

April 14, 2020



# NSF-ISR COVID-19 Related Audits April 2020

PERFORMANCE, NOT JUST CONFORMANCE

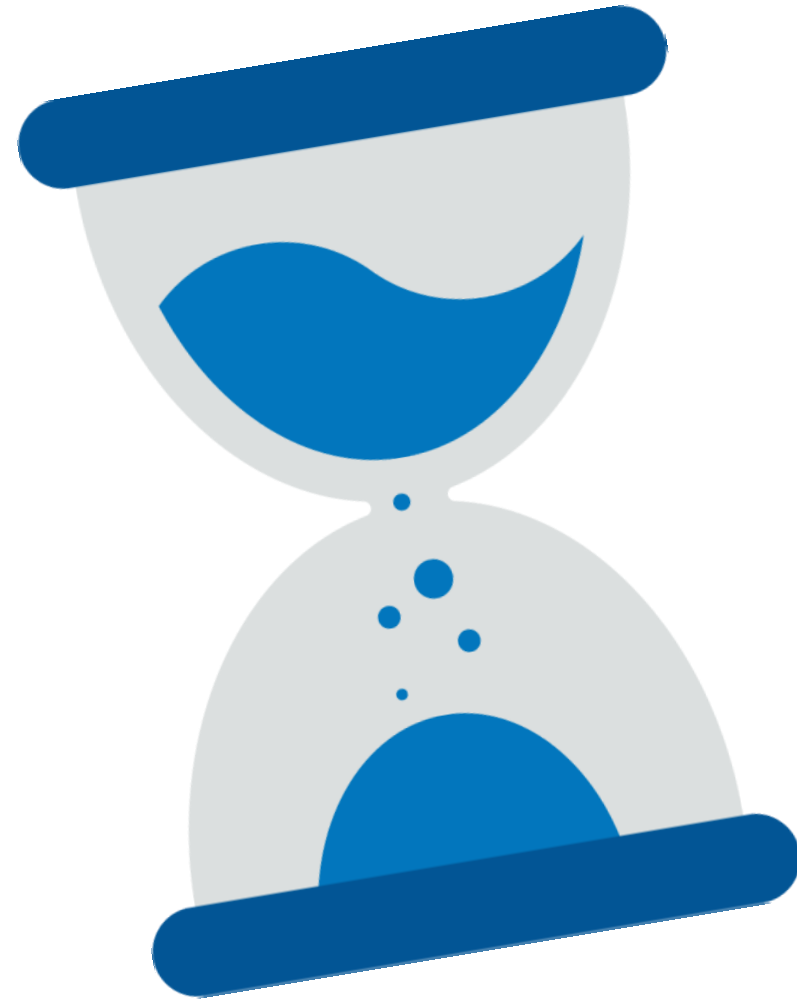


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# Agenda

- > Introductions
- > NSF-ISR Position
- > Path Forward
- > Information Transfer
- > Stay Connected
- > Closing Thoughts



# Introductions



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Technical Manager,  
Aerospace



Mike McRandall

Business Unit Manager,  
Aerospace and  
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Business Unit Manager,  
Quality Management  
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Melissa Heatlie

Marketing Manager,  
NSF-ISR

Moderator

**Let's take a poll...**



# Audit

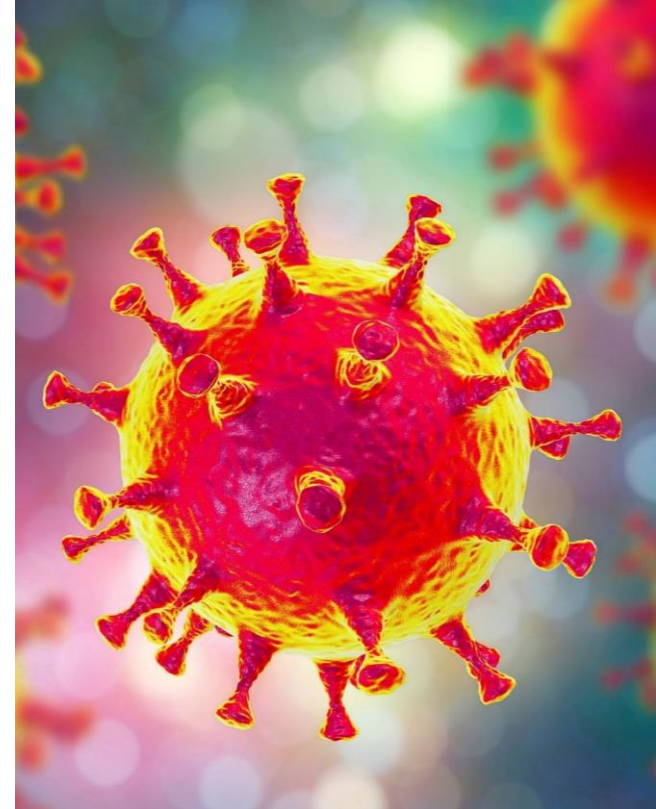


## Agenda

NSF-ISR Position

# COVID-19

- > Primary concern is the health and safety of our team and clients
- > Mission of public health and safety organization
- > Conducting business during COVID-19
- > In North America, all on-site visits are prohibited through May 31





## Agenda

Industry Relief

# Industry Relief

## > Offering relief:

- ISO 9001
- ISO 14001
- ISO 45001
- ISO 13485
- ISO/IEC 20000-1
- ISO 27001
- AS91XX
- RIOS
- E-Stewards
- Ontario Drinking Water (DWQMS)
- IATF 16949 – extended dates only, no remote

## > No relief (possibly, yet):

- Food Schemes (ISO 22000/FSSC 22000)
- RCMS
- R2





# Industry Position on Process

- > No universal approach defined for COVID-19, but CBs required to follow guidance of IAF Informational Document 3 (2011)
  - IAF Informative Document For Management of Extraordinary Events or Circumstances Affecting ABs, CABs and Certified Organizations
  
- > Some industries have offered more prescriptive requirements
  - IAQG OPMT Resolution 157 and response statements
  - IATF Global Waivers and Measured in Response to the Coronavirus Pandemic (27 Mar 2020)



# General Limitations – Remote Auditing

- > Remote auditing allowed, with approval through CB process (IAW IAF MD4 and IAF ID12)
  - Surveillance
  - Recertification
- > Limited remote auditing (approvals required)
  - Transfers
- > Not allowed
  - Stage 1/Stage 2 (initial registrations)
  - Specials audits – scope changes
  - Organization not able to facilitate
  - IATF 16949





## Agenda

Path Forward

# NSF-ISR Prioritization



Many certified organizations impacted, so work by priority

Upcoming audits (next 1-4 weeks)  
Recertification audits (working by expiry)  
Surveillance activity due in 2020



Maintain infrastructure to ensure minimal impact to certificates



Managing resource risks (ensure no “bubble” in 2H 2020 from pushed outs)



Forward-looking risk monitoring to prevent unforeseen issues, where possible

# NSF-ISR Process Overview – Organization Review



1. Account manager notifies certified organization and sends information form
2. Organization completes the information form and returns
  - Preference on approach
  - Readiness for remote auditing
  - Other risk factors to consider
3. NSF-ISR conducts technical review/disposition
  - Each client reviewed for preferences and circumstances
  - Dispositioned for most appropriate approach for client
4. Account manager coordinates to discuss next steps (scheduling/clarification)



# NSF-ISR Process Overview – Considerations

- > Audit type (recertification vs. surveillance) and expiration date
- > Activity level (e.g. operational, restricted processes, remote workers, shuttered)
- > Visitor/access restrictions
- > Infrastructure to facilitate remote audits
  - Network bandwidth for video conference
  - Virtual meeting platform
  - File sharing abilities
- > Additional risk factors, as defined by IAF ID3



# Remote Audit/Conference Platforms

- > Must be provided/prescribed by customer
  - Based on your regulatory landscape/requirements (e.g. NIST 800-171, export control, ITAR, EAR, GDPR, etc.)
- > Needs to support document sharing, video, audio
  - May need multiple platforms (e.g. recorded video, wearable technology, FaceTime video, WhatsApp video, Bluejeans collaboration, etc.)



# Possible Approaches



- > 100% (up to) remote audit with proper infrastructure
- > Move audit to later in CY 2020\*
- > Cert expiration and restore / reinstate within 12 months
  - Shows as expired until audit is completed (and NCR addressed)
  - 3 year expiry, from original cycle
- > When permitted, extension of certificate expiration\*
  - Not allowed for all standards (e.g. aerospace)
  - Includes remote audit now, with 6-month extension and recertification audit in 6-month period

*\*Note: If the situation extends to later in the year, there could be risk to certification.*

# Audit Planning – Remote Audits

- > Auditor builds audit plan – sends at least 2 weeks before audit
  - Ensure understanding of activities being reviewed and times – have stakeholders lined up (reduces down time in audit)
  - Consider sending auditor a list of personnel in each process, so plan can be more specific
- > Send meeting invites so software can be installed (internal and auditors)
  - Consider test run a few days before audit
- > Test system and ensure connectivity (don't wait until day of the audit to learn how to use the system)
  - Microphone/headset may be needed in noisy environment
  - Team auditors require separate virtual meeting rooms/hosts
  - Ensure connectivity in facility areas where activity occurs (e.g. no WiFi issues)



# Remote Audit Limitations



## Regulated information

Don't violate laws on showing export controlled information

Try to work around, when possible



Processes are reviewed, but activities may be limited – it's OK

Tough to review some activities remotely or personnel not working

Will review in at next on-site audit event



We still want to audit processes and personnel, not just forms/outputs

Off-shifts encouraged, but only required for aerospace audits



# Additional Thoughts

- > Requires trust – Embrace for “value” audits can offer
  - Will not be as effective, but doesn’t have to be ineffective
- > Make as effective as possible...be creative on how to share activity
- > Auditors will confirm the scope, through sampled evidence
  - Burden of proof is unchanged, they need objective evidence for all aspects of scope of registration





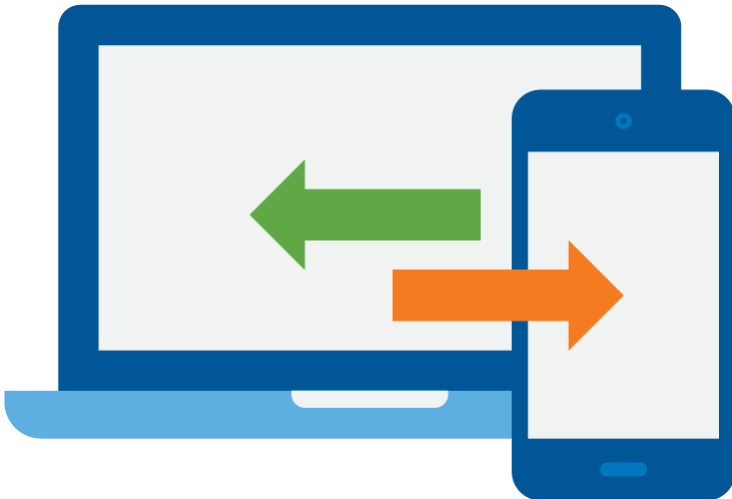
## Agenda

## Information Transfer

# Information Transfer



- > NSF-ISR is following ISO 27001 framework
- > Avoid emailing sensitive documents to auditor
  - May use your platform, but all auditors have access to encrypted file transfer program for use (more info coming)
- > Prefer communication to be sent/received with their @nsf.org email address
  - Controls in place for our server (not on their personal email)



# MOVEit

- > Improves file transfer security, using encryption
- > All files to/from customer need to be exchanged through this platform or your platform (not email)
- > <https://moveit.nsf.org>
  - Auditor sends invite to virtual space for exchange
- > Will send client instruction out with link to recording

**MOVEit**  
**TRANSFER**  
> **ipswitch**







## Agenda

Stay Connected



# Updates Are Expected

- > Dynamic situation, with many unknowns and driving forces
- > New process and updates coming as we get more experience
- > Updated communicated through:
  - NSF website ([www.nsf-isr.org](http://www.nsf-isr.org))
  - [NSF Connect](#)
  - Email updates (Pardot)
  - [LinkedIn](#) (#nsfisir)



NSF-ISR.org



# Resources

Use the QR code below to view our news item and online resources

## News & Resources



### QUALIFYING FOR A REMOTE AUDIT

Due to the COVID-19 pandemic and impact to our clients, NSF International Strategic Registrations (NSF-ISR) has developed options to ensure the continuity of your certification, while still doing our part to protect public health and safety. NSF-ISR reserves the right to decide on the appropriate path forward for continuation of certification.

Additionally, the remote audit process is an alternative action being taken in accordance with contingency policies for emergency circumstances only and is not representative of normal certification cycle options.

This document describes who qualifies for a remote audit and provides basic guidance on how to prepare for one.

#### Remote Audits

Although remote auditing was permitted for some standards, many required some (and often all) of the audit to be conducted on site. The COVID-19 pandemic has caused this approach to be reconsidered and remote audits were approved for wider use, in lieu of a face-to-face delivery. This helps to protect company and auditing personnel alike.

This approach is formally called Information and communication technology (ICT) auditing and has been permitted through the International Accreditation Forum as detailed in its MD4 mandatory document. In addition, various industries have adopted ICT/remote auditing as a viable option to maintain the integrity of the auditing process in these unprecedented times.

#### Who Qualifies for Remote Auditing

In the COVID-19 pandemic, an organization might be leery or unable to allow visitors access to its premises. NSF-ISR has developed a client information form to collect some pertinent information needed to determine eligibility for remote audits.

Please note that not all clients or standards will be eligible for remote auditing.

#### Questions to Consider

Prior to your account manager providing you the client information form, please consider these questions.

Download our additional [pre-audit planning checklist](#) to ensure a smooth audit.

1. Is your organization open and functioning, even if some employees are operating remotely?
2. Are you fully capable to facilitate an effective remote audit?
3. Have you identified a web meeting platform that complies with your information security requirements?
4. Do you have sufficient network bandwidth to facilitate a web-based remote audit, lasting up to 8 hours per day? (For team audits, streaming events are needed for each auditor.)
5. Are you able to virtually show activities/locations as requested by the auditors? (If not through your web meeting platform, are you able to do that in another way?)
6. Do you have the ability to share/upload requested documented information with auditor(s), consistent with your information security requirements?

As we continue to monitor the latest guidance from the World Health Organization and other global public health authorities, we ask for your patience as processes may change in the future.

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## NSF-ISR Provides Alternate and Remote Audits for Management Systems Certification Due to COVID-19

April 3, 2020

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Due to the evolving COVID-19 pandemic and impact on our clients, NSF International Strategic Registrations (NSF-ISR) has developed options to ensure the continuity of certification, while doing our part to protect our number one priority, the health and safety of members, colleagues and customers.

We recognize during this time we must adapt to continue to meet the needs of our customers while still maintaining the integrity of our business and protecting public health and safety.

As a result of the rapidly changing COVID-19 conditions, the NSF-ISR team has created an alternate audit process to replace in-person auditing for management systems certification. This process includes remote audits, audit boundary extension/rescheduling and certificate extension, depending on client needs and standard requirements. The process will be in place for the next six weeks, and we will evaluate extending it based on conditions at that time.

To learn more about this alternate audit process, we encourage you to review our [client FAQ](#) to answer your questions about our interim process as well as our [remote audit qualification document](#).

For more information, we encourage you to [follow us](#) on LinkedIn.

### CERTIFIED ORGANIZATION/CLIENT FREQUENTLY ASKED QUESTIONS (FAQ) COVID-19 ALTERNATE AUDIT PROCESS

Don't see your question below? Please contact us at [info@nsf-isr.org](mailto:info@nsf-isr.org).

#### General Questions

1. Are NSF-ISR's auditors forbidden to travel or go on site?  
Currently, through 1 May 2020, all North American and European on-site audits are suspended due to the current COVID-19 situation.
2. Whom should I contact if I have questions regarding my upcoming audit?  
Your account manager can answer any questions about upcoming audits. Please be patient as your account manager's responses may be delayed as we work through this new process.
3. Given the COVID-19 pandemic, we can't have an audit, so how can we keep our certificate?  
In accordance with the International Accreditation Forum's Informational Document 3 (IAF ID3), certification bodies are permitted to use alternative audit methods to facilitate audits when "extraordinary circumstances" exist. The global community has recognized the COVID-19 pandemic as an extraordinary event and allowed for certification bodies to be creative in their approach to maintaining the integrity of certificates. These alternative audit approaches differ by industry, scheme and standard, but include the use of remote audits, some relief or flexibility with audit boundaries and, in some cases, certificate extensions.
4. What are the available alternative audit approaches approved by NSF-ISR?  
Currently, and depending on scheme/standard requirements, we are evaluating each client's situation and preference. As an output of this evaluation, we have the following available options:
  - Audit boundary extension/audit rescheduling: Audits can be moved to later in the year, with the hope that shelter in place and other regional orders will have been lifted. Note: Surveillance audits may be able to move to later in the calendar year, but recertification audits will be further governed by the certificate expiration date.
  - Remote auditing: When permitted by scheme/standard, the audit may be completed by information and communication technology, providing a virtual audit option.

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## Agenda

Closing Thoughts/  
Questions



Thank you!

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