

1. What is Remote Monitoring?

Remote monitoring can be defined as the monitoring of an organization's virtual or physical premises through electronic means (web-based seminars, online meetings, teleconferences, online audio and video services, remote access to the organization's data processing activities, management system, and database).

Electronic monitoring of remote sites is considered remote monitoring, even if the monitoring is physically carried out at the organization's facilities.

2. Remote monitoring can be disadvantageous in the following situations:

- ✓ If the organization has been found to have major nonconformities in the most recent audit, or if its history of nonconformities does not inspire sufficient confidence,
- ✓ If this is the organization's first certification audit, or if there are scope changes or significant changes within the organization,
- ✓ Remote monitoring is risky when on-site inspections have not been carried out for an extended period.

3. Remote monitoring can be applied in the following situations?

- ✓ In extraordinary circumstances, such as natural disasters, epidemics, or war, remote testing is mandatory.
- ✓ If the number of company sites is so large that it prevents effective inspection, or if the locations are scattered in a way that makes access difficult and would cause significant time loss, then some sites may be inspected remotely.
- ✓ If the address where the activity is carried out differs from the address where the records will be examined, the activity area can be determined on-site, while the area where the records will be accessed can be examined remotely using inspection techniques.
- ✓ Remote auditing can be performed if it is part of an audit scope or as an extension of an on-site audit.
- ✓ If the company has previously undergone a field audit, a remote audit can be conducted. Preference should be given to reassigning the previously assigned audit team that conducted the field audit.

Where there are no restrictions regarding transportation, security, or health, it is preferable for at least the code examiner to conduct the examination in the field.

4. Receiving the Remote Monitoring Request

Customers requesting remote monitoring should **submit FRM.S.188 in addition to the Application Form. The Remote Monitoring Risk Analysis Form** is completed.

5. Remote Monitoring Risk Analysis

TCS conducts a risk assessment to determine whether remote inspection techniques are suitable for the client, inspection purposes, and scope of the inspection.

Risk assessment is carried out before remote auditing (**FRM.S.188**). Remote auditing is performed using **the Remote Audit Risk Analysis Form**. The rationale for using remote auditing is stated in **FRM.S.188**. It is recorded in **the Remote Monitoring Risk Analysis Form**.

TCS, **FRM.S.188 filled out by the organization**. The remote audit committee evaluates the information provided in **the Remote Audit Risk Analysis Form to determine whether a remote audit can be conducted. Consultations are sought if necessary during the decision-making process.**

unacceptable risks for the effectiveness of the risk assessment audit process. It cannot be used if specified.

To ensure compliance is maintained throughout the certification cycle, prior to each audit, **FRM.S.188 is reviewed during the planning phase. The Remote Monitoring Risk Analysis Form** must be completed again.

HAZIRLAYAN (Yönetim Temsilcisi) Güler UÇAR	ONAYLAYAN(Genel Müdür) A.Emre Özkars
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6. Determining the Examination Date

If there are disagreements regarding the scheduled dates between the audit team and the company, the first step should be to assign a different audit team. If it is not possible to assign a different audit team, a combination of remote and on-site audits, or a single remote audit, can be performed.

7. Access and Authorization of the Investigation Team

For the audit to be effective, the company must approve applications that enable visual, real-time audio, and file sharing. Additionally, positive feedback must be received from a trial connection between the audit team and the company.

8. Preparations Organizations Need to Make Before Remote Auditing

The structure of remote audits is similar to on-site audits conducted at the organization's facilities.

If the scope is expanded, it is preferred that the code auditor conducts the audit on-site for the added activity, while other team members conduct the audit remotely. There is no on-site requirement if the scope is narrowed.

Opening and closing meetings, observation of organizational activities, and document and record review will also be carried out during remote audits. As with routine field audits, necessary preparations must be made before remote audits to ensure the audit serves its intended purpose and achieves the targeted outcomes.

In addition to preparations for on-site inspections, the organization must also make further preparations for remote inspections, such as maintaining electronic records, preparing the necessary infrastructure for remote inspections, and ensuring that technical and IT personnel are available during the inspection.

The audit team must prepare the necessary infrastructure for the remote audit. Since the remote audit is being conducted due to an extraordinary circumstance, it must be confirmed whether there have been any changes to the organization's operating hours. If necessary, the audit schedule can be revised. Similar to on-site audits, organization personnel who will support the TCS audit team must be present and accessible during the relevant part of the audit. The audit team should provide the organization with a reasonable amount of time in advance to inform them of the activity to be witnessed and the relevant personnel, allowing them to make the necessary preparations.

Senior management and administrative personnel should also be available upon request. Personnel who will not be physically present during the conformity assessment but can provide remote support from home may be sufficient to participate in the process remotely. The organization can be contacted before the audit to arrange for relevant individuals to participate remotely. Under the coordination of the team leader, the audit team should discuss amongst themselves who will review which standard clause and records during the audit.

9. Keeping the records requested by the audit team readily available.

In remote audits, time management can become even more critical than in on-site audits due to network outages, unexpected interruptions or delays, accessibility issues, etc. For a more effective remote audit, documents and records should be prepared in advance. It would be beneficial for the organization to have at least the following records readily available and to store electronic copies that can be shared electronically.

These records and documents include, but are not limited to:

For ISO 9001 audit;

Documented;

- ✓ The Organization's Context (Internal and External Considerations)
- ✓ The Organization's Stakeholders and Expectations (Internal and External Stakeholders)
- ✓ Scope and Inapplicable Clauses
- ✓ Processes and Interactions
- ✓ Records documenting the legal status of the organization (Trade Registry Gazette)
- ✓ Policies
- ✓ Organizational Structure and Roles, Responsibilities and Authorities

HAZIRLAYAN (Yönetim Temsilcisi)	ONAYLAYAN (Genel Müdür)
Güler UÇAR	A.Emre Özkars



- ✓ Documents and records related to the assessment of risks and opportunities.
- ✓ Corporate Goals / Quality Goals
- ✓ Documents and records related to Change Planning
- ✓ Equipment and materials related to the suitability of the infrastructure and working environment, as well as documentation and records regarding their maintenance.
- ✓ Documents and records relating to the conformity of monitoring and measuring equipment (calibration, verification, etc. records and certificates)
- ✓ Documents and records (training records) aimed at improving the competence and qualifications of personnel.
- ✓ Documents and records relating to the identification of internal and external communication methods.
- ✓ Lists for checking documents and records, review records, archive records (list of documents and records, list of externally sourced documents, etc.)
- ✓ Operational documents and records related to product or service planning and execution.
- ✓ Documents and records demonstrating customer relations (communication records, contracts, price quotations, etc.) are used in defining product or service terms.
- ✓ Documents and records related to customer satisfaction measurements.
- ✓ Product design records
- ✓ Documents and records created for managing externally sourced products or services (supplier lists, reviews, orders, and input controls, etc.)
- ✓ Operational documents and records related to the control of the product or service (Quality Control, etc.)
- ✓ Documents and records related to the control of non-conforming output.
- ✓ Records related to internal audit and management review.
- ✓ Corrective and remedial action documents and records.

For ISO 14001 audit;**Documented;**

- ✓ The Context of the Organization (Internal and External Considerations)
- ✓ The Organization's Stakeholders and Expectations (Internal and External Stakeholders)
- ✓ Scope
- ✓ Processes and Interactions
- ✓ Authorization documents issued by competent authorities (where applicable)
- ✓ Policies
- ✓ Organizational Structure and Roles, Responsibilities and Authorities
- ✓ Documents and records related to the assessment of risks and opportunities.
- ✓ Documents and records related to Environmental Aspects Impact Assessments,
- ✓ Documents and records related to environmental compliance obligations and assessments.
- ✓ Environmental Goals and Objectives / Planning for Achieving the Goals
- ✓ Documents and records (training records) aimed at improving the competence and qualifications of personnel.
- ✓ Documents and records relating to the identification of internal and external communication methods.
- ✓ Lists for checking documents and records, review records, archive records (documents and (list of records, list of externally sourced documents, etc.)
- ✓ Environmental operational planning and control, and documents and records created for the life cycle.
- ✓ Documents and records created for the purpose of controlling environmental conditions in the management of externally sourced products or services.
- ✓ Documents and records created to prepare for environmental emergencies (emergency plan, drill reports, etc.)
- ✓ Records related to internal audit and management review.
- ✓ Corrective and remedial action documents and records.

For ISO 45001 audit;**Documented;**

- ✓ The Context of the Organization (Internal and External Considerations)
- ✓ The Organization's Stakeholders and Expectations (Internal and External Stakeholders)

HAZIRLAYAN (Yönetim Temsilcisi)	ONAYLAYAN (Genel Müdür)
Güler UÇAR 	A.Emre Özkars 

- ✓ Scope
- ✓ Processes and Interactions
- ✓ Authorization documents issued by competent authorities (where applicable)
- ✓ Policies
- ✓ Organizational Structure and Roles, Responsibilities and Authorities
- ✓ Document records created to gather employee opinions and facilitate their participation.
- ✓ Documents and records regarding the assessment of risks and opportunities related to the Occupational Health and Safety Management System.
- ✓ Documents and records related to hazard identification and assessment of occupational health and safety risks and opportunities.
- ✓ Document records have been created to demonstrate that legal requirements and other conditions have been determined and evaluated.
- ✓ Occupational Health and Safety (OHS) Objectives and Planning for Achieving Those Objectives
- ✓ Documents and records (training records) aimed at improving the competence and qualifications of personnel.
- ✓ Documents and records relating to the identification of internal and external communication methods.
- ✓ Lists for checking documents and records, review records, archive records (documents and (list of records, list of externally sourced documents, etc.)
- ✓ Documents and records created regarding the periodic inspection and maintenance of equipment and machinery.
- ✓ Documents and records relating to environmental measurements taken for the purpose of workplace safety.
- ✓ Documents and records created for the purpose of controlling occupational health and safety conditions in the management of externally supplied products or services.
- ✓ Occupational health and safety (OHS) documents and records created to prepare for emergencies (emergency plan, drill reports, first aid, etc.)
- ✓ Records related to internal audit and management review.
- ✓ Corrective and remedial action documents and records.

For ISO 50001 audit;**Documented;**

- ✓ The Context of the Organization (Internal and External Considerations)
- ✓ The Organization's Stakeholders and Expectations (Internal and External Stakeholders)
- ✓ Scope
- ✓ Processes and Interactions
- ✓ Authorization documents issued by competent authorities (where applicable)
- ✓ Policies
- ✓ Organizational Structure and Roles, Responsibilities and Authorities
- ✓ Document records created to gather employee opinions and facilitate their participation.
- ✓ Documents and records regarding the evaluation of risks and opportunities related to the EYS Management System.
- ✓ EYS Performance Values
- ✓ Document records have been created to demonstrate that legal requirements and other conditions have been determined and evaluated.
- ✓ EYS Objectives and Planning for Achieving Those Objectives
- ✓ Documents and records (training records) aimed at improving the competence and qualifications of personnel.
- ✓ Documents and records relating to the identification of internal and external communication methods.
- ✓ Lists for checking documents and records, review records, archive records (documents and (list of records, list of externally sourced documents, etc.)
- ✓ Documents and records created regarding the periodic inspection and maintenance of equipment and machinery.
- ✓ Documents and records relating to environmental measurements taken for the purpose of workplace safety.

HAZIRLAYAN (Yönetim Temsilcisi) Güler UÇAR	ONAYLAYAN(Genel Müdür) A.Emre Özkars
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- ✓ Documents and records created for the purpose of controlling occupational health and safety conditions in the management of externally supplied products or services.
- ✓ Records related to internal audit and management review.
- ✓ Corrective and remedial action documents and records.

For ISO 27001/ISO 27701 audits;**Documented;**

- ✓ The Organization's Context (Internal and External Considerations)
- ✓ The Organization's Stakeholders and Expectations (Internal and External Stakeholders)
- ✓ Scope and Inapplicable Clauses
- ✓ Processes and Interactions
- ✓ Authorization documents issued by competent authorities (where applicable)
- ✓ Policies
- ✓ Organizational Structure and Roles, Responsibilities and Authorities
- ✓ Documents and records related to the evaluation of risks and opportunities concerning the ISMS Management System.
- ✓ Documents and records related to the assessment of information security risks and opportunities.
- ✓ Statement of Applicability
- ✓ Information Security Goals and Objectives / Planning for Achieving Goals
- ✓ Documents and records (training records) aimed at improving the competence and qualifications of personnel.
- ✓ Documents and records relating to the identification of internal and external communication methods.
- ✓ Lists for checking documents and records, review records, archive records (documents and (list of records, list of externally sourced documents, etc.)
- ✓ ISMS documents and records created for operational planning and control.
- ✓ Records related to internal audit and management review.
- ✓ Corrective and remedial action documents and records.
- ✓ Documents and records created in line with Annex A criteria.
- ✓ Documents and records created in accordance with Annex B criteria (for 27701)

During the audit, one or more techniques such as live streaming, video recording, interviews, or document review may be used.

The audit will be conducted using the specified method. Therefore, the internet connection of the section to be audited must be met.

Its suitability needs to be checked.

During remote audits, in order to better view information about the audited subject that is not available electronically but exists in printed form, such as documents or equipment information, the necessary information is requested from the organization.

The audit team may request that photographs be taken and sent. The confidentiality of the requested information is essential for the audit.

This is protected by the agreements between the team and TCS.

If, during this process, it is determined that the organization has not made the necessary preparations, the audit team will discuss the matter amongst themselves.

They should assess the situation and inform TCS.

10. Recording Part or All of the Audit

Remote audit activity is carried out using software approved by TCS. The audit team and the organization cannot record the remote audit (audio and video). However, the audit team may record screenshots of some documents they wish to include in the audit report (calibration certificate, assignment letter, device image, etc.); the recording is sent to TCS for safekeeping and subsequently deleted from the audit team's records. If the audit team needs to take screenshots during the audit, the organization must be informed and their approval obtained.

11. Information Regarding the Infrastructure to be Used in the Audit

To enable remote monitoring, it is essential to ensure that the connection quality (live video, audio, etc. transmission) is at a sufficient level. This infrastructure should include internet access with adequate bandwidth,

HAZIRLAYAN (Yönetim Temsilcisi) Güler UÇAR	ONAYLAYAN (Genel Müdür) A.Emre Özkars
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remote access to the database and management system, a sufficient number of suitable computers, and equipment for audio and video transmission (e.g., headsets with microphones to prevent echo, cameras with sufficient resolution, etc.). The organization must ensure that all competent personnel required for the remote monitoring process, including logistical and technical aspects, are accessible when requested by the monitoring team.

12. Technical Infrastructure: Microphone - Headphones – Internet

For remote interviews, meetings, and inspections, it is necessary to use a headset with a microphone. This significantly improves the quality of the conversation. Mobile applications for "Microsoft Teams" or "ZOOM," which can be downloaded to cell phones, are also available. In this case, care should be taken to stabilize the phone and use it in a way that does not compromise image quality.

13. Testing the Technical Infrastructure and Assessing the Quality of the Interview

Prior to the audit, TCS confirms the suitability of both the audit team and the organization for conducting remote audits and plans the remote audit accordingly. If doubts arise regarding feasibility during the consultation, a remote audit cannot be scheduled, or TCS may recommend that the audit team and the organization conduct a trial connection using the relevant remote meeting method before the audit. If deemed appropriate, the audit can then be scheduled remotely. On the day of the audit, additional time is needed to establish connections and ensure the parties are ready, according to the audit plan. By planning for connections to be established at least 15 minutes before the scheduled audit start time, the audit can be ensured to begin on time.

14. Preparation of the Audit Program

During emergencies, TCS plans audit operations by maintaining continuous communication with the audited organization and assessing all risks. Accordingly, if the pandemic risks at the organization level make on-site auditing impossible, a remote audit option is implemented.

The audit schedule is routinely prepared by the Team Leader, as with every audit. For the planned audit, TCS informs the Team Leader about how much of the audit time will be on-site and how much will be remote.

When preparing the audit program, the most important detail the Team Leader should pay attention to is ensuring that operational standard items requiring on-site observation and verification are included in the same program, especially if both on-site and remote audits are part of the same program. Furthermore, the auditor or technical expert involved in the audit of the relevant organization should be present during the on-site audit.

Items to be examined using the remote audit method are specified in the Audit Plan. The Stage 1 Audit Report/Audit Report identifies the items examined using the remote audit method. Items planned for remote audit in the Audit Plan but not examined during the audit are recorded in the Stage 1 Audit Report/Audit Report.

15. Opening Meeting

The opening meeting is conducted in accordance with TCS procedures. All organization personnel and audit team members attending the opening meeting must have a valid web link to join the virtual room used for the audit. If applicable, all audit team members must attend the opening meeting. Depending on the organization's technical infrastructure, organization personnel may participate in the meeting from the same screen in the same environment, or they may participate from different physical locations using the same web link. The opening meeting is led by the Team Leader, as is the case with routine audits. For the opening meeting, the Team Leader emails the **FRM.S.30 Meeting Minutes to the organization, and the organization signs the participant list at the opening.**

During remote audits, the organization conducts the audit by sharing relevant documents via screen sharing through the program used. Additionally, the audit team may request that records they wish to review be sent via email.

HAZIRLAYAN (Yönetim Temsilcisi) Güler UÇAR	ONAYLAYAN(Genel Müdür) A.Emre Özkars
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During the audit, short evaluation meetings or breaks may be scheduled at appropriate times, as decided by the Team Leader.

If, after the audit has commenced, any issues arise that cause the audit to be interrupted (technical infrastructure, connection problems, etc.), the organization's authorities must be informed, and the reason for the interruption must be recorded in a report by the audit team. Additionally, any items that could not be audited should be noted in the audit program. Following this, the next course of action will be decided in consultation with TCS (Turkish Auditing System).

16. Gathering and Communicating Audit Findings to the Team Leader

Findings (nonconformities, corrective actions, improvement opportunities, etc.) should be prepared by the remote audit team members and submitted in writing to the Team Leader in a timely manner for review and approval before closing any nonconformities for each session.

The audit report should include details of the records examined and the findings.

In the FRM.S.33 Audit Report, the "Audit Method" section should indicate that the audit was conducted remotely.

Furthermore, the Team Leader's audit report should clearly state in the "Findings Summarizing Compliance" section that the audit was conducted remotely, the processes that could not be audited remotely and needed to be audited on-site, the program used for the remote audit, confirmation of whether video recording was made, and mutual confirmation of data confidentiality and security.

This information is important for the decision-making process and subsequent audits. The organization and the audit team should do their best to verify what is heard, stated, and read throughout the assessment.

The assessment of nonconformities, renewal of the certificate, and continuation are carried out according to the procedures used in on-site evaluations in accordance with **PRS.S.08 Certification Procedure** and **PRS.S.07 Audit Procedure**.

17. Closing Meeting

The closing meeting is conducted in accordance with TCS procedures.



A closing meeting is held under the leadership of the Team Leader on the last day of the audit, or on any of the days the audit is ongoing, if deemed necessary.

Before the closing meeting begins, **the FRM.S.30 Meeting Minutes** are signed by the organization's personnel and a scanned copy is emailed to the Team Leader.

The audit team and the organization discuss any nonconformities (if any). The organization may share any unresolved issues with the audit team. Once agreement is reached, the "Nonconformities and Audit Reports" are emailed to the organization's authorized representative for signature. The authorized representative signs the nonconformities and forwards the scanned reports to the Team Leader via email.

The Team Leader, upon receiving the signed scanned documents from the organization, prints out the reports if appropriate, signs them, and returns the scanned copies to the organization. Printed copies are sent to TCS. If the Team Leader is unable to print the documents, the records are sent to TCS via email. At this stage, TCS obtains confirmation of the report's compliance (including any auditors who cannot provide a wet signature) and keeps it in its file. The report, signed or confirmed by the auditors, and any discrepancies, are then returned to the organization.

Action plans for nonconformities (root cause analysis, correction, and corrective action) must be completed by the customer within 15 days and submitted to the Team Leader for confirmation of suitability.


HAZIRLAYAN (Yönetim Temsilcisi) Güler UÇAR 	ONAYLAYAN (Genel Müdür) A.Emre Özkars 
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18. Evaluation of Remote Monitoring

Activities following the remote audit, prior to the certification decision stage, **FRM.S.170 The remote audit evaluation form** is used to assess the process by the Certification Manager. The decision-making process will not proceed until any deficiencies are addressed.

19. Related Documents

- PRS.S.08 Certification Procedure
- PRS.S.07 Examination Procedure
- FRM.S.157 Remote Audit Risk Analysis Form
- FRM.S.170 Remote Monitoring Evaluation Form
- FRM.S.57 Company Information Update Form
- FRM.S.33 Inspection Report
- FRM.S.30 Meeting Minutes

HAZIRLAYAN (Yönetim Temsilcisi)	ONAYLAYAN(Genel Müdür)
Güler UÇAR 	A.Emre Özkars 