

Remote/Virtual Audits Procedure

TAPA Standards

(TAPA EMEA)



1. Purpose:

This procedure applies to all current versions of TAPA standards in use in EMEA and provides an alternative solution to a physical on location, in-person audit of TAPA Standards. It sets forth the conditions and process to be followed for Independent Audit Body and LSP/Applicant Authorized Auditors to use a Remote /Virtual Audit process to complete and submit TAPA audits for all qualifying operations.

2. RVA Certification Audit Planning:

- a. For certification audits completed by a TAPA IAB, a feasibility assessment must be completed and approved prior to scheduling and completing the on RVA certification audit. The purpose of the assessment is to confirm the suitability of the operation for an RVA TAPA audit (see appendix A). If the assessment is considered “failed” then corrective actions must be identified and addressed before continuing with this procedure. If the feasibility assessment cannot be passed, then a physical site inspection should be considered at the earliest opportunity

b. Audit preparation

- For a new certification RVA audits (excluding self-certification). The LSP/Applicant shall complete and submit to the IAB, a self-audit to the applicable TAPA Standard and level for the operation being certified.
- For recertification RVA audits (excluding self-certification). If not already in the possession of the IAB, the LSP/Applicant shall submit previous audits and/or certification audit reports to the IAB.
- The IAB shall review the LSP/Applicant submissions/previous audits and use these to prepare for the TAPA Standard certification audit.
- For self-certification RVA audits are to be completed by a TAPA trained LSP/Applicant AA. They must have operational knowledge of the operation being certified and have assisted in the preparation for TAPA certification. No previous audit information is required to be submitted before the audit except for when this is requested by the LSP/Applicant AA.

c. A documented audit plan regarding shall be agreed with the LSP/AA and shall include: -

- The scope of the audit explaining the logistics operations and geographic area being covered
- Reference to the completed pre-audit RVA feasibility assessment and conditions for proceeding with the RVA audit are being met.
- For new and recertification RVA audits (excluding self-certification).
 - The IAB must request a tracking number from TAPA before commencing audit
- For self-certification RVA audits: -
 - The LSP/Applicant must submit a Self-Certification audit request and receive a tracking number from TAPA before commencing the audit
- Dates, times, and agenda for the RVA audit(s) are agreed and should include: -
 - Opening/closing meeting and method of video/voice comms. To be used.
 - A summary of other meetings that will be required during the audit
 - A list of areas that will be inspected in real time using mobile appropriate ICT equipment.
 - A list of information and evidence to be gathered and available on the day of the audit to include but not limited to: -

FSR, TSR and PSR

- Last LSP/Applicant self-audit report and associated actions
- Last LSP/Applicant risk assessment
- Any waivers approved in the last certification audit that will be required to be approved for the new certificate
- LEA/Emergency contact lists
- Copies of all policies and procedures that are required to be in place by the TAPA standard

FSR – Internal and external schematic that shows: -

- The IT/Data Room
- The CCTV monitoring Room

- All warehouse dock doors
- The HVC (if present)
- The office area
- Main entrance / visitor entrance
- Employee entrance(s)
- Personnel entry point(s) to warehouse
- Driver reception/cage (if present)
- Location of static and motion intrusion detectors
- Location of CCTV cameras
- Site boundaries
- Perimeter fencing
- Entry gates/points for trucks
- Guard posts if present
- Location of static and motion intrusion detectors
- Location of CCTV cameras
- Backup Generator (if present)
- Parking area for employees

FSR and PSR – Documentation, records, and compliance evidence

- System checks, service and maintenance logs for security and associated systems
- Visitor records

TSR only - Documentation, records, and compliance evidence

- Vehicle register and evidence of vehicles being inspected and meeting TSR requirements
- Pre-agreed identification of trucks and method to be used to inspect truck samples using live video capability. The auditor will direct the inspection of the trucks that are to be sampled

3. RVA Non-Certification Audit Planning:

All non-certification TAPA audits such as: -

- Annual interim self-audits
- Preparation audits
- Annual vehicle inspections

Can also utilize this RVA procedure if they follow the requirements contained in this procedure. However, these types of audits will not require a new tracking number to be issued or a feasibility assessment to be completed.

4. Auditing Process

- a. All requirements of the applicable TAPA Standards will apply. No exclusions permitted other than through the current conformance and waiver request process.
- b. The attendance of an LSP/Applicant TAPA trained Authorized Auditor on the live meetings is required. They do not have to be at the location being inspected but this is preferred where possible.

- b. The audit will be conducted using LSP/Applicant approved ICT equipment and by following instructions from the auditor.
- c. Use existing TAPA online audit tool process for recording the audit, managing SCAR's, and creating the audit report.
 Note: flexibility by the auditor and the LSP/Applicant will be expected and evidence not available on the day may be provided later using the SCAR process.
- d. An official audit report and certificate shall be issued in accordance with TAPA Standards and the TAPA Independent Audit Body Memorandum of Understanding

5. Definitions

AA	Authorized Auditor: IAB and LSP/Applicant who have attended and passed TAPA training for the version of the TAPA standard they are completing audits against.
IAB	Independent Audit Body
ICT	Information and Communication Technologies
LSP	Logistics Service Provider
LSP/Applicant AA	The LSP must have TAPA trained personnel in their organization in advance of the certification audit. They need to attend the scheduled RVA audit meetings with the IAB. They must have also had a role in the site preparation and ongoing maintaining of the certification.
RVA	Remote, Virtual Audit

6. References:

ISO 9001 Auditing Practices Group Guidance on: REMOTE AUDITS: ISO 19011:2018 AND IAF MD 4: This document provides good practical advice on what should be considered to perform RVA audits and should be referenced by LSP/Applicants and IAB's when seeking guidance for planning and performing TAPA audits using this procedure.

Summary: According to ISO 19011:2018, the feasibility of a remote audit using ICT should be considered when establishing the audit program. It is important to verify the adequacy of resources required to ensure an effective audit outcome. In its annex A.1, ISO 19011 gives several examples for the application of remote audit methods in combination with on-site methods. "Remote audits refer to the use of ICT to gather information, interview an auditee, etc., when "face-to-face" methods are not possible or desired. (ISO 19011) IAF MD 4 is a mandatory document for the use of ICT for audit/assessment purposes. It defines the rules that certification bodies and their auditors shall follow to ensure that ICT are used to optimize the efficiency and effectiveness of the audit/assessment, while supporting and maintaining the integrity of the audit process. Both ISO 19011 and IAF MD 4 should be known and considered by TAPA Authorized Auditors.

APPENDIX A

RVA Feasibility Assessment – TAPA EMEA

- The IAB AA must complete this checklist prior to agreeing with their client to perform an RVA TAPA certification audit.
- The IAB shall send a copy of the feasibility assessment to the LSP/Applicant prior to the certification audit and file a copy for record retention purposes.

LSP/Applicant Company	
Contact name	
Contact Email	
Address (audit location)	
IAB Company	
Auditor Name	
Auditor Email	
Date of Assessment	

Assessment

Ref	Requirement	Comment	Yes/ No
1	Preparation: Previous TAPA audits available in the case of recertification or new self-audits will be completed by the LSP/Applicant AA? New self-audits must be submitted to the IAB before the RVA audit commences		
2	Preparation: LSP/Applicant has TAPA trained person? RVA audit		

	cannot be completed without training requirement compliance		
3.	Preparation: LSP/Applicant confirms they have access to a copy of the RVA procedure and will cooperate with the IAB to provide all applicable information and resources to support the certification process?		
4	ICT: Equipment used during the audit understood and agreed by IAB and LSP/Applicant?		
5	ICT: RVA audio/video quality tested and acceptable?		
6	ICT: Stable internet connection between all participating locations?		
7	Mobile Audit: Access to on and off-site audit locations confirmed?		
8	Evidence: Access to all applicable policies and procedures will be available prior to and/or during audit?		
9	Evidence: Access to any records maintained as evidence and conformance to the TAPA standard available prior to and/or during audit?		
10	Evidence: Agreement on denial of access for any records that the LSP/Applicant cannot provide to audit due to privacy rules or regulations?		

11	Privacy: Default meeting position is no recording allowed or when LSP/Applicants permits. Is this understood and clarified with the LSP/Applicant?		
12	Privacy: Has the LSP/Applicant been asked to communicate any privacy concerns/conditions and has this been accepted by the IAB as having no impact on the audit process?		