DQS UL IN DIALOG

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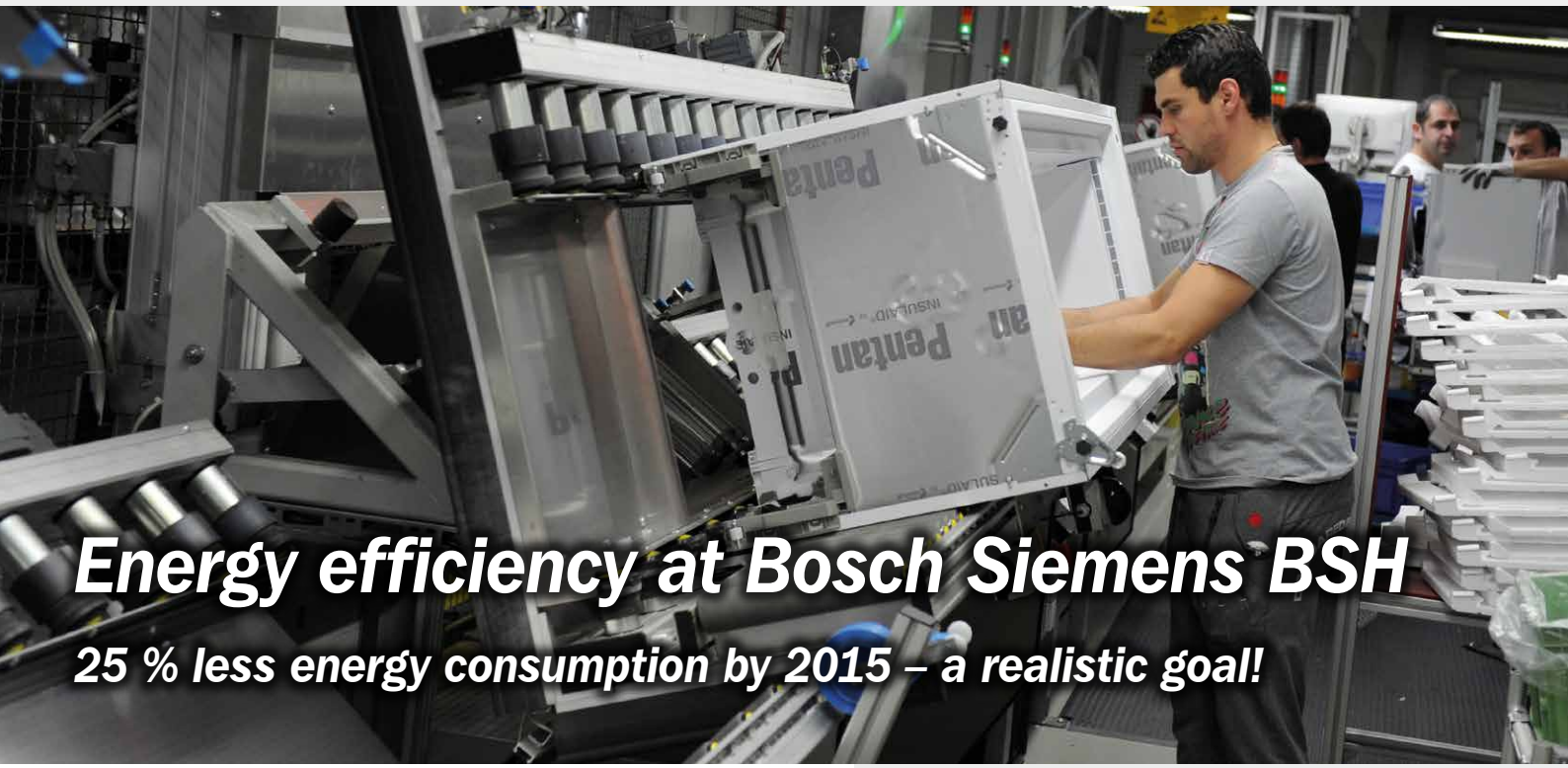

Energy efficiency at Bosch Siemens BSH

25 % less energy consumption by 2015 – a realistic goal!

Protecting the environment and the climate has been part and parcel of the corporate policy of Europe's largest manufacturer of home appliances – BSH in Munich - for a long time already. The company focuses its production policy on environment-friendly appliances that consistently save energy as well as water. Know-how transfer within BSH group has allowed the company to set benchmarks for environmental protection world-wide, and the commitment to the principle of sustainability bears witness to responsible handling of resources.
The latest activity in the area of "sustainability" has been the implementation of an energy management system according to ISO 50001, with its subsequent assessment and certification by DQS at the headquarters in Munich and sites in Traunreut, Bretten and Nauen (all Germany). All of the German sites of BSH already operate a certified, integrated management system to ISO 9001 and ISO 14001. It was especially the company-wide implementation of an environmental management system that provided an excellent basis for the introduction of an energy management system at BSH; because it meant that essential structures had already been prepared. Working with this system allows for efficient and resource-conserving production. With the certified energy management system, sustainability has achieved a new impetus at BSH.

Energy savings: employees as a success factor

Early in 2008, the project of "Energy Efficiency Initiative Traunreut" commenced, with a focus on motivating employees to accept responsibility for the environment and society, especially through serious

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energy savings in the production area. At the same time, this helps to reduce the cost of manufacture. The project was implemented at the same time as the group-wide resource efficiency program with its superordinate objectives. In both cases, the establishment of a continual improvement process for energy efficiency was identified as a quintessential prerequisite; at least as important was a fundamental change in the attitude of employees handling energy. A specific BSH goal provided incentive: the reduction of specific energy consumption by 25 % by the end of 2015 (using the project start in 2010 as a baseline).

To achieve this, all employees were trained in just how important fulfillment of the energy policy was for the organization, and which role each and every one individual plays in achieving the goal. Employees were shown hands-on just how much their concrete activity impacts on energy consumption, and what advantages could be gained from improved energy efficiency.

Practical guidelines for saving energy

To support employees and to give them a tool for their own use, various guidelines were developed on how to effectively implement energy savings measures, particularly in production. The guidelines make use of the PDCA cycle, which was adjusted to be used as a tool for energy saving. The guidelines include both a detailed illustration of the preferred approach, and an analysis of data and facts of production systems, the best possible utilization of existing equipment and the setting up of new, highly efficient installations, e.g. in the areas of hydraulics and impulsion.

The project resulted in a total energy savings of 10 million kilowatt hours – the amount of energy used by a village of 2,500 inhabitants over one year. During the certificate presentation by DQS GmbH Managing Director Goetz Blechschmidt, we asked the BSH Director for Environmental Protection and Occupational Safety, Mr. Volker Korten, about the comprehensive sustainability strategy of BSH.

DQS: *How does ISO 50001 contribute to your ambitious energy savings goals?*
Volker Korten: Mainly through reductions in energy input and energy consumption, thus improving the energy efficiency of your sites. This improves not only our profitability, but also protects the environment through, e.g., CO2 reductions. ISO 50001 provides an opportunity to tackle this systematically.

We spoke about the importance of guidelines earlier; did you develop these in preparation of the energy management system?
That was one reason, but we were also looking to standardize. These guidelines are not being used by BSH alone, but also by an automotive manufacturer, which provided a very positive impetus. Being a global player, we don't want to limit implementation of this standard to Germany or Europe, but want to use it globally. All BSH sites are involved in the group-wide project and need to contribute their share to saving energy.

Would you say that when it comes to implement the energy management system, the guidelines had a positive impact on employee motivation?
The guidelines provided our colleagues with a tool that allowed them to achieve improvements quickly and with no need for additional expert know-how. The resulting sense of achievement arrived soon after and motivated them to work on the individual subject areas.

Can you give us an example of how the guidelines help fulfill the requirements of ISO 5001?
One of the classic problem areas is compressed air, one of the most expensive energy carriers in our production. A

campaign addressed this area in all factories at the same time, with an eye to ISO 50001. We used the PDCA cycle; specified targets, responsibilities, and deadlines; and then reviewed the results.
What was your and your team's impression of working with DQS and our auditors?
Before the audit, DQS already supplied us with information about ISO 50001 and potential tax benefits (in Germany). The pre-assessment then provided us with information we needed to pass the certification audit, which we did. None of the three sites had any non-conformities to report, which was due both to the auditor's excellent know-how, and our colleagues years of experience in handling EMAS and ISO 14001.

Mr. Korten, thank you very much for this interview!

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BSH Bosch und Siemens Hausgeräte GmbH is the largest manufacturer of home appliances in Europe and one of the leading companies in the sector worldwide. The group was founded in 1967 as a joint venture between Robert Bosch GmbH (Stuttgart) and Siemens AG (Munich). In 2013 it posted annual revenue of about 10 billion Euros. Today, BSH operates 40 factories in 13 countries in Europe, the US, Latin America and Asia. Together with a global network of sales and customer service subsidiaries, the BSH family is today made up of about 70 companies in 50 countries, with a total workforce of about 50,000 people, of which more than 70 percent are employed in Europe.

To find out what DQS UL Group can offer you in the area of Energy Management, visit the group website at www.dqs-ul.com/en/pages/international and contact your local DQS UL office.

Responsibility is the key

Within this edition, you will find articles on a variety of standards and how customers apply them to the advantage of their business, their stakeholders – and their customers.

The things we're using daily –do we really know where they come from? And under what conditions they are produced? Child labor, forced labor, workplace discrimination – it does not have to be this way. There are international solutions to protect the global workforce. Empowering sustainable and ethical supply chains requires a structured approach, experience in monitoring, and personal and corporate commitment.

Businesses that are committed to continuous improvement of the ethical performance of their supply chains regard human development and the achievement of human potential as a required economic activity, aimed at achieving environmental and social sustainability for present and future generations. Reputable, internationally active businesses who know that the image of their brand is at least as important on today's markets as the price of their product – if not more so.
Over the course of the last few years, a variety of systems has been brought to the international marketplace that allow organizations to structure themselves in such a way as to ensure maximum control over their own and their suppliers efforts towards ethically and socially sustainable production.

DQS UL Group has almost 30 years of experience in auditing, which is the monitoring of continuous improvement and the verification of compliance with specifications and standards. With our expertise and the structure provided by international standards, DQS UL audits can help you monitor labor conditions among your suppliers.

Are you ready to commit to a better world?

Dr. Sied Sadek
Managing Director
DQS-UL CFS GmbH
Member of DQS UL Group

To see exactly why social and ethical responsibility matters, click here:

Volkswagen AG uses ISO 9001 to support their company health and safety management program

On the road to global standards for corporate healthcare

For many years now, the individual sites and entities of the Volkswagen group of companies have been working hard to implement and further develop individual systems, which meanwhile have achieved a respectable degree of maturity. We spoke with the Director for Corporate Health Management at Volkswagen AG, Dr. Rainer Göldner M.D., about the decision to merge the individual systems into one and have it certified.

DQS: *What was your goal in implementing a quality management system for the Volkswagen health management program?*
Dr. Göldner: Our corporate health and safety management system is very important for us here at Volkswagen, which means we feel responsible to continue to improve our processes in this area, as well. Employees visiting one of our medical centers in case of complaints, for preventive healthcare or to take the Volkswagen Check-Up need to know that they will receive the same level of high-quality service no matter the site.

Why did you choose DQS for your certification provider?
We conducted extensive research before the first of our sites underwent certification, and we found DQS to enjoy a reputation of acting in a manner that is discerning, thorough and competent.

How did your employees feel about the quality management system's introduction?
There were some misgivings in the beginning, but that is only normal when the start-up phase of such a system brings additional workload. The secret to motivating our employees to accept the idea of quality management was extensive and through communications, as well as collaboration in the system's design.

What impact do the system and its certification have on the performance and results of the Volkswagen health and safety management program?
The reliable, transparent and standardized processes lead to increased employee satisfaction for staff and patients at all of our sites. In addition to this, the spirit of "communicate your mistakes" provides an important basis for creativity and further development.

What are your plans for the further development of this quality management system now?
We definitely want to continue to improve the system in accordance with the needs of our various interest groups, and to extend the system to our as-yet-uncertified sites in Germany, as well as the subsidiaries AUDI and MAN.

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Preserving and promoting health
Ensuring health and safety at work and actively promoting health and fitness – that is the motto for health and safety management at Volkswagen, and an area of constant, systematic evolution. Measures range from workplace ergonomics and health screening to HIV prevention programs such as those successfully implemented at Volkswagen do Brasil under the Global Compact. Modular health promotion schemes aim to preserve and promote the health and well-being of employees.

An excerpt from the 2013 Annual Report of Volkswagen AG

Top 5 Supplier Quality Management Strategies

Building a foundation of quality throughout the value chain

Building a product isn't the same as it was 10 years ago, and it won't be the same 10 years from now. Business is evolving at a rate such that market leaders have no choice but to continually adapt to emerging strategies such as mobile apps, cloud computing, and big data to gain an edge over the competition.

As relationships with global partners become more of a necessity as well as a focal point in business, the need for adaptation is undoubtedly a top-of-mind issue for those responsible for supply chain management.

The complexities of today's supply chains rise proportionately with the complexities of the products they serve. Just consider the intricate web of suppliers required to make a product like an airplane, which requires thousands of separate manufacturers and businesses. Whether it's regarding supplier quality, compliance, or another area, managing that many suppliers can easily become overwhelming and disjointed. Advancements related to people and leadership, business processes, and technology architectures are helping to battle this.

Many market leaders are executing supplier quality management (SQM) so well that it's become a source of differentiation from close competitors. The strategies employed to achieve this level are always maturing and building on past successes. We've identified the top five you need to know about.

1. **Build an integrated IT architecture that extends deep into your supply chain**
   It's no surprise that today's large (and even small) organizations face an IT architecture composed of disconnected data sources and systems. These solutions are often implemented to solve a set of problems without considering the longer-term strategic vision of a seamlessly integrated set of enterprise solutions that tie together everything from corrective and preventive action and failure mode and effects analysis (FMEA) to document control, employee training, and the production part approval process (PPAP). For supplier quality management this raises some major challenges, especially if financial, engineering, quality, and operational systems are disconnected.

   Market leaders are thinking about the big picture, investing in integrated solutions that enable communication and collaboration from procurement up through design, manufacturing, and service. This means companies are creating closed-loop quality management by integrating enterprise applications across the value chain. Supplier quality management software, which can be delivered standalone or through an extension of existing enterprise solutions like EQMS, PLM, MOM, or ERP, is much more effective when it is part of an overall integrated IT architecture with access to enterprise financial, product, supplier, and asset data.

   By adopting these emerging solutions, companies are able to automate many paper-based and manual processes, and manage them in a single system rather than numerous disconnected ones. Integrating these data sources with other enterprise applications delivers levels of visibility and interaction between functional units that some companies have been striving to achieve for quite some time.

2. **Implement a supplier-risk scorecard solution that's standardized across the enterprise**
   With suppliers comes risk, and supplier-risk scorecards are critical to managing, understanding, and mitigating that risk. Companies that rely on many suppliers develop supplier-risk scorecards and processes to evaluate and rank suppliers based on historical and current performance. When you're dealing with hundreds of suppliers, such a process can become the cornerstone of your SQM initiatives.

   It's important to develop a standardized way to evaluate and rank suppliers that extends across the enterprise. Again, this can be achieved with many of today's enterprise supplier quality solutions, as well as other enterprise systems. The elements of standardization and centralization are key for improving the integrity of your enterprise risk portfolio, as well as for providing data-backed insight for decision makers in different business units aiming to work with suppliers.

3. **Identify a list of metrics and KPIs to monitor supplier performance**
   Every department will have its own way of measuring supplier performance, but it's advisable to develop a list of supplier metrics and key performance indicators (KPIs) that should be measured across all business units. Standardizing the way these metrics are calculated and reported on will deliver major benefits when it comes to identifying areas for improvement and determining which areas require more resources or some type of change. Metrics to consider include:
   - Success of new product introductions
   - Defective parts per million
   - Percentage of defective products received
   - Percentage of returned products
   - Chargebacks for non-conformances
   - Complete and on-time delivery
   - Percentage of products out of compliance or quality standards

4. **Create a collaborative environment and establish processes for managing supplier compliance and audits**
   Because many suppliers are located around the world, there will always be the challenge of making sure the parts and components being produced and delivered meet compliance requirements. Compliance requirements may be internal or external specifications, or more formally, meeting government regulations or industry standards. Market leaders, especially in highly regulated industries, are leveraging supplier portals to communicate requirements and verify that they're being met.

Supplier audits can support meeting compliance requirements, but not every organization has the resources required or the processes in place to conduct them. It's crucial to establish a collaborative relationship in conjunction with a formal audit-management plan, which delineates the frequency of onsite visits, reporting requirements for suppliers, and the depth into the supply chain to which you'll go when auditing suppliers. If these relationships are built on trust, and both parties see that increased focus on quality delivers benefits to all, initiatives and change are much more likely to be effective.

5. **Hold suppliers more accountable for the quality of their suppliers' products**
One of the challenges of working with suppliers is that they have their own supply chains. Not only do you have to rely on your supplier to perform, you also by default have to rely on your supplier's suppliers. Many market leaders are extending the responsibility of supplier quality management down to suppliers, holding them accountable for the quality of products. In some cases, market leaders are even investing in their suppliers' SQM capabilities to reduce the potential for, and cost of, poor quality.

Article abstracted with thanks to: DQS South Africa and Mike Roberts*

Interested in taking a deeper dive into supplier quality management, supplier risk management, and the role of enterprise quality? Visit the website of DQS UL Group at www.dqs-ul.com/en/pages/international to find your local DQS UL office.

* *Mike Roberts is a research associate with LNS Research based in Cambridge, Massachusetts. LNS Research provides executives a platform for accessing unbiased research and benchmark data to improve business performance. Roberts writes research papers, case studies, and contributes regularly to the LNS Research blog, where he covers topics including enterprise quality management software, manufacturing operations management, asset performance management, sustainability, and industrial automation 2.0.*

IRIS, DQS and the technical safety requirements for railway vehicles – an update

"International Railway Industry Standard – IRIS Revision 0.21" was the title of the IRIS Forum hosted by DQS at Deutsche Bahn Systemtechnik in Munich in November 2013. During her opening remarks, IRIS Technical Manager Angela de Heymer gave an impressive report on news and developments from the IRIS Management Center of UNIFE. The current DB initiative "Quality Partnership with the Railway Industry" was one of the highlights of the event, which also included many facts and figures on IRIS, its past development, an outlook on ISO 9001:2015 and IRIS Revision 03 (to be published not before 2016). The new partnership was recently kicked off by the technical department of Deutsche Bahn AG and the German Railway Association (VDB), with much support from organizations that have already implemented the concrete requirements for development and project management during their own IRIS certification. The intention is to continue to improve quality assurance in railway vehicles, which is often an area of conflicts. The objective of the quality partnership is to develop a binding guideline for the entire railway industry, which is to be integrated into IRIS management systems starting in 2014.

During the forum, DQS customer Nomad Digital GmbH received their IRIS certificate, the 100th such certificate issued by DQS UL Group. Nomad Quality Manager Bernd Opitz welcomed the opportunity to share with participant the results and significant improvement ideas from the DQS audit.

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For more information on IRIS and the services we can provide, visit the website of DQS UL Group at www.dqs-ul.com/en/pages/international and contact your local DQS UL office.

Food Defense – Protecting the Food Chain of Supply

DQS CFSI supports food manufacturers when introducing Food Defense Systems

Requirements for Food Defense go back to statutory provisions in the US, which were created mainly after the attacks of September, 2011. Food Defense stands for preventive efforts aimed at avoiding attacks on the food supply chain. The focus here is not only on terrorist attacks, but any conceivable attack by human hands – to include the activities of past or angry employees, competitors, etc.

By now, the relevant food safety standards such as FSSC 22000, BRC 6 or IFS 6 include requirements pertaining to Food Defense. However, both the manufacturers of food stuffs and auditors internal and external, often have questions regarding what exactly is meant by "Food Defense", and how to implement the requirements in everyday practice. Neither the guidelines published by official US agencies, nor a guideline by IFS based upon them provide clear answers.

Last year, I spent a research period at the University of California in Davis, on behalf of the Alexander-von-Humboldt Foundation. Combining the results of my stay there with my many years of practical experience, both in the food industry and as DQS auditor, I then developed a concept for the real-life application of Food Defense measures. During two DQS workshops, one auditor exchange of experience session, and a number of in-house trainings, several future "Food Defense Representatives" and auditors have become familiar with this new subject.

DQS Workshops "Food Defense Representative"

In addition to the historical, legal, and normative background, the Food Defense workshops include a process model for implementation, as well as an explanation of the elements that make up Food Defense. For the installation of a comprehensive Food Defense system, which will fulfill any and all requirements, twelve elements need to be taken into consideration:

- Management processes and policy
- Physical security
- Equipment, processes and products, laboratories, biological security
- Handling of materials and substances
- Transportation, traffic
- Traceability, recalls and returns procedures
- Handling of data and information, regular mail
- Handling of employees and external persons
- Qualification, training
- Communications and crisis management, BCM
- Checks and reviews

The training and workshops cover all of the necessary elements, and provide participants with an introductory concept. Due to the sensitive nature of the subject, particular reference is made to measures designed to prevent the introduction of a Food Defense System to accidentally create instructions for possible attacks by employees or external persons. As with many innovations, there is a focus on using the existing resources provided by the current management systems, in order to make implementation of Food Defense as coherent, low-effort, and practicable as possible.

Participants also received a variety of tools in the form of documentation and literature, in order to initiate actions in their own organizations, and to prepare for future certification audits. There was a lot of interest in the events hosted to date, and the many inquiries from organizations not yet certified by DQS show clearly that once again, DQS is available to support their customers in time and with well-founded expertise and partnership. For more information on the subject and the workshops, contact DQS CFSI/DQS UL Food Safety Solutions GmbH at www.dqs-cfsi.de or your local DQS UL office.

Georg Sulzer, Ph.D.
DQS Auditor

To see what else DQS UL Group has to offer in the way of Food Safety and many more assessment and certification services, please visit www.dqs-cfsi.com

Excellence, Risk and Adequacy in Management Systems – a Bermuda triangle?

An auditor's look at how to focus your management system

The major contribution of an auditor is of course the audit itself, its planning, conduct and follow-up activities. How well we do that is largely subject to how well we can integrate the current stage of development of the customer's organization and their management system, and then to focus our audits accordingly, to recognize achievements and to provide impulse for improvement. This level of audit quality, however, can only be achieved if the audited organization provides us with information on their own development objectives before and particularly during the audits, and enters into focused dialogue with us.

You may consider this a rather frivolous approach to such a serious subject, but it is not. The majority of ships cross the oceans with no problems, and so does the majority of organizations succeed in their development processes, in their level of product and process quality, and the recognition of their customers. But there is the occasional ship – or the occasional organization – that disappears along the road somewhere, in spite of good preconditions and modern infrastructure. In both cases, what remains is the question "why"?

And that brings us to a key question: what are the reasons for and what is the impact of a successful management system? When organizations decide to implement a management system and have it certified, they simultaneously have to make a decision on their approach to the system, which can be one of three:

1. A positive way of thinking focused on a management system that will promote opportunities, development and success;
2. A "neutral" implementation of normative requirements within the management system;
3. The attempt to invest the minimum effort necessary to design and implement a management system, usually justified by a third party's requirement for a certified system.

A decision in favor of options 2 or 3 actually includes much risk for an organization, often creating a "Bermuda Triangle" from the interplay of formal requirements, external impetus, and minimum effort for implementation and use of the management system. This approach often leads to the creation of two "realities" within one organization – an "official" one that is dusted off and paraded out whenever it's time for an audit, and an "unofficial" one that is actual daily business practice, significantly different from the certified system. This is a risky procedure, but what is the alternative?

The magic triangle of success

We like to call it the "Magic triangle of success", this combination of focus on Excellence, risk, and adequacy of a management system. Here's what some customers have to say about it:

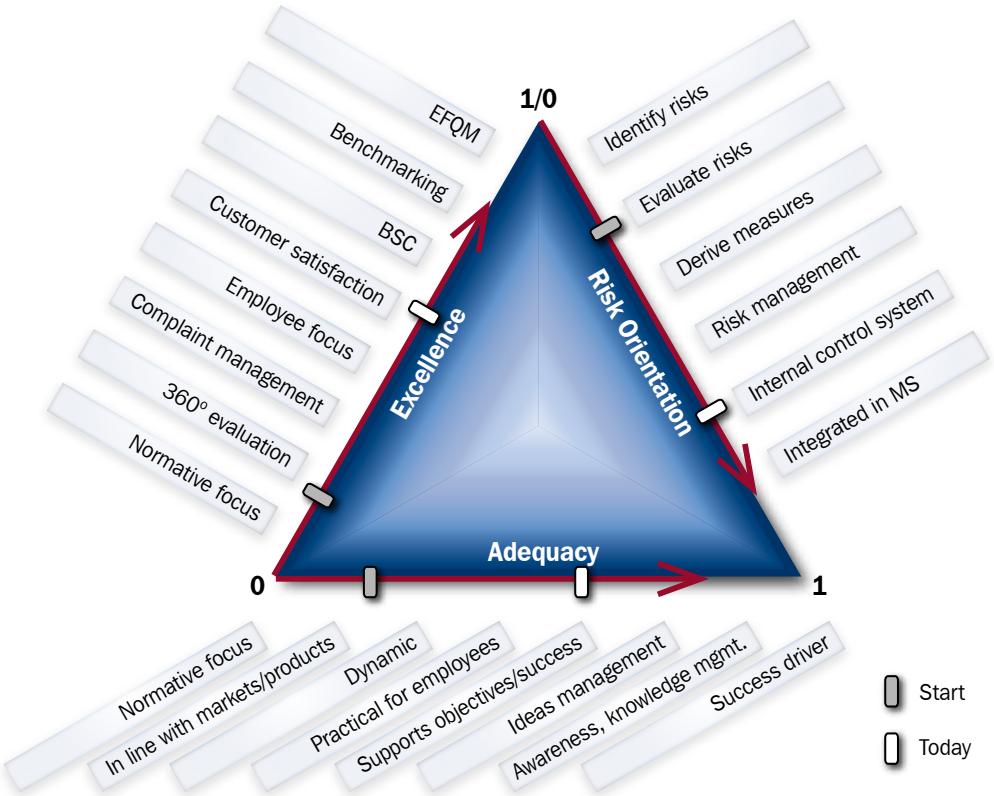
Excellence means "… identify the essential drivers for success and develop them", "…to think and act across organizational borders", etc.

Risk orientation needs to be "…. always worked out by a team", "…the difference between strategic and operational goals", "…the use of suitable tools", etc.

Adequacy needs to be "…worked out specifically for that organization….", "…. Not static, but always subject to being redefined….", "…not too much, but not too little", etc.

Statements such as these clearly show that when different organizations design their management systems, they set the "regulators" for the various aspects to different settings. In the course of the system's further development then, these settings often experience drastic changes.

DQS and customers discuss the key questions of management system focus



The "Success Triangle": where Excellence, Adequacy, and Risk Orientation are no static values, but subject to the organization and its development

Interdependency of Excellence, Risk Orientation, and the Adequacy of Management Systems

Excellence, Risk Orientation, and the Adequacy of Management Systems are interdependent aspects that in an ideal world have also been designed with an awareness of that interdependency in mind. As far as the design of Excellence aspects is concerned, DIN SPEC 77224* "Achieving Customer Delight Through Service Excellence" is an excellent tool that has delivered much impetus to the service sector already. When it comes to Risk Orientation, what matters is to look at risk "against the current", that is "bottom up" from the perspective of the people and processes involved, and "top down" from the market and corporate perspective. First, risks need to be identified that way, and then they need to be considered in their various dimensions (business, image, process, product, etc.). To do that, the complexity of a management system can be used to develop systematic chains of action for the handling of risk (identify, evaluate, prioritize and dealt with).

The adequacy of a management system can be summed up in one sentence: the management system shall be in tune with the values, the culture, the maturity level and the development objectives (to include market requirements); it shall be lean in the sense of corporate fitness; and it shall be workable and lasting in daily practice. In practical terms, therefore, Adequacy relates to the following areas within an organization:

- The underlying values and identity of the organization, e.g. in the form of the quality policy, structures, responsibilities, authorizations, processes, process types, process provisions (do the provisions match the processes?)
- Products and services (does the management system help to keep the product and service descriptions up-to-date?)
- Partner and cooperation management (who is supplier and who is partner?)
- The PDCA cycle, i.e. the management system as an active improvement process
- Also and especially any programs designed to foster motivation and (continued) joy of being able to work for this organization

As auditors, it is our job to analyze the conformity to standards, to evaluate the implementation of the management system, and to give impulses for improvement. If, however, we are to comprehensively understand and evaluate the maturity level of organizations as the basis for the adequacy of their management systems, we need input regarding specific areas of concern and organizational levels of development. To achieve this end, both auditors and organizations need to trust each other and cooperate fully to each other's benefit, starting even before the audit itself.

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** At this printing unfortunately only available in German. Interested in an English translation? Feel free to write to info@beuth.de and let them know!*

ISO 19011

Guideline for Auditing Management Systems – Part 5

This is the fifth and for the time being, last part of the series on the changes ISO 19001 brought. It deals with specific aspects of the conduct and follow-up of audits.

There have been some notable clarifications regarding the roles and responsibilities of people who accompany the audit. ISO 19011 states: "Guides (person appointed by the auditee to assist the audit team) and Observers (person who accompanies the audit team but does not audit; can be from the auditee, a regulator or other interested party) may accompany the audit team, but should not influence or interfere with the conduct of the audit. If this cannot be assured, the audit team leader should have the right to deny observers from taking part in certain audit activities." That is of course easier said than done, but at least the standard does give auditors the right to ensure they are able to fulfill their auditing obligation.

Influencing can happen in many different ways and by a variety of observers – anything from supervisors replying in place of the actual interview partner all the way to corporate consultants trying to "defend" the results of their consultancy efforts during the audit. This also includes auditors-to-be in their observer audit getting carried away and taking charge of the audit, or official delegates overstepping their competencies and authorizations. This clause should also be applied to so-called "witness audits", that is audits accompanied by a third party such as accreditation bodies, notification authorities, or the certification body itself. Witness auditors are tasked with evaluating the performance of auditors on site. This is done by way of "observing", and they may not interfere with the audit itself.

Next to the so-called "risk-based audit approach" we already talked about in part two of this series, there was one small, but very interesting supplement to chapter 6.2.2, where it states in the last paragraph to: "determine any areas of interest or concern to the auditee in relation to the specific audit." What therefore can be more logical than contacting the area to be audited during audit planning and to determine their specific situation, interest and critical aspects? A dialog of this type can help kill two birds with one stone: it provides an opportunity to enter into a direct exchange with the responsible supervisors and/or process owners prior to the audit, and to agree on concrete audit objectives and focus areas. Audits that have been planned in this manner tend to be focused much more closely on the actual subject areas relevant to those involved in the process – instead of repeating the same approach ad nauseam, using ready-made checklists with a focus on establishing conformity.

As far as audit conduct itself is concerned, there have been only very few additions or changes in ISO 19011, which does not really come as a surprise. The basis process of audits – opening meeting/interviews/review of samples/collecting evidence/evaluating the audit findings and closing meeting – are the result of decades of tried-and-true audit practice, or to put it colloquially: there is no need to re-invent that particular wheel!

There is, however, one newly added sentence that made this author laugh: "During the meeting, an opportunity to ask questions should be provided." It makes you wonder what kind of opening meetings have been held in the past that made this addition necessary? Maybe they should have also included something along the lines of "During audits, efforts should be made to communicate as much as possible." You never know…

On a more serious note, though, the guideline includes valuable recommendations on the review of documents during the audit: "If adequate documentation cannot be provided within the time frame given in the audit plan, the audit team leader should inform both the person managing the audit program and the

auditee. Depending on the audit objectives and scope, a decision should be made as to whether the audit should be continued or suspended until documentation concerns are resolved." Again, easier said than done! However, this also means a strengthening of the rights of auditors, and is an important aspect for efficient auditing. Of course the practical application of this paragraph still leaves it up to the auditor to decide on the relevance of any required document for evidence purposes, and if there is sufficient cause to abort the audit. But there are definitely situations where continuing the audit is a waste of time, such as when reference is made to a newly documented and implemented, essential process that cannot be located (neither hard-copy nor electronically), or when quality records of essential significance are not available – or if they are not meant to be available. The latter especially should give an auditor pause and may lead to the conclusion that he or she is now unable to collect the evidence required for the audit, and that a decision must be made to continue the audit – or not.

One novelty above all is really very much welcome: audit findings should include conformity and good practices along with their supporting evidence! In the draft stages of ISO 19001, they still were talking about "strengths" instead of "good practices", and that may have expressed the sentiment even better. But still, it is good to see that it is now the official function of audits to determine strengths or good practices. Hopefully, this will allow (internal) audits being more appreciated as a tool that generates value, or at least confirms and motivates. After all, the perception of many people is that audits are only focused on finding mistakes, identifying weaknesses, and discovering waste (of resources and time). When we are serious about identifying "good practices" and their supporting evidence, and when we focus our audits on this (without neglecting other aspects, of course), that changes the audit atmosphere, which in turn changes the level of acceptance. It follows logically, of course, that the identified strengths have to be documented and communicated by issuing individual, concrete findings, ideally complete with an identification of functional areas, departments, and responsible persons.

This ends the short series on the new standard ISO 19011. It was my intention to provide you with helpful interpretations, practical advice, and information for implementation in your own audits, and on behalf of DQS UL Group, I hope to have been successful in that endeavor.

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