

远程审核--疫情期间的特殊审核实施
--食品安全的持续护航
REMOTE AUDITS SOLUTIONS

2020中国（上海）食品安全与产业发展论坛

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演讲人 INTRODUCTION



Allen Li 李德昆博士

**Ph.D, Senior Certification Manager for APAC
Intertek Food 天祥亚太区食品认证总监**

2008年获得工学博士学位后，李德昆加入摩迪国际认证集团。2012年，随“摩迪国际”并入“上海天祥质量技术服务有限公司”，担任天祥集团食品部山东区经理，负责山东省食品业务线的检测、认证、审核以及培训等工作的开展。自2018年始，担任天祥食品部亚太区域的认证总监，管理天祥亚太区域的所有食品认证业务，管理天祥全球的BRCGS项目、ASC项目以及BAP项目，就天祥中国的食品安全认证进行质量管理和技术支持。

In 2008, Allen LI joined Moody International Certification Group after getting his Ph. D. In 2012, he served as Regional Manager of Food Department of Intertek China, being responsible for testing, certification, audit and training of food business lines in Shandong Province.

Since 2018, He has served as the Certification Senior Manager of Intertek Foods Asia Pacific, directly guide the food certifications in APAC, operate the projects of BRCGS, ASC, and BAP globally, and provide related supports on quality and techniques assurance to food certification work.



天祥集团简介

INTERTEK IS UNIQUELY POSITIONED TO DELIVER ATIC SOLUTIONS

质量与安全的系统保障 Systemic approach to Quality and Safety



46,000+ EMPLOYEES 员工

GLOBAL MARKET LEADER IN ASSURANCE

3,000 AUDITORS 审核员

100,000+ AUDITS 审核

100+ COUNTRIES 国家

GLOBAL MARKET LEADER IN TIC

1,000+ LABS & OFFICES
实验室 & 办公室

80+ LANGUAGES 语言



Products
产品



Trade
贸易



Resources
资源

Our Sectors

演讲内容AGENDA



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远程审核简介& 优势

Context and Benefits

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远程审核的审核实施以及审核员要求

Impact on the Audits Process and Auditors

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结语 & 讨论

Conclusion: Q&A



01

远程审核 及其 优势 CONTEXT & BENEFITS

仅供学习交流



远程审核 CONTEXT



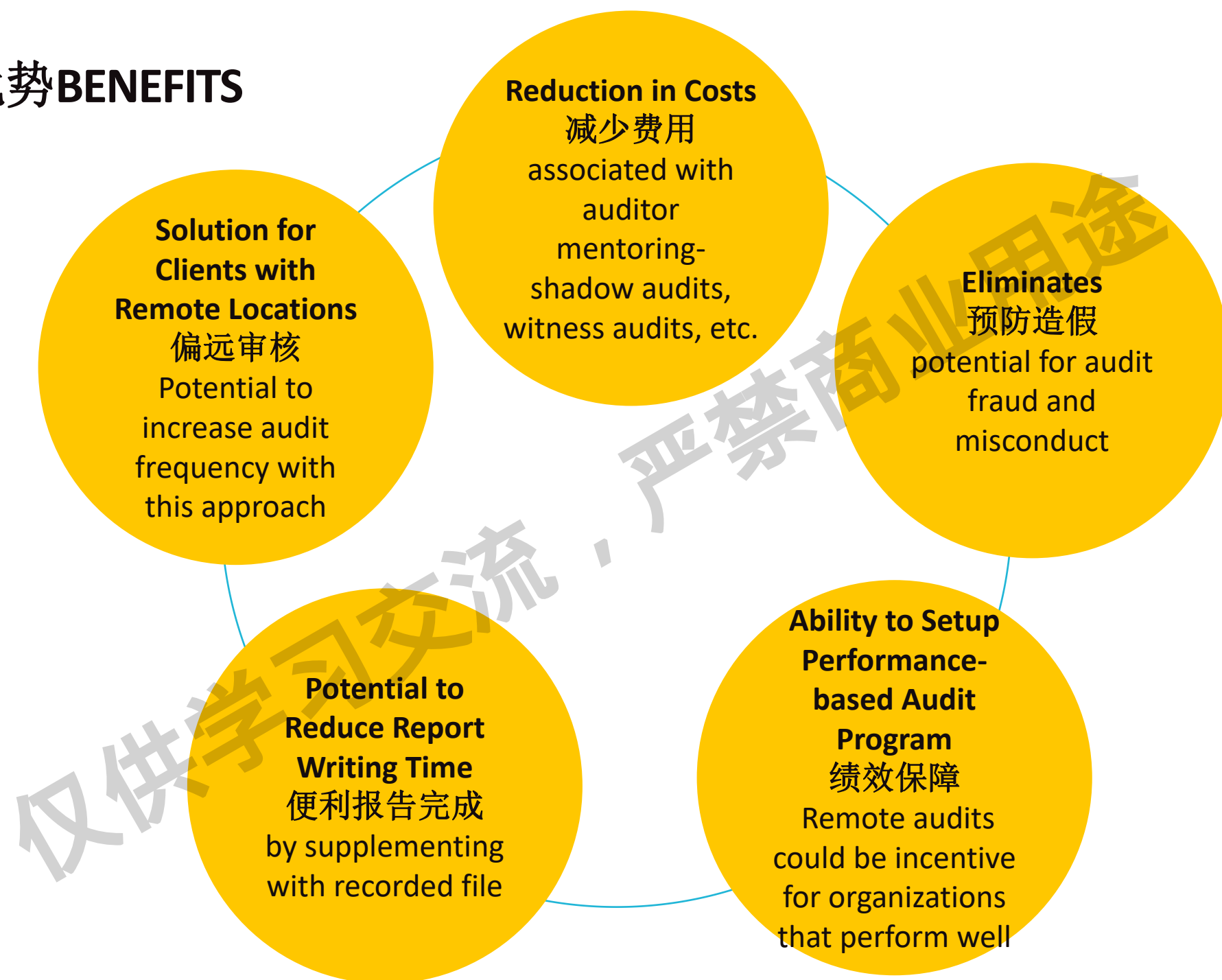
- 为了促进全球贸易并在运营中管理风险，有必要进行审核，以符合预期/法规，以确保产品和服务的质量符合宣传的要求。To facilitate global trade and manage risk in regulated environments, an audit is necessary to comply with expectations/regulations to ensure the quality of products and services are as advertised.
- 公司不仅需要审核—有时还需要频繁的审核。然而，在经济困难的时期，频繁的“现场审核”可能是昂贵的，在某些情况下是无法实现或无效的。Regulated companies not only need audits - they need frequent audits. However, in these economically challenging times, frequent on-site audits can be costly and, in some cases, ineffective.
- 因此，有了“远程或视频审核”的概念。Hence the concept of “virtual audit”- conducting an audit without being physically present at the facility under audit.

主旨 Objective: 利用信息技术，在非现场地区进行审核、评估、检查和监督。
Using technology to conduct audits, assessments, inspections and oversight from a remote location.

益处或优势 BENEFITS



益处或优势 BENEFITS



02

远程审核的审核实施
以及审核员要求

IMPACT ON THE
AUDIT PROCESS &
AUDITORS



远程审核的审核实施以及审核员要求

IMPACT ON THE AUDIT PROCESS & AUDITORS



先行实施风险评估，确认远程审核的可行性。A **risk analysis** must be conducted to check the feasibility of the remote audit. Sometimes, a remote audit is not relevant or feasible, such as the following situations:

下述情形，不能进行远程审核：

- 之前的审核中被开出太多的NC High history of noncompliances
- 无法保障远程连接Low connectivity capacity
- 首审Initial audit

The usual approach is 30% of audit time can be conducted remotely. If the remote audit exceeds 30%, a sound justification must be documented: 远程审核的占比与影响因素。下述背景下，才可以超过30%的限度：

- 疾病流行Pandemic
- 交通中断Travel bans
- 其他严重事件Other serious events



远程审核的审核实施以及审核员要求

IMPACT ON THE AUDIT PROCESS & AUDITORS

Auditor skillset 远程审核的审核员技能包:

Auditors have to be trained regarding how to conduct a remote audit.

远程信息技术应用 *How to use the **ICT** and media platform*

数据保密与安全保障 *How to manage security and confidentiality for electronic information*

客观性与全面性的保障 *How to interpret the validity and objectivity of information gathered*



远程审核的审核实施以及审核员要求

IMPACT ON THE AUDIT PROCESS & AUDITORS

审核资料Audit documentation : the “remote” approach and ICT used must be clearly described in the audit documentation (plan, program, report, ...)

审核思路Trials : Trail meetings to verify platform and security concerns are required prior to the audit in order to avoid issue

互信&配合Acknowledgment : The client must acknowledge the principle of Remote audit. It must be documented.

03

天祥集团的远程审核
工具-INVIEW

INTERTEK VIRTUAL
AUDIT PROGRAM-
INVIEW

仅供学习交流

严禁商业用途



远程审核实施方案 REMOTE AUDIT SOLUTIONS



远程眼镜
Connected
glasses



远程遥控
Drones



各具特色的远程审核系统

Today, different remote audit solutions exist, with strengths and weaknesses

直播软件
Classic Tools
(Skype, Zoom, ...)



Inview系统
Intertek Solution
INVIEW

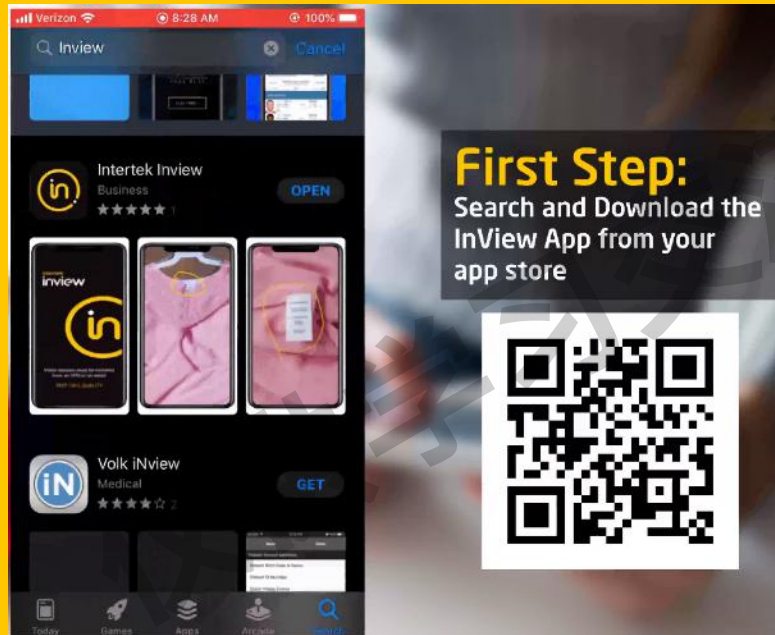


- **Inview**是天祥集团的远程审核解决方案，通过使通智能手机或其他智能设备，实现实时视频连接我们的客户和天祥集团的审核专家 **Inview is Intertek's remote auditing solution, connecting our customers with Intertek audit experts via live video, using a regular smart phone or other smart devices**
- **Inview**是一个基于**APP**的解决方案，兼容**Android**和**iOS**
Inview is an application-based solution which is compatible with **both Android and iOS**
- **Inview**的设计考虑到使用方便: 现场员工/客户通过智能设备上的**Inview**应用与天祥集团联系，并实时指导整个检查/审核过程。该应用程序有许多功能，将有助于简化过程 **Inview has been designed with ease of use in mind: onsite staff/customers connect with Intertek through the Inview App (available in the Intertek App store) on their smart device and are guided through the entire inspection/audit process in real time. The App has plenty of features which will help facilitate the process**



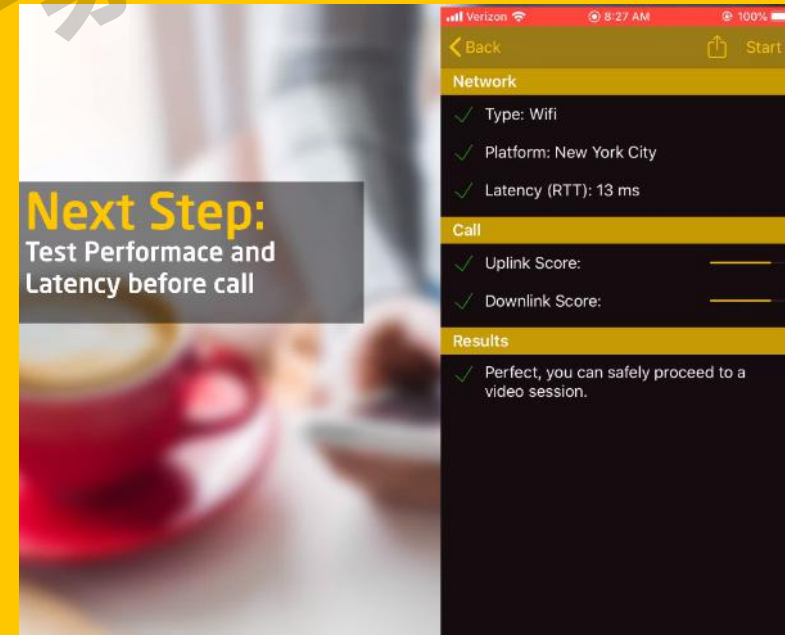
Step 1 : 下载App download the App

The Intertek InView app can be found in the iTunes Store and in the Google Play store.



Step 2 : 安装测试Test

Before you start your audit, you should test the app.





Step 3 :肩套准备the “harness”

Intertek will send the harness to the onsite participant. This way, the onsite participant can attach their phone to the holster, offering an easy, hands-free remote audit.



Step 4 :合作审核audit session

The offsite Intertek auditor will initiate the audit session to the onsite participant.

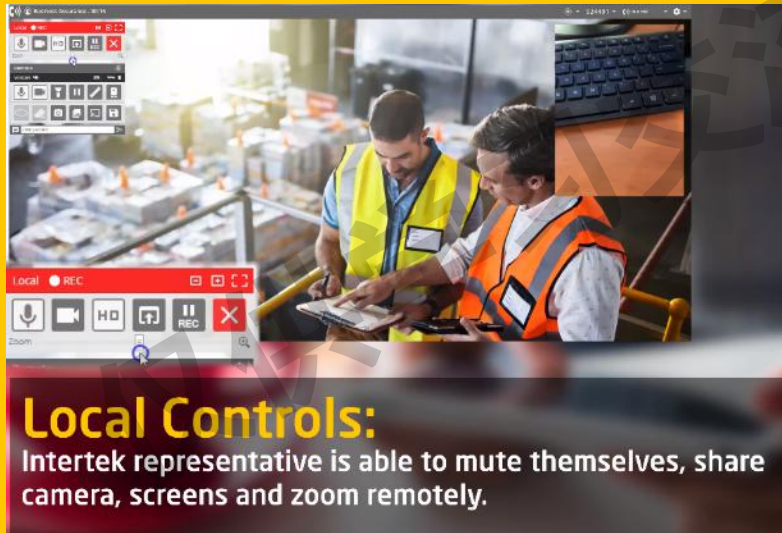


Initiating session:

The session is initiated by an Intertek representative to the onsite personnel via email or SMS

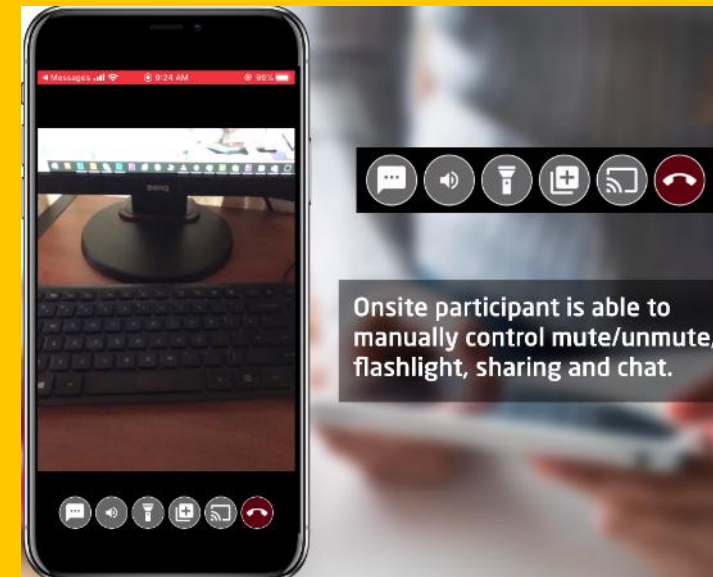
Step 5 :多种功能App functions

Although the camera is affixed to the offsite participant using the Intertek holster, the offsite Intertek auditor is able to control the camera, share the screens, mute, record, and control several other functions remotely.



Step 6 : 现场控制

The onsite participant can also control the app, including the mute function, chat capabilities, volume, and even the flashlight





我们可以在世界任何地方提供远程审核 **WE CAN DELIVER AUDITS REMOTELY, ANYWHERE IN THE WORLD**

Inview is Intertek's state-of-the-art remote auditing solution. Designed with ease of use in mind.

- 全球审核团队的快速响应，确保最快的审核安排与结案出证 Immediate access to our global team of auditors, ensuring fastest possible turnaround times
- 不需任何其他软件 No requirement for extra hardware

Inview for the Food Distribution & Processing Industry

- 促进工厂和仓库的快速重新开业; 可以在多个地点和国家同时应用 Facilitates the fast re-opening of factories & warehouses; can be delivered across multiple sites & countries in parallel
- 可用于各类二方审核，以及获得认可的三方审核 Inview can be used for any unaccredited or second party audit programme and many accredited programmes.



04

结语与讨论
CONCLUSION
Q&A

仅供学习交流



远程审核 – 益处 REMOTE AUDIT SOLUTIONS – BENEFITS



Business Continuity

Audits can still take place regardless of threats such as extreme weather or terrorism

保障运营

Cost Reduction

Reduction in costs associated with audits including travel expenses and auditor mentoring

降低成本费用

Audit Frequency

Potential for increased audit frequency for clients with remote locations

便利审核频度

Time Efficient

Eliminate travel time, increase audit frequency, and reduce report writing time

省时高效

仅供学习交流！严禁商业用途



intertek

MAKING THE WORLD EVER BETTER *Together*

intertek

Total Quality. Assured.