

Guidelines for Remote Audits/Inspections

1.1 Purpose

1.1.1 The Guidelines provide implementation requirements and application procedures from CCS for remote audits/inspections based on relevant requirements of CCS Certification Rules and Guidelines. Detailed requirements for implementing remote audits/inspections for applicable audits/inspections are specified in the Guidelines, which may be used as guidance documents for CCS auditors/inspectors, shipping companies and officers on board to carry out remote audits/inspections.

1.2 Scope of application

1.2.1 The Guidelines apply to the following remote audits/inspections of CCS-certificated ships under the approval of the authority of the flag State (unless otherwise specified by the competent authority)

which CCS auditors/inspectors are unable to board the ship or audit at the company's site due to epidemic outbreak, natural disaster, warfare, port restrictions, some mobile platforms operate in the open sea for a long time, etc.: DOC audit for companies, interim audit/inspection for vessels, additional audit after degradation due to serious non-conformity or some items change in the certificates.

1.2.2 Notwithstanding the above 1.2.1,

It is still necessary for CCS to conduct case assessment and judgment for remote audits/inspections, ask PSC / FSC for approval if necessary.

1.2.3 The ship intermediate audits/inspections and above scope generally cannot be carried out remotely.

1.2.4 If the applicant makes a remote audits/inspections request other than that described in 1.2.1 to 1.2.3 of this Chapter, CCS will take a case-by-case evaluation to decide whether it is feasible.

1.3 Definitions

1.3.1 Remote audit means a method of obtaining the process or audit process information equivalent to that obtained from site audit by applying digital and mobile internet technologies so as to realize audit without auditor's/inspector's attendance.

1.3.2 Audit process information means contents of electronic documentation or livestreaming which can reflect condition of management system operation. In general, audit process information is transferred by digital and internet technologies, provide basis for the auditor / inspector of remote audit to judge whether the system operates effectively and issue or endorse certificate. Electronic audit documentation may include audit photos, videos, document and information as well as statements of shipmaster or the chief engineer, etc.

1.3.3 UAV means unmanned aerial vehicle which is maneuvered by wireless remote control equipment and self-provided program remote control device, controlled by a flight controller or pilot and can be used

to collect audit process information.

1.3.4 Intelligent remote glasses mean wearable glasses which have integrated intelligent functions such as video and image shooting and livestreaming, etc. and can be used to collect audit process information.

1.3.5 Livestreaming mobile application (APP) means application service using digital and internet technologies to realize synchronous transfer of audio and video. CCS recommends to use Apps such as “WeChat”, “WhatsApp” or “Skype” to carry out livestreaming for remote audit.

1.4 General requirements

1.4.1 Remote audit is an alternative to site audit. Implementation of remote audit should ensure to obtain process or audit process information equivalent to that obtained in site audit. The audit plan (if applicable), opening and closing meeting (if applicable) shall not be omitted.

1.4.2 When implementing remote audit, if the competent authority of flag state or port state provides otherwise, corresponding requirements shall be met.

1.4.3 Implementation of remote audit is not to influence other requirements of CCS Certification Rules, guidelines, procedure documents and instructions.

1.4.4 The applicants are responsible for ensuring to provide authentic and accurate information relating to remote audit and therefore

undertake corresponding legal and economic responsibilities. CCS is entitled to terminate the remote audit for any ship that provided false audit process information, and to withdraw audit conclusion and/or revoke relevant certificate for any cheat or fraud behavior found during remote audit.

1.4.5 If the implementation conditions cannot be met during the remote audit, auditor / inspector has the right to terminate remote audit.

1.4.6 If the auditor / inspector performing the remote audit thinks it is necessary to confirm the items in the next site audit, provide memo information to auditors / inspectors for subsequent on-site audit with following our internal procedures.

1.4.7 When auditing remotely, some business information is transmitted through the public network system, and there is a risk of being stolen by lawbreakers, CCS will not bear the loss caused to the applicant.

1.5 Collection and delivery of information during the audit process

1.5.1 The company should have a connectable Internet, and the ship is to have access to satellite communication or 3G/4G/5G network for real-time video calls or transmitting of remote audit process information. The company is to carry out network test on board ship in advance to ensure smooth implementation of remote audit.

1.5.2 Collection of information during the audit process

(1) The auditee can use such smart mobile devices such as smartphones,

tablet computers and smart remote glasses, etc., or use scanners, digital cameras or video cameras, drones and other devices to collect audit process information;

(2) The company / ship is to be provided with a computer with a video call mobile application (APP), smart mobile device installed, and an available account. So that real-time video calls provide information about the audit process

(3) The auditee is to be able to take effective measures to ensure the quality of the information in the audit process and ensure implementation of remote survey by the surveyor based on such information. The location of the real-time video call should have enough light to clearly reflect the audit process and details. The video and call process are clear and coherent. The photo should clearly reflect the condition and defect level of the hull structure and equipment. Reflect the necessary test or operation process.

(4) The network should be tested in advance between the auditee and the auditor/inspector to ensure smooth implementation of remote audit.

1.5.3 Delivery of information during the audit process

(1) Required electronic documents for remote audit are to be in a format accepted by both parties;

(2) Use e-mail or in the manner agreed with the auditor, but attention is

to be paid to the integrity and safety of information delivery.

1.5.4 During collection and delivery of audit process information, the auditee is to consider the restrictions on the use of electronic equipment or internet by the shipping company's safety management system or the port of call, such as the explosion-proof requirements for electronic equipment used in the spaces where audit is intended to be carried out.

1.6 Audit procedures

1.6.1 The ship's remote audit of the Society is carried out by the branch or office nearest to the ship. If necessary, the ship's client manager unit provides support or performs the remote audit. The remote audit of the company is carried out by the jurisdictional branch or office.

1.6.2 Before planning to implement remote audit, CCS shall contact the applicant to understand the audit items, the company's shore-based management of the ship and the actual ship situation, and confirm whether it has the conditions to implement remote audit. The branch shall report to the headquarters for permit and then ask the flag state authority for approval, if the conditions for remote review are met.

1.6.3 The auditor/ inspector will obtain further detailed information from the applicant if a remote audit is accepted, including information of the audit contact, ship's contact person and ship's position with the applicant, expecting date and time for the remote audit (time zone needs to be specified), the E-mail address to receive e-certificates or

documents, etc., establish the first and last meeting participants video conference groups / groups according to the audit plan (when applicable), put forward specific remote audit requirements according to the Guidelines in the meantime.

1.6.4 Before the remote audit, the leader auditor should request the shipping company to provide relevant documents, videos, photos, and scanned materials, such as SMS documents, internal audit report, management review records; Ship conditions, Emergency critical equipment inspection tests, drills and other videos (taken within a month); Scans of statutory records (such as navigation logs, engine logs, oil record books), drill records, PSC inspection records, etc. for pre-audit in accordance with the instructions, audit report, on-site checklist, and list of archived documents. The company should sort out the above documents and add remarks if necessary to ensure that the documents are complete and legible.

1.6.5 When the pre-audit is passed, the applicant is notified to cooperate with the auditor / inspector to conduct a remote audit in accordance with the requirements of this guideline at the appointed date and time.

(1) The real-time video call is preferred during the remote audit. After the auditee and the auditor realize the video connection, the audit process information is collected in real time as required by the auditor;

(2) If it is difficult to make a real-time video call due to poor network

connection, etc., referring to the on-site checklist, the auditors /inspectors may request the auditee to complete the corresponding inspection and confirmation, and obtain the audit process information reflecting the operating status of the ship system and related to the audit process. However, when the auditor deems it necessary, it should still be assisted by real-time video calling.

1.6.6 The auditor / inspector reviews the audit process information obtained from the applicant and requests the applicant to supplement it if necessary, until it can make an assessment and judgment on the system operation status and draw an audit conclusion

1.6.7 After the audit is completed, the auditor verifies that the applicable documents provided by the applicant are correct and valid, issues / endorse the corresponding certificate and / or report in accordance with CCS procedures and instructions, and states in the audit report that it has been carried out remote audit with the approval of the flag State Administration. Uploading and archiving documents in SSMIS2018 is as same as the on-site audit. The auditing unit shall set up a special hard disk to store the information of the remote auditing audit process or follow the branch archives regulations.