

Risk Assessment of GFA Certification GmbH concerning options to replace on-site audits by remote audits due to the coronavirus COVID 19

Risk assessment related to replacement of on-site audits by desk audits COVID 19 (global without China)

Date	Source	Risk declaration
16.03.2020	WHO Corona Virus Report 55	Very high health risk at global scale
16.03.2020	RKI Risikobewertung	High health risk regions in Italy, Spain, France, Germany, Austria, USA, South Korea, China, Iran
16.03.2020	John Hopkins University	High and fast rising number of infections in China, Iran, South Korea, USA, Italy, Germany, France, Switzerland, Spain and many more European countries.
16.03.2020	German Ministry of foreign affairs	Global travel warning for not necessary travels, reference to fast changing and rising travel restrictions.
16.03.2020	IATA immigration travel information	Special immigration rules and restrictions in more than 100 countries, situation is changing constantly and rapidly.
16.03.2020	International press	Many countries have immigration stops (USA, many European countries, Vietnam, others), situation is becoming worse fast, many scientists and politicians recommend social distancing to reduce the speed of spreading COVID 19, many countries including Germany close public and private places.
16.03.2020	GFA emails	Many CHs cancel the audit as they stopped operations or do homeoffice or are afraid that external visitor will bring infection cases to their companies, many companies restricted the access for any external people to their premises.
16.03.2020	Conclusion	The health situation and travel restrictions applied in the EU, Switzerland and the USA do not allow traveling and on-site auditing. GFA will switch to desk based audits in these areas for all cases not exempted by SSP_PRO_Desk_Audits until further notice . For all other regions individual evaluations of the conditions will be conducted. This is permitted by FSC_DER_2020_001 18.03.2020 .
23.03.2020	Updated sources above	No significant changes to situation, some more countries closed borders for non-residents (e.g. Chile, Costa Rica). Conclusion maintained.
01.04.2020	Updated sources above	No significant changes to situation, RKI excluded China from international risk areas, IATA reports almost every country having immigration restrictions, many countries do not allow foreigners to enter at all without 14 days quarantine. "Lock downs" in Germany and many other countries. Conclusion maintained.
07.04.2020	Updated sources above	No significant changes to situation, RKI added Netherlands, UK and Ireland to international risk areas, Germany still entire country as risk area, IATA reports almost every country having immigration restrictions, many countries do not allow foreigners to enter at all without 14 days quarantine. Russia raised April as payed leave month. Number of infections globally still raising significantly. "Lock downs" in Germany and many other countries. Conclusion maintained.

13.04.2020	Updated sources above	<p>RKI withdrew the identification process for international/national risk areas on 10.04.2020 as there is global risk due to the fact that more than 200 countries are affected, the risk of becoming infected is at global scale, IATA reports almost every country having immigration restrictions, many countries do not allow foreigners to enter at all without 14 days quarantine. Number of infections globally still raising significantly. "Lock downs" in Germany and many other countries.</p> <p>Conclusion maintained.</p>
19.04.2020	Updated sources above	<p>RKI changed documentation to Situation Report where the risk for German population is considered to be high to very high and international risk areas are no longer differentiated as there is currently a global risk for acquiring COVID19. WHO still calls very high risk at global level. IATA travel restriction report unchanged. Number of infections globally still raising significantly. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations.</p> <p>Conclusion maintained.</p>
27.04.2020	Updated sources above	<p>RKI judges the risk for German population is considered to be high to very high and international risk areas are no longer differentiated as there is currently a global risk for acquiring COVID19. WHO still calls very high risk at global level. IATA travel restriction report unchanged. Number of infections globally still raising significantly. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations. "Lock downs" in Germany and many other countries.</p> <p>Conclusion maintained.</p>
04.05.2020	Updated sources above	<p>RKI judges the risk for German population is considered to be high to very high and international risk areas are no longer differentiated as there is currently a global risk for acquiring COVID19. WHO daily situation reports still show global emergency situation which is not under control. IATA travel restriction report unchanged. John Hopkins Institute Dashboard shows that number of infections globally still raising significantly. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations which was already extended to Mid of June 2020. "Lock downs" in Germany and many other countries.</p> <p>Conclusion maintained.</p>
11.05.2020	Updated sources above	<p>RKI judges the risk for German population is considered to be high to very high and international risk areas are no longer differentiated as there is currently a global risk for acquiring COVID19. WHO daily situation reports still show global emergency situation which is not under control. IATA travel restriction report unchanged. John Hopkins Institute Dashboard shows that number of infections globally still raising significantly. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations which was already extended to Mid of</p>

		<p>June 2020. "Lock downs" in Germany and many other countries however slight ease in requirements visible in some countries (France, Spain, Germany,.....) but unclear how spreading of corona virus will be impacted.</p> <p>Conclusion maintained.</p>
19.05.2020	Updated sources above	<p>RKI despite decreasing infection and death rates in Germany still judges the risk for German population as considered to be high to very high (for risk groups) and recommends to minimize contacts in private and professional life as much as possible. WHO still reports strong increase in infections and death globally, several trials of treatments against COVID19 are tested but not proven to be effective, new IATA interactive map show that almost all countries worldwide have either totally restrictive or partially restrictive travel restrictions which may change quickly, John Hopkins Institute Dashboard shows that number of infections globally still raising significantly. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations which was already extended to Mid of June 2020. "Lock downs" in Germany and many other countries however slight ease in requirements visible in some countries (France, Spain, Germany,.....) but unclear how spreading of corona virus will be impacted.</p> <p>Conclusion maintained.</p>
25.05.2020	Updated sources above	<p>RKI despite decreasing infection and death rates in Germany still judges the risk for German population as considered to be high to very high (for risk groups) and recommends to minimize contacts in private and professional life as much as possible. Restaurants may open again in Germany under strict hygiene rules. WHO still reports strong increase in infections and death globally, several trials of treatments against COVID19 are tested but not proven to be effective, new IATA interactive map show that almost all countries worldwide have either totally restrictive or partially restrictive travel restrictions which may change quickly, John Hopkins Institute Dashboard shows that number of infections globally still raising significantly. Situation in Germany improves in comparison to many other European countries, USA still huge increase in infection and death rates. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations which was already extended to Mid of June 2020. Social distancing rules in Germany and many other countries however slight ease in requirements visible in some countries (France, Spain, Germany,.....) but unclear how spreading of corona virus will be impacted. Restaurants may open again in Germany under strict hygiene rules. Individual outbreaks due to restaurant visits or church gatherings.</p> <p>General conclusion from 16.03.20 maintained. In case of mutual agreements between Certificate Holders and GFA Auditors, on-site audits may be conducted in Germany under strict</p>

		adherence to the current hygiene and behavior rules.
02.06.2020	Updated sources above	<p>RKI: "At the global and the national level, the situation is very dynamic and must be taken seriously. The number of newly reported cases is decreasing. The RKI currently assesses the risk to the health of the German population overall as high and as very high for risk groups." WHO still reports strong increase in infections and death globally. IATA interactive map show that almost all countries worldwide have either totally restrictive or partially restrictive travel restrictions which may change quickly. John Hopkins Institute Dashboard shows that number of infections globally still raising significantly. Situation in Germany improves in comparison to many other European countries, USA still huge increase in infection and death rates. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations which was already extended to Mid of June 2020. Social distancing rules in Germany and many other countries however slight ease in requirements visible in some countries (France, Spain, Germany,.....) but unclear how spreading of corona virus will be impacted. Restaurants may open again in Germany under strict hygiene rules. Individual outbreaks due to restaurant visits or church gatherings.</p> <p>General conclusion from 16.03.20 maintained. In case of mutual agreements between Certificate Holders and GFA Auditors, on-site audits may be conducted in Germany under strict adherence to the current hygiene and behavior rules.</p>
08.06.2020	Updated sources above	<p>RKI: "At the global and the national level, the situation is very dynamic and must be taken seriously. The number of newly reported cases is decreasing. The RKI currently assesses the risk to the health of the German population overall as high and as very high for risk groups." RKI reports larger individual outbreaks in 4 cities. Rules of social distancing still apply in Germany, but infection cases re decreasing despite of lifting of some measures. WHO still reports strong increase in infections and death globally. GFA key markets apart from China still belong to areas with medium to very strong infection rates, IATA interactive map show that almost all countries worldwide have either totally restrictive or partially restrictive travel restrictions which may change quickly. John Hopkins Institute Dashboard shows that number of infections globally still raising significantly. Situation in Germany improves in comparison to many other European countries, USA still huge increase in infection and death rates. German Auswärtiges Amt still calls out a global travel security warning referring to unpredictable und constantly changing situations which was already extended to Mid of June 2020. Plans announced to lift travel warning within EU from 15.06.2020. Social distancing rules in</p>

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15.06.2020	Updated sources above	<p>RKI: "At the global and the national level, the situation is very dynamic and must be taken seriously. The number of newly reported cases is decreasing. The RKI currently assesses the risk to the health of the German population overall as high and as very high for risk groups." RKI reports larger individual outbreaks in several states, including meat processing plants, logistics companies, seasonal harvesting workers, religious events and family gatherings. Rules of social distancing still apply in Germany, but infection cases decreasing despite of lifting of some measures. WHO still reports strong increase in infections and death globally. GFA key markets apart from China still belong to areas with medium to very strong infection rates, WHO and media report new Coronavirus outbreak on a market in Beijing, IATA interactive map show that almost all countries worldwide have either totally restrictive or partially restrictive travel restrictions which may change quickly. John Hopkins Institute Dashboard shows that number of infections globally still raising significantly. Situation in Germany and other European countries improves, USA, Brazil, Russia, India, UK are heavily impacted, many Latinamerican countries are heavily impacted, German Auswaertiges Amt lifts travel warning for some European countries (excluding Spain, Skandinavian Countries, UK/Ireland but extends travel warning for all other countries until 31.08.2020, Social distancing rules in Germany and many other countries however slight ease in requirements visible in some countries (France, Spain, Germany,.....) but unclear how spreading of corona virus will be impacted. Restaurants may open again in Germany under strict hygiene rules.</p> <p>General conclusion from 16.03.20 maintained. In case of mutual agreements between Certificate Holders and GFA Auditors, on-site audits may be conducted in Germany and other European countries under strict adherence to the current hygiene and behavior rules.</p>
23.06.2020	Updated sources above	<p>RKI: Situation unchanged. WHO: Situation unchanged. IATA: Situation unchanged. John Hopkins University: Situation unchanged. German Auswaertiges Amt: Situation unchanged. Still social distancing rule in Germany and other countries applicable. New individual outbreaks reported in press media and by RKI (e.g. Meat Processing Plant Tönnies with more than 1.500 new cases).</p>

		General conclusion from 16.03.20 maintained. In case of mutual agreements between Certificate Holders and GFA Auditors, on-site audits may be conducted in Germany and other European countries under strict adherence to the current hygiene and behavior rules.
30.06.2020	Updated sources above	RKI: Situation unchanged. WHO: Situation unchanged. IATA: Situation unchanged. John Hopkins University: Situation unchanged. German Auswaertiges Amt: Situation unchanged. Still social distancing rule in Germany and other countries applicable. New individual outbreaks reported in press media and by RKI (e.g. refugee camps, nurseries, meat processing plants). General conclusion from 16.03.20 maintained. In case of mutual agreements between Certificate Holders and GFA Auditors, on-site audits may be conducted in Germany and other European countries under strict adherence to the current hygiene and behavior rules.

Risk assessment related to replacement of on-site audits by desk audits COVID 19 (China)

	Source	Risk declaration
04.02.2020	WHO Corona Virus Report 15	Very high health risk China
04.02.2020	German Auswärtiges Amt: IN_COM_China_Reise- und Sicherheitshinweise_2020_02-04_China	Travel restrictions in Wuhei, Hubei, Wenzhou, Taizhou and Hangzhou and in the province Zhejiang, other provinces, situation changes rapidly, strong travel barriers inside China
04.02.2020	Emails and further evidence provided by local partner	Strong health risk, travel barriers inside China
04.02.2020	Conclusion	As desk audits are permitted for China in case of low risk audit situations in China (FSC_DER_2020_001 30.01.2020), GFA decided to conduct low risk surveillance audits as desk audits in case health risks or travel restrictions are in place.
11.02.2020	Updated sources above	No change of situation Conclusion maintained.
18.02.2020	Updated sources above	No change of situation Conclusion maintained.
25.02.2020	Updated sources above	No change of situation Conclusion maintained.
03.03.2020	Updated sources above	No change of situation Conclusion maintained.
10.03.2020	Updated sources above	No change of general situation, local partner reported that in some provinces the situation improves gradually, some internal travel restrictions lifted. Conclusion maintained. On-site audits to be conducted where possible.

16.03.2020	Updated sources above	No change of general situation, local partner reported that in some provinces the situation improves gradually; some internal travel restrictions lifted. Conclusion maintained. On-site audits to be conducted where possible.
23.03.2020	Updated sources above	No change of general situation, local partner reported that in some provinces the situation improves gradually, regional traveling of Chinese auditors partially possible Conclusion maintained. On-site audits to be conducted where possible.
01.04.2020	Updated sources above RKI Risikobewertung 01.04.2020, https://www.china-briefing.com/new	RKI took China from the list of risk areas, John_Hopkins and international press report low new infection rates, still travel restrictions in place for some areas, many provinces put people from overseas or people coming or returning from other provinces into 7 – 14 days quarantine. General conclusion maintained. On-site audits to be conducted where possible.
07.04.2020	Updated sources above	John_Hopkins and international press report low new infection rates for China, still travel restrictions in place for some areas. Traveling in several provinces is possible, but crossing borders between provinces leads to 7-14 days quarantine. General conclusion maintained. On-site audits to be conducted where possible.
13.04.2020	Updated sources above	John_Hopkins and international press report low new infection rates for China, still travel restrictions in place for some areas. Traveling in several provinces is possible, but crossing borders between provinces leads to 7-14 days quarantine. General conclusion maintained. On-site audits to be conducted where possible.
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25.05.2020	Updated sources above	John_Hopkins and international press report low new infection rates for China, still travel restrictions in place for some areas. Traveling in several provinces is possible, but crossing borders between some few provinces still leads to 7-14 days quarantine. General conclusion maintained. On-site audits to be conducted where possible.
02.06.2020	Updated sources above	John_Hopkins and international press report low new infection rates for China, still travel restrictions in place for some areas. Traveling in several provinces is possible, but crossing borders between some few provinces still leads to 7-14 days quarantine. On-site audits to be conducted where possible. Each Desk Audit needs individual derogation.
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15.06.2020	Updated sources above	John_Hopkins and international press report low new infection rates for China, still travel restrictions in place for some areas. New small corona outbreak in Beijing on a market reported, some districts in Beijing under quarantine, traveling in several provinces is possible, but crossing borders between some few provinces still leads to 7-14 days quarantine. On-site audits to be conducted where possible. Each Desk Audit needs individual derogation.
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