

**Draft specification form for proposed standards****I. General information**

Submitted by (Country or Organization)	IPPC Contracting Party
IPPC Official Contact Point or RPPO	Canada
Supported by	IPPC Contracting Party
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2. Standard information

Title	Annex to ISPM 47(Audit in the phytosanitary context) on Remote Audits
Reasons	Reason for the annex to the standard
Provide the reason	Audits are important tools to evaluate whether a specific phytosanitary system or procedure conforms with the requirements set by the auditing national plant protection organization (NPPO). New technology has allowed contracting parties to conduct remote audits when in-person audits are not possible due to travel restrictions, emergency situations, financial constraints or availability of experts. Remote auditing while presenting some challenges, can offer significant benefits to contracting parties whilst also providing an appropriate level of oversight. Remote audits can also ensure continuity of audit related activities when physical visits are not practical or possible. In addition, remote audits can provide flexibility in achieving audit objectives and the ability to have additional experts participate
Scope	The annex to ISPM 47 covers remote audits in the phytosanitary context conducted by a NPPO in its own territory, or with and in the territory of another NPPO. It also covers remote audits conducted by entities that have been authorized by the NPPO to conduct audits on its behalf.
Purpose	The proposed annex to ISPM 47 would aim to secure a common approach to remote audits, including audits of entities other than NPPOs, thereby increasing trust and facilitating understanding among contracting parties and trading partners.
Task	(1) Review current best practices, examples and approaches for remote audits including hybrid/partial remote audits where only some parts of an audit are conducted remotely (e.g., multi day audits). (2) Describe what a remote audit is and when it may be used in

	<p>lieu of an in-person audit</p> <p>(3) Identify risks, opportunities and limitations of using remote audit techniques and technologies</p> <p>(4) Identify examples/lists of activities and processes that could be audited remotely</p> <p>(5) Describe different processes and procedures for conducting remote audits</p> <p>(6) List the responsibilities of the auditor and auditee for remote audits (including security, equipment etc.)</p> <p>(7) Consider the regulatory or legal framework required for remote audits</p> <p>(8) Consider whether the Annex could affect in a specific way (positively or negatively) the protection of biodiversity and the environment. If this is the case, the impact should be identified, clarified and addressed in the draft Annex.</p> <p>(9) Consider implementation of the Annex by contracting parties and identify potential operational and technical implementation issues. Provide information and possible recommendations on these issues to the Standards Committee (SC).</p>
Expertise	<p>Five to seven experts with a wide knowledge and experience in audits for plant products and other regulated articles with at least 2 of the experts having experience with remote auditing. In addition, one expert from an organization more experienced in the development of remote audit guidance (CODEX, OECD, or ISO).</p>
References	<p>The IPPC, relevant ISPMs and other national, regional and international standards and agreements as may be applicable to the tasks, and discussion papers submitted in relation to this work.</p> <p>ISPM 47 – Audit in the phytosanitary context</p> <p>ISPM 45 – Requirements for national plant protection organizations if authorizing entities to perform phytosanitary actions</p> <p>ISO 9001 Auditing Practices Group Guidance on Remote Audits (Edition 1)</p> <p>Guidelines for auditing management systems (ISO 19011:2018 (E) (AnnexA))</p> <p>IAF mandatory document for the use of information and communication technology (ICT) for auditing/assessment purposes - Issue 2, version 2 (IAF MD 4:2018)</p> <p>CCFICS CL - Proposed draft principles and guidelines on the use of remote audit and inspection in regulatory frameworks (CL 2023/50/OCS-FICS)</p>