

BUSINESS CONTINUITY PLAN

REMOTE AUDIT

THE "SAFETY NET"

ON-SITE AUDIT

As part of the COVID-19 outbreak, a **business continuity plan** has been put in place by IS Certification to allow companies to maintain or renew, as far as possible, their certifications.

It is based on 6 pillars

1. Transparent continuity of our dedicated customer services
2. The ability to audit remotely to overcome the difficulties of auditing on site
3. Postponement of the audit to a later date, when this is compatible with the validity constraints of the certificate
4. The establishment of a "safety net" device to temporarily maintain or renew a certificate after a positive risk analysis, when the 100% remote audit is not feasible and the audit cannot be scheduled on a new date without exemption
5. Performing the on-site audit, as a last resort, when the activity is deemed essential and the security measures implemented by the certified company comply with government guidelines
6. Exit from containment, with its anticipation and specific support methods

1. Transparent continuity of activity of our services dedicated to customers

Provide the same service, transparently for our customers.

- ▷ **100%** of our workforce is on the job, **teleworking**
- ▷ The contacts, email addresses, telephone numbers, opening periods remain unchanged
- ▷ Our employees have remote access to **all their tools and data**, as if they were in professional premises
- ▷ All access to tools and data is done securely

2. Remote Auditing (ref to PE CERTIF 02, doctrine note 13)

Whenever possible, carry out the planned audits, on the scheduled dates, with the planned auditors, but at a distance.

Reduce the volume of postponed audit days in order to avoid congestion after the crisis.

- ▷ The rules were relaxed in a derogatory manner during the crisis in order to facilitate the implementation of remote audits
- ▷ All IS Certification auditors have the technical means to perform the audit remotely
- ▷ All of the players (our administrative services, our auditors, our certification committee) have instructions, operating procedures, training to make possible the implementation of remote audits

3. Postponement of the audit

Postpone and schedule the audit to a new date for a period compatible with the certification rules specific to each situation, preserving the certificate.

- ▷ It is sometimes possible to plan the audit at a later date, respecting the constraints of the certificate. It may depend from:
 - a. accreditation rules

- b. the regulations
 - c. the specific rules of the certification program concerned
 - d. the kind of the audit concerned
 - e. of the anniversary date of the certificate...
- ▷ The rules may change and impose themselves on IS Certification, sometimes without notice.
 - ▷ IS Certification has already decided to extend the time between 2 surveillance audits from 15 to 17 months.

4. The “safety net” system (ref to PE CERTIF 02 doctrinal note 13)

A specific and derogatory procedure, in accordance with the accreditation rules and those of COFRAC, allowing in many cases to maintain or reissue a certificate for a period of 6 months, pending the completion of the audit.

- ▷ A specific and dedicated risk analysis is carried out remotely (videoconference or telephone) in order to assess the possibility and the risks associated with maintaining or renewing the certificate. It takes into account:
 - a. Effects on the company's activity (Activity and work in progress, unit or series, availability of key people for certification (quality manager, welding coordinator, production manager, CPU manager), material supplies, etc.)
 - b. Experience based on the results of previous audits and the certification history
 - c. Type and Audit Program (initial, first follow-up during a first certification cycle (Cycle 0), renewal will be subject to increased attention compared to follow-up audits, taking into account high certification criteria or no)
- ▷ The assessment (audit and risk analysis) is performed by an auditor
- ▷ The certified company receives beforehand the audit guide that the auditor will use
- ▷ The assessment determines a level of risk, and concludes with a decision taken by the Certification Commission:

- a. **Low risk:** the certificate is maintained or renewed without reservation for 6 months
- b. **Moderate risk:** the certificate is maintained or renewed for 6 months, with a monthly monitoring point (1 hour) in order to understand any developments and their impact on the initial decision
- c. **Strong risk:** the certificate cannot be maintained or renewed without a full on-site audit

5. On-site audit (ref to PE CERTIF 02, doctrinal note 13)

As a last resort and in compliance with applicable government regulations and the evolution of the situation, an on-site audit may remain possible.

- ▷ The certified company attests and confirms:
 - a. That the site and the audit will respect government health guidelines
 - b. That it undertakes to organize accommodation and catering for the auditor during his stay
 - c. That remote auditing is not an option for auditing
- ▷ In this context, and subject to acceptance by the Management of IS Certification and by an auditor, the on-site audit may take place.

This approach can only be considered as a last resort.

6. The containment exit

We are organizing ourselves for an end to confinement which we hope for in early May, while remaining cautious and reactive in the face of developments in the situation.

- ▷ We organize ourselves on the assumption of an end of the variable geography confinement in May, with a gradual resumption of French activity throughout the month

- ▶ In May, in order to accelerate the economic recovery, for now and for France:
 - a. We recommend maintaining the planned audits remotely or on site,
 - b. We modify our commercial conditions so that everyone (company, auditor, IS Certification) can freely cancel and postpone a May audit, without notice period, without motivation and without costs,
 - c. We authorize the re-scheduling of the March and April audits to audit start dates starting on May 04

- ▶ From the beginning of June inclusive, we consider for the moment that the audit activity will be able to proceed normally, and that the derogating mechanisms will be revised as necessary. Remote audits will remain recommended whenever possible.

7. Summary for your situation

General framework for accredited certification.

Contact us to validate which provisions are applicable and relevant to your specific situation.

Kind of audit	100% remote audit <i>(ref to doctrinal Note 1)</i>	Partially remote AUDIT + on-site audit within 6 months	Remote AUDIT impossible + on-site audit within 6 months <i>(derogatory mechanism during the crisis, not applicable for EN 1090-1)</i>
INITIAL	Only possible for scopes without manufacturing (Purchasing, Design)	Issuance of a certificate stating that you are committed to the process	Non applicable
1st SURVEILLANCE <i>(1st Cycle)</i>	Certificate is maintained	"Safety net": at no additional cost, the risk analysis is documented during the remote audit. It allows, pending the on-site audit, if low risk, the maintenance of the certificate for 6 months, and if moderate risk, the maintenance of the certificate for 6 months with monthly monitoring point.	"Safety net": A detailed and dedicated risk analysis is carried out remotely. It allows, while awaiting the on-site audit, if the risk is low, the maintenance of the certificate for 6 months and, if the risk is moderate, the maintenance of the certificate for 6 months with monthly monitoring point. This analysis has an extra cost
RENEWAL	Certificate is renewed	"Safety net": at no additional cost, the risk analysis is documented during the remote audit. It allows, pending the on-site audit, low risk, the edition of the certificate and if moderate risk, the edition of the certificate with monthly monitoring point. The limitation of the period of validity will be indicated in the letter of notification of the decision.	"Safety net": A detailed and dedicated risk analysis is carried out remotely. It allows, pending the on-site audit, if the risk is low, the certificate renewal for 6 months and if the risk is moderate, the certificate renewal for 6 months with monthly monitoring point. This analysis has an extra cost
SURVEILLANCE <i>(others)</i>	Certificate is maintained	Certificate is maintained	"Safety net": A detailed and dedicated risk analysis is carried out remotely. It allows, while awaiting the on-site audit, if the risk is low, the maintenance of the certificate for 6 months and, if the risk is moderate, the maintenance of the certificate for 6 months with monthly monitoring point. This analysis has an extracost.