This checklist provides support to certification clients of Quality Austria when preparing for and conducting audits.

The **checklist for certification clients** covers the most important issues to be considered due to Corona restrictions, in addition to regular audit planning. It should help to carry out an audit to its best under given circumstances.

The checklist is based on the Austrian Legal Status of May 01, 2020, and was prepared in all conscience.

Principle of auditing:

Health

and

Conformity with the Law

are priority!
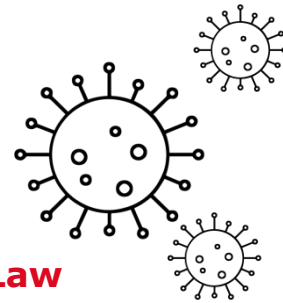
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The following measures are subject to one central rule, stating that performance of the audit may not pose a risk of a COVID-19 infection to audited persons, **quality**austria auditors or any other person.

Compliance with legal requirements (e.g. COVID-19 legislation, etc.) shall be ensured in any case.

The checklist provides a rough framework and shall be adapted to the respective operational conditions.

Checklist for preparing the audit:

- Coordination with the auditor for audit planning:
    - Changes to the company affecting the audit,
    - Availability,
    - When, and how to conduct the audit
        - remotely (remote audit)
        - on site
        - mixture of both forms, remote and on site audit
    - Standard clauses, incidents etc. to be reviewed

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- What special (protective) equipment is required for the auditor(s)?
- Are suitable rooms (distance, ventilation etc.) available for conducting the audit?
- Can legal hygiene measures be implemented in the company (in the company inspection tour, etc.)?
- Is the provision of disinfectants and hygiene products (skin / surface disinfection, mouth and nose masks etc.) ensured in sufficient quantities for the relevant rooms (e.g. conference rooms, workshops, etc.)?
- Is it possible for the auditor(s) to travel to and travel from the premises (especially in the case of border crossing)?

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- Are overnight accommodations available, if needed?
- Specific points when conducting (complete or partial) remote audits:
    - ensure that the audit can be implemented as planned (technical equipment, adequate access to communication software, sufficient network speed and stability …)
    - ensure that all persons relevant for the remote audit have the technical skills to carry out the audit as planned.
    - ensure that those persons relevant for the remote audit who are currently working from home, can participate in the remote audit as planned.
    - Arrange a short test to ensure that the company's communication software is technically compatible with the hardware / software of the auditor (audit team).

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    - Agree on the form in which relevant documents should be audited and ensure the technical realization:
        - Documents will be available in the cloud
        - Documents will be uploaded during interviewing
        - Documents will be sent
        - etc., ….
    - Ensure
        - information security
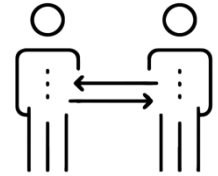   - that the audit is not recorded.
    - Individual points

Checklist for preparing the on site audit:

- Safety instructions must be provided on the company rules of conduct to prevent the risk of COVID-19 infections.

- Social distancing or physical distancing during the audit shall always be ensured – both in meeting rooms and during company inspection tours.
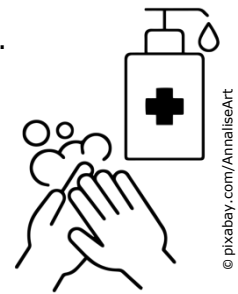
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  - A minimum distance of 1 meter is required by law.
    However, it is recommended to keep a distance of at least 2 meters.

  - If the minimum distance of 1 meter cannot be observed, it is mandatory to wear a face mask.
    Attention: In specific areas, personal protective equipment may be mandatory (consider workplace evaluation)!

  - Ensure that participants can keep enough distance from each other.

- Regularly air the working rooms (at least 4 times a day for about 10 minutes).

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- Schedule enough time to take breaks for hygiene (washing hands, airing, putting on / taking off protective equipment, if necessary, etc.).

- If it is necessary to travel together in one vehicle in the course of the audit, it is required to wear a face mask; furthermore, only two persons (including the driver) may sit in a row.

- When using passenger elevators (lift), make sure that only one person is allowed at a time (schedule enough time).
  In the waiting area of the elevator, the 1 meter minimum distance rule also applies.

- When entering customer areas
  - A minimum distance of 1 meter is required by law.
    However, it is recommended to keep a distance of at least 2 meters

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  - In case of customer contact: Obligation to wear a face mask

- Individual, operational points
  - …
  - …

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