



Output matters!

This claim summarizes one major intent of the ongoing revisions of ISO 9001 and ISO 14001, the two most popular management system standards: Output matters – in other words, our focus must be on results. Executive managers will agree.

At DQS UL we have achieved great results in 2013 – always in close partnership with our customers. We have become the preferred certification and auditing partner for over 20.000 companies around the world. Because the output of audit matters. Such output must include improvement potential, risk evaluation and recognition of people for actual achievements. Thus auditors must provide reliable input to management.

What else will change through the revision of ISO 9001 and ISO 14001? All management system standards issued by ISO will get a consistent structure to ease system integration for companies. After all, most companies have only one management, thus they need only one management system.

The new focus on risk based evaluation will enable companies to set priorities where it matters. We at DQS UL will support you, our respected customers, with competence and integrity. Healthy organizations know: output matters.

On behalf of the executive management team of DQS UL Group, I would like to wish all of our readers joyful holidays with your families and lasting success for the New Year of 2014.


 Stefan Heinloth
 Managing Director
 DQS Holding GmbH

DQS Emirates is proud to announce the certification of Borouge to RC 14001 International Responsible Care®

“This highly recognised industry certification represents our commitment to ensuring that we have a company-wide integrated, structured approach to continuously improve its health, safety, environmental (HSE) and security performance by focusing on environment protection, health and safety, process safety, community awareness and emergency response, distribution, product stewardship and security.”



David Cowie, MD of DQS Emirates, presents the certificate to Wim Roels and Hisham Abdulla Abbas, Borouge Board Member

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This statement by Wim Roels, CEO of Borouge’s Marketing & Sales Company, summarized the attitude of this joint venture between the Abu Dhabi National Oil Company (ADNOC) and Austria based Borealis, which was established in 1998. The new certificates now document that Borouge is committed to providing innovative plastics solutions that address global challenges and contribute to sustainable development every step of the way. The certification covers Borouge’s international operations spanning seven countries across the Middle East and Asia, to include their head office and production plant in Abu Dhabi.



Borouge CEOs cutting a cake to mark celebration of Borouge certified for RC 14001

“It is with great pride that Borouge has received Responsible Care® 14001 certification,” said Abdulaziz Alhajri, CEO of Abu Dhabi Polymers Company (Borouge), at the certificate handover



Responsible Care is the chemical industry’s unique global initiative that drives continuous improvement in HSE performance and promotes open and transparent communication with stakeholders. Together with Borealis, Borouge was the first company in the Gulf region to sign the Responsible Care Global Charter in 2006, thereby reinforcing its dedication to advancing sustainability in the petrochemicals and plastics industries. Borouge actively promotes Responsible Care in conjunction with the industry trade associations in the Gulf region (Gulf Petrochemicals and Chemicals Association), in China (Association of International Chemical Manufacturers) and in Singapore (Singapore Chemical Industry Council).

On a global scale, UAE ranks no. 7 in the production of oil, and is the world’s third-largest exporter of the same. This certification is a major step for DQS Emirates in developing their status as a competent and recognized CB in the oil & gas market in the UAE. ADNOC Group is made up of 14 sub- entities of which Borouge is one of, so there is a huge opportunity there and will be a focus for DQS Emirates moving forward. This is the first RC 14001 certification for DQS UL Group in the Middle East, and I am sure that there will be many more coming up.

ceremony held on 30 September 2013 in Abu Dhabi. This was attended by the global CEO’s of each business unit as well as their board of directors and senior management which goes to show their level of commitment to this standard. They also had a ceremony internally in each of their global locations at the same time to mark the occasion. “We are particularly proud to be the first company in the Gulf to have its entire international operations certified and to join our colleagues in the industry who have already obtained this certification, reinforcing our mutual commitment to advancing sustainability in the industry.”

The audit team was made up of members from UL DQS Inc. USA and DQS-UL Hong Kong. The feedback from the client on our auditors and audit conduct was fantastic and they are extremely happy with the level of service we provided. As a result of this outstanding performance during the audit, Borouge has asked DQS Emirates to quote for an ISO 50001 certification, as well. The DQS UL auditors, on the other hand, praised various best practices within Borouge and commented positively on the professionalism and commitment of the Borouge staff to sustainable health, safety and environmental and security excellence.

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Monitors display the current energy usage and related information

Economical use of energy resources has become one of the central concerns of anybody in the producing industry, and control of energy consumption one of the critical success factors worldwide. An effective energy management system is therefore the tool of choice when it comes to improving energy efficiency, and reducing energy cost.

The German company Tehalit GmbH, part of the international Hager Group, designs, develops, manufactures and sells high-value electrical installation systems. Their Heltersberg site covers 650,000 sq. meters spread over 14 buildings, and employs 600 employees. Tehalit has been making use of energy management to optimize resource usage and processes since in the early 1990's already.

One important task of energy management systems is of course the consistent recording and monitoring of energy consumption in all relevant processes. The objective is to record consumption where it happens, and to make it transparent. This includes, among other things, meaningful key energy indicators, analysis of runaway values, and documentation of measures taken to counter them.

Energy efficiency in production

Tehalit has been certified to the internationally recognized standard ISO 50001 by DQS since 2012 already. The first objective was obvious: to improve energy efficiency in their own production processes, because those have the most impact on the overall economic situation. This included, for example, peak load management and the recovery of waste heat from compressed

air, transmission and exhaust air. More significant energy savings were realized from exchanging compressor-driven air cooling systems to those using external air. To this end, the centralized building control system, which monitors and measures all energy usage within the organization, connects the various facilities and allows transparency of interaction that leads to further energy savings. The efforts invested at the Heltersberg site have already led to improvements within Hager Group: in the future, the energy meters of the sales offices will also be included in the monitoring and reporting system.

Since the rising cost of energy cannot be met by reducing consumption alone, and in the interest of stability and sustainability for the years to come, the Heltersberg site is now also looking at alternative options for generating their own energy, such as wind turbines, which allow for the efficient production of large amounts of energy.

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DQS UL Group partners with EcoStep for sustainable Energy Management in Central and South America

With the project "Transfer EcoStep Energy", the German RKW Bremen in cooperation with GIZ and EWK aims to help SMEs in the region identify their potential energy savings and reduce cost in a sustainable manner. To this end, RKW Bremen closed an agreement with CEGESTI as their coordinating office, with the conformity of processes verified by DQS UL Group.

EcoStep Energy is the latest module to be added to EcoStep and features the inclusion of the core requirements of ISO 50001. In the interest of promoting this module in Costa Rica, DQS UL partner CEGESTI, a private non-profit organization that promotes sustainable development in Latin America, and DQS El Salvador joined hands recently. In San José, capital city of Costa Rica, EcoStep was presented to Costa Rican entrepreneurs and representatives of potential multipliers like the Costa Rican Chamber of Industries, German Costa Rican Chamber of Commerce, and others. Giovanni Castillo, sub director of the Energy department of the Environmental Ministry of Costa Rica and Roger Forbes of CEGESTI gave short introductions on the importance of energy efficiency and the benefits of integrated management systems. Martin Schulze of RKW Bremen explained the EcoStep approach, and Dr.-Ing. Eric Werner-Korall, International Product Specialist at DQS Holding GmbH, argued on why and how to obtain the EcoStep certification.

The EcoStep transfer to Central America has been supported and organized by the Costa Rican foundation for sustainable development CEGESTI and financed by the regional GIZ program "Renewable Energy and Energy Efficiency in Central America", the Ministry of Foreign Affairs of The Netherlands through the project "Strengthening Human Rights and Decent Work in Central America", the local bank BAC San José, and facilitated by DQS El Salvador.

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EcoStep – the success story continues...

EcoStep was developed in Germany under the auspices of the "Environment Alliance" of the German State of Hesse's Ministry for the Environment, in cooperation with the industry, and is now being introduced on selected international markets, starting in Costa Rica. A compact, integrated management system based on the most important basic principles of modern management systems, EcoStep provides especially SMEs with an opportunity to "get the continuous improvement process on the road", with comparatively little effort: organizational structures are improved, processes are faster, more stable, and more productive. At the same time, potential for cost savings is identified, and legal certainty increases. Its basis are the core requirements of the internationally recognized standards for quality management ISO 9001, environmental management ISO 14001, and occupational health and safety BS OHSAS 18001. It also allows for the integration of sector-specific solutions and further standards, such as the recently added Energy Management.

About DQS El Salvador

Founded in 2008, DQS El Salvador offers their customers assessments and certifications according to a variety of international standards, as well as customer-specific requirements. The office, which celebrates its 5th birthday this year, is managed by Guenter Schranz, DQS and EcoStep auditor.

About CEGESTI

(www.cegesti.org/ecostep)

In 1990, the Ministry of Science and Technology of Costa Rica joined hands with the United Nations Industrial Development Organization (UNIDO) and the United Nations Development Programme (UNDP), among others, to provide support to the productive sector's competitiveness through technology management. As a result of this project, Fundación Centro de Gestión Tecnológica (CEGESTI) was created in 1992 as a private, independent and nonprofit organization with the mission of promoting sustainable development through innovative initiatives in Latin America.

Impressions from the training

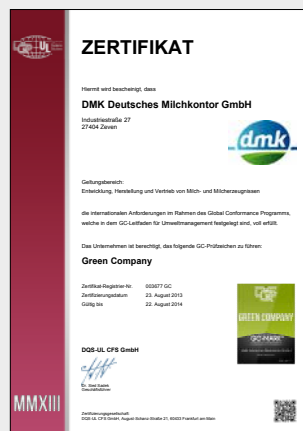


DMK and Symrise achieve GC-Mark “Green Company”

DMK is not only the largest German dairy company, it is also a leader in terms of environmental protection. Because milk production requires a wide range of resources, the implementation of measures to protect the environment is crucial for the dairy sector. DMK has now been rewarded for its efforts with the sustainability label “Green Company”.

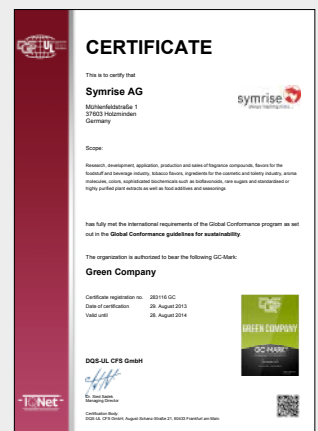
During an on-site audit, DQS-UL CFS has analyzed and evaluated the environmental performance of DMK. The outcome has been highly satisfactory: the company has taken structural measures to increase the efficiency of their water and energy usage, to optimize logistics, and to reduce, re-use and recycle waste. Moreover, DMK has also implemented measures to reduce emissions and to prevent environmental issues in the neighborhood.

By awarding the GC-Mark „Green Company“, DQS confirms that DMK has succeeded in minimizing its impact upon the environment. Congratulations to the DMK team!



Symrise is a global supplier of fragrances and flavorings, and since around twenty percent of all greenhouse gas emissions are related to the production and transportation activities of the food industry, it is no surprise that sustainability has become a hot topic in the sector.

After a successful audit at its headquarters in Germany, Symrise has been rewarded with the GC-Mark “Green Company” for its dedication to environmental protection. Although the company already reaps the benefits of its investments in sustainable technologies and processes, it aims to reduce its environmental impact even further: Symrise is committed to reduce its emission of CO₂, its water use and its waste by 33%, a task to be achieved before 2020. Congratulations to the Symrise team for this achievement!



For more information on GC Mark, please visit the websites of DQS CFS at www.gc-mark.com/de, or <http://gc-mark.com/de/portfolio/green-company/> for specific information on Green Company GC Mark.

GC Mark for Organizational Health launched In India

Organizational Health is the ability of an entity to deliver sustained value to all its stakeholders – customers, employees, shareholders, suppliers, authorities and society

The objective of Global Conformance (GC) Mark Certification for Organizational Health is to assess the adequacy, effectiveness and consistency of the key business drivers and the outcomes of an organization and highlight the areas of improvement for them. GC Mark certification framework is built with a blend of international benchmarks and industry best practices with high flexibility to customize to the business requirements. The framework, jointly designed by M/s UL DQS India and M/s Prashaste, was officially launched in India on 13 December, 2013 in an event attended by a large audience of highly interested decision makers from various industries.

On this occasion, Titan's Jewelry division, the first organization to receive a GC Mark award in India, was presented their certificate by the MD of DQS Holding GmbH, Mr. Stefan Heinloth. Titan Company is proud to be associated with UL DQS India for



Stefan Heinloth, MD of DQS Holding GmbH, and Dr. Murugan Kandasamy, MD of UL DQS India, present the certificate to Mr. Karthik and Mr. Ramanathan of Titan Company (Jewelry Division)



Dr. K. Murugan (MD & CEO UL DQS India); Mr. Stefan Heinloth (Director – DQS Holding GmbH); Mr. P.S. Narayan (VP & Head – Sustainability, Wipro); Mr. N. Raja (Senior VP, Toyota Kirloskar Motor); Mr. Shankar. R (Regional Head – Environment Health & Safety (EHS) – Hospira Healthcare India and Dr. Suresh Viswanathan (MD, SKS Group); Mr. MVS Prasad (Founder & CEO – Prashaste)

the GC Mark for Premium Hygiene assessment of their canteen. They were impressed with the insights received and the areas of improvement identified during the assessment, said the members of Titan Company.

Dr. Murugan Kandasamy, MD of DQS UL India, said: “We have been overwhelmed with the response and the interest shown by the participants during the event. We are confident that this unique model will surely help and support the organizations in their pursuit for Quality, Excellence and all round Organizational Health. We look forward to working with customers for implementation of the framework by our partners Prashaste and assessments by UL DQS India”.

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GC-Marks are voluntary certifications of products and services, based on the corresponding regulations and according to GC-Mark requirements. The GC-Mark shows customers and consumers that DQS, as an independent third party, has proven that products and services fulfill the specified requirements.

GC-Mark Service Groups:

- **Products Series**
- **Consumers Series**
- **Organization Series**
- **Suppliers Series**
- **Logistics & Packaging Series**
- **Hotels & Restaurants Series**
- **Public Facilities Series**

For more information on GC Mark, please visit <http://www.gc-mark.com/>

Pullman ZamZam Hotel receives ISO 9001 and 10002 certificate

The combination of ISO 9001 for Quality Management and Guideline ISO 10002 for Complaint Management provides an excellent framework for customer satisfaction



Pullmann ZamZam, Makkah

Imagine a hotel with more than 1,300 rooms. Imagine a hotel with 5,000 guests on a single day, and more than 1,200 employees at their service. How can you manage such a vast complex and ensure customer satisfaction?

That is the challenge the Pullman ZamZam Hotel faces every day in Makkah. In order to live up to that challenge, the hotel management contacted DQS UL KSA to guide the hotel through the certification process. With great success: Pullman ZamZam has now obtained an ISO 9001 and ISO 10002 certificate, issued by DQS UL.

On October 31st 2013, the certificate was officially handed over to a delegation of the Pullman ZamZam hotel in Frankfurt. On receiving the certificate, Mr. Ahmed Hozaien, the General Manager of the Hotel, stated that running such a huge hotel is a bit like running a city, in terms of complexity. On certain days, staff receives more than 4000 requests from guests. It has always been the ambition of the hotel to respond to all of them in an appropriate manner. We have not only improved the process to deal with these requests, but have also invested in the necessary hardware to be as efficient as possible. Staff at the hotel is now equipped with iPads in order to receive, track and monitor guest requests.

Mr. Mohammed Yousef El-Amody, Executive Assistant Manager of the hotel, expressed his pride and gratitude for the assistance

A customer is the most important visitor on our premises. He is not dependent on us. We are dependent on him. He is not an interruption in our work. He is the purpose of it. He is not an outsider in our business. He is part of it. We are not doing him a favor by serving him. He is doing us a favor by giving us an opportunity to do so.

Mahatma Gandhi



Presentation of the certificate

DQS UL has provided so far. It is not only an honor for us to obtain this certificate, the whole exercise has also had an immediate impact on customer satisfaction. The results were already noticeable before the actual certification audit. The delegation from Saudi-Arabia consisted of Mr. Ahmed Hozaien, who is the General Manager of the Pullman ZamZam, Mr. Mohammed

Yousef El-Amody, who is not only the Executive Assistant Manager of the hotel but also the representative of the ministry of tourism, and Mr. Hossam El-Dein Yousry, the Hygiene & Safety Manager. On behalf of DQS-UL CFS, the certificate was presented by Mr. Mahmoud Abdel Salam, the Managing Director of DQS KSA, and Dr. Sied Sadek, the Managing Director of DQS-UL CFS.

The website of DQS-UL CFS can be found at www.dqs-cfsi.de.

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Speaking of quality...

DQS-UL de México opens new offices in Santa Fé

Opening day at DQS de México in Santa Fé.



DQS UL Mexico moved from Naucalpan to new offices in Santa Fé, one of Mexico City's major business districts. At the opening ceremony, Mr. Michael Drechsel, Managing Director of DQS Holding GmbH, congratulated the team for their choice of location and predicted that this move would lay the foundation for greater success for DQS UL de México and further strengthening of the brand in the coming years.

The Directors of DQS UL de México, Tania Trujillo and Ana María Chávez, stressed the importance of the improved infrastructure in this business area, and the presence of many international and large Mexican companies close by. After this move, they and their team will be able to even better serve their customers, and continue to supply those value-generating services that distinguish them from the competition.

"We are the preferred partner for audits, assessments, and certification of management systems," summarizes Mrs. Tania Trujillo, "which is the vision that sets the path that will lead us steadily towards a growing market, with many challenges. So if we want to exceed our customers' expectations, it will require having a defined and stable structure to provide services with."

Mrs. Ana María Chávez concluded her own speech by stating that: "We will keep working on what we do best: contribute to our customers' success through better and more efficient management systems."

The opening ceremony was attended by members of the executive committee and several representatives of nationally and

internationally well-recognized customers and contacts, such as BASF, Condumex, Dal-Tile, Electrónica Audio Code, Eucomex, Bocar Group, Schneider Electric. The ribbon was cut by Guillermo Montalvo (BASF Mexicana), Javier Viezca (Dal-Tile México) and Mr. Michael Drechsel.

The office in Toluca will continue to operate as before.

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ISO 19011

a guideline for auditing management systems – Part 4



Alternative or new audit methods – that is the title of the fourth part of our series of contributions on the changes of ISO 19011. To provide some background: in chapter 5.6 “Evaluating and Improving the Audit Program”, you will find, amongst other aspects, such as the effectiveness of measures taken and of foreseeable requirements and expectations of interested parties, a small but very interesting suggestion regarding the use of non-standard or novel auditing methods. Those who think that ISO 19011 contains additional information will be disappointed. It is left to us to consider how this may work, to design internal audits that are “different”, and possibly more exciting, more alive, more respected.

In the subsequent installment you will find a selection of possible alternative, novel audit techniques. Of course, many others are conceivable, and may actually be used by some companies. However, in this article, we want to focus on a few already successfully employed techniques.

The TOP-FLOP Approach

We all know the traditional techniques used to acquire samples for audits. Such sampling is either statistically or decision-based (cf. the highly recommended Annex B3 of ISO 19011). Both classical sampling techniques have in common that the samples so chosen are (that’s how Gaussian distribution works, after all) generally “in the green”, i.e. they are mostly okay, to put it colloquially. The TOP-FLOP technique consciously approaches sampling differently. It should, however, be noted from the start that this technique should not be used constantly and consistently, but rather occasionally and in order to gain a

different perspective on the processes. We begin with the choice of a TOP sample. This is chosen by the audited organization and should expressly distinguish itself by the fact that in this project, process or procedure, every conceivable aspect has gone optimally, effectively and efficiently. The goal is to learn which conditions obtained or coincided to produce this extraordinarily good result. The auditors’ attention – as well as that of those audited – should focus on whether and how such situations are reproducible.

Subsequently, a FLOP sample should be chosen – but please in precisely that order. If you start by asking after a “flop”, you will be answered by a resounding “we don’t have any of those!” If, however, the employees [of the audited organization] have had an opportunity to demonstrate the sort of extraordinary performance of which they were and are capable, their willingness to look into the “poison cupboard”, in which they like to store their organizational failures, increases markedly. The “FLOP” sample is then also analyzed to identify which circumstances coincided to produce this significantly bad result. Attention should now be focused on identifying whether and how to prevent a repeat of that situation (to all intents and purposes a classic prevention measure).

Substitute audits

Normally, we conduct our audit interviews with the process owners as listed in the process descriptions, as is right and proper. However, over the years, this almost necessarily creates a pool of “audit professionals”, who are included in (internal and external) audits over and over again. What do you think? Is it a rather too daring thesis that some audits

show similarities to the well-known film “Groundhog Day”? The employees know the auditors’ questions rather too well, and the auditors could give the employees’ answers by heart. So why not aim the audit consistently at the “second string”, at the substitutes, at those, who assume the responsibilities of the process owners in case of their being sick, on vacation or absent for any other reason? Aside from some positive surprises, this has led employees in some companies to look up the descriptions of some processes and procedures prior to an internal audit. Not to mention that some inadequate substitution rules became clearly obvious even during the planning of the audit.

Using “quiz methods”

Try to imagine this: during your usual preparations for an internal audit of any given process, take the corresponding process description and make some small changes. You may want to add a process step or delete one, change responsibilities and participation, delete quality records or replace a decision symbol by an unbroken line, remove applicable documents or create wrong connections to other processes. Now comes the interesting part: distribute this changed process to the organizational unit concerned, or maybe only to the participants in the audit, and ask them to determine the number of obvious mistakes or changes. You may want to announce a small prize for the winner(s), sweets or something similar.

You may be surprised at just how energetic they will start to look through the documentation for mistakes, and to talk to their colleagues about it, too. As a result, the documentation will not only be read and talked about, but people will actually



enjoy it and ideally, they will already come up with ideas for improvements at this stage. But be careful, some people may find mistakes where there are none, or not find any of them at all. In that case, you may need to console your nerves with some chocolate.

Internal customers audit internal suppliers
This is probably the most common method; the title says it all. Add to your audit team an internal customer to serve as a bona fide expert for the internal customer's perspective. This expert does not need to have any professional audit know-how, because that is what you have, being a well-trained and qualified auditor. The internal customer's task is to review the internal supplier's actions with an eye on: how do we (the internal customers) benefit from this? What are our advantages, what would be better for us? The auditor, on the other hand, will be more in the role of a moderator (depending on how lively the dialogue is and the internal situation, it may also be more in the way of a mediator), records the results of the interview and documents the audit findings. In addition, the auditor is also the one who has the methodology know-how and who will review and evaluate the interaction at the interfaces. All in all, organizations that have used this method tell of excellent results with real-life applications and a very cooperative audit spirit.

Ad hoc audits

This was the method most often mentioned during DQS UL customer workshops; its use seems to be spreading. What are they?

Ad hoc audits are usually unannounced audits that happen for one specific reason

in order to have a quick but in-depth look at a concrete problem, a recently identified risk or an error. These audits happen right on the spot, where the problem is relevant, that is, where it may occur. These audits do not require much in the way of advance planning or extensive checklists, they also do not result in pages upon pages of reports. Some key words, quickly noted down and complemented by corresponding measures (if considered necessary) – that is all. One piece of advice for organizations just starting out with ad hoc audits: experience shows that the introduction of this particular method needs to be communicated in advance in a very open and transparent manner. Otherwise, you run the risk that employees will assume negative motives behind these ad hoc audits, and that the resulting reservations will lead to a lack of cooperation. From Output to Input

What is more logical than to look at a sequence of events in their naturally occurring order, starting from the beginning and ending – well, at the end? Nothing, which is why audits work well that way, no question. We have learned that processes turn input into output, and that is why when auditing a process, we start with the input. But you can also try it the other way around; an auditor friend of mine put it very succinctly: "If I want to find lice in my cat's fur, I have to brush her against the grain."

So let's start at the end of the process, which is with the result, and then move forward step by step. In the case of a producing organization, for example, that would mean we start with the goods having been packed for shipping, and then work our way backwards through assem-

bly, production – taking a short detour to metrology – then on to purchasing, work preparation all the way to sales. In doing so, we focus intensely on transfer and interaction joints within the process. In addition, that gives us the advantage of working with a sample that we know has gone through the entire production process. If we work from front to back, we naturally prefer to select procedures that are currently being worked on in this department, and therefore naturally come to an end where the department ends. In the next department, we then select another sample. This method combines well with the "internal customers audit internal suppliers" approach by simply bringing the respective internal customer "forward" to their internal supplier. Other options

There are many more options we could address: self-assessments, mystery calls, workshop methods and group audits, using internships for audits, fairy questions, scenarios and role play. Unfortunately, there's not enough room for all of them here.

Finally, I would like to express a wish: please try just one of the methods written above, or any other change from the classic audit approach. Create your own experiences and see, how much fun you can actually have using various auditing methods with different employees, executives, and cultures within your own organization. Or to put it in the words of a famous shoe manufacturer: just do it!

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Aerospace

DQS GmbH was accredited to EN 9104-001 on June 24, 2013 and is thus required to conduct all audits after that date in full accordance with this standard. This is important to you, since your certificate will reflect that your certification conforms to EN 9104-001. This adds a whole new level of confidence in your certification to your Aerospace- (AS-) customers and you may want to market this upon achieving certification. For this purpose, we have to issue new certificates after the next audit, which will then refer to the new EN 9104-001 standard. Replacements after surveillance will have the same expiry dates. With the implementation of EN 9104-001 there are new requirements for every entity involved in the AS certification process. We will focus on what a CB and certified organizations must adhere to. The requirement that seems to have the most significant impact on our customers is the determination of the certification structure for each certified organization. This is critical to you as this determines how your company will be presented to your customers and will also be stated on your certificate.

In the past we just distinguished between Single Site and Multiple Site organizations. In EN 9104-001, there now are 5 structures that are defined, and every certified organization must be fit into one of these structures.



One structure is for an organization with a single location and the other four structures are for those organizations with more than one location. The 5 structures are:

- A Single Site is an organization with only one location (one address!) and that location is responsible for the entire AQMS.
- A Multiple Site is an organization where the processes are the same (>80%) at each location. Think of this as a franchise like McDonalds or the hotel chains. Each site is listed on the certificate.
- A Campus is an organization where the product moves from location to location to complete the product realization process. This could be where one location does the machining and then ships the product to the next location for assembly; a third location may paint and ship the final product to the customer. In this case, only the last location ships to the customer. Output of one site is the input to the next site. So, we consider this as a "virtual Single Site" with a "Value Stream" through an organization's two or more site. The "leading" site is listed on the certificate.
- A Several Site is an organization where there is more than one location, the product does not have a sequential flow like a Campus, and the processes performed at each location are different. Organizations that have several locations with product realization activity for different product families at each location typically fit into this structure. Each site is listed on the certificate.
- A Complex Organization has a combination of 2 or more of the above structure types. An example may include two locations that manufacture two different products (Several Site) and then 3 distribution locations (Multiple Site). This structure type and its calculation concept need approval by IAQG. Each site is listed on the certificate.

For all structure types, there must be an identified central function, which is not mandatorily the headquarters. For a single site, the site is the central function. For those structures with more than one location, this central function must be identified. This is essential as this location must be identified and comply with the eligibility criteria defined in EN 9104-001 before certification to EN 9104-001 can be granted.

The common eligibility criteria include:

- all sites have a legal, organizational, or contractual link with the central office of the organization and are subject to a common management system, which is established and subject to continuous surveillance;
- the organization's management system is centrally controlled and subject to a common management review;
- all sites are subject to the organization's internal audit program, controlled by the central function;
- the central function has the authority to require that the site(s) implement corrective action, as needed; and
- the organization collects and analyzes data from all sites, including but not limited to, the items listed below. Furthermore, the central function is able to demonstrate its authority and ability to initiate organizational change, as required, in regard to:
 - system documentation;
 - system changes;
 - management review;
 - complaints;
 - evaluation of corrective actions;
 - internal audit planning and evaluation of the associated audit results; and
 - legal requirements.



DQS GmbH, as an accredited certification body (CB), is required to determine the structure and to obtain mutual agreement prior to scheduling, planning, and conducting an audit to EN 9104-001. The Basic-Data-9100 form is a tool that has been developed to gather this information so that the structure can be determined. In addition to that form, for organizations with more than one location, the description of the value stream of how your product flows through your organization's different locations and is delivered to your customer is also needed. You have either already received this from your Customer Service Professional or will be receiving it soon. For those who have already received the Basic-Data-9100 form and already returned it, thank you. For those who have received it but have not yet responded please complete and return as soon as possible. Once we have this information, we will be able to determine the structure and will send this information back to you for your agreement. We must have the structure determined **BEFORE** the number of audit days can be determined and the audit confirmed as the method for determining days differs for each structure type. Our colleagues from UL DQS Inc. in Chicago have posted the EN 9104-001 Transition Presentation from November 9, 2012 here: <http://ul-dqsusa.com/certifications/quality-management/as9100-as9210>

The industry is now placing a significant focus on OASIS and using the information contained within it. The AQMS certifica-

tion process requires active participation in the OASIS database on a regular basis. Recently, a new process was implemented in IAQG OASIS requiring users of OASIS to have logged into the system at least once every 18 months. If there is no activity, the status will change to "deactivated." If the user is the organization administrator, this status will prevent the certification body from making required updates to the organization including audit data and certificates. Additionally, EN 9104-001 requirements indicate the CB may suspend an existing certificate or delay issuance of a new or recertification certificate if the database administrator is not maintained. If you are unsure of your status, please log on to OASIS at: <https://www.sae.org/iaqgdb/supplier-admin.htm>.

If already expired, please contact us at susanna.gregorio-rodrigo@dqs.de.

Auditors have been requested to have the OASIS administrator log into OASIS during the audit to ensure it remains active and to review with the customer if there is any feedback in OASIS.

If you have questions regarding your own transition, please contact Mr. Manfred Gaudl, Product Manager Aerospace at DQS GmbH, at: +49 (0) 69 / 954-27-373. For general information or to request a quote, please contact your local DQS UL office, which can always be found on <https://www.dqs-ul.com/en/pages/international.html>.

ISO 9001:2015 – Quality management is ready for the future!

The International Standards Organization (ISO) has been working on a revision of the leading quality management standard since last year. The ISO Technical Committee TC-176-SC2-WG24 plans to publish the revised version by the end of 2015; until then there are several preparatory stages to go through. Currently, the first publicly available „Committee Draft“, ISO/CD 9001:2013, is under discussion.

This much is for sure

ISO 9001 will continue to be one single standard that is applicable to organizations of any size, type, or business sector, regardless of this revision. However, contrary to the revision of 2008, the draft shows that more extensive changes are in the making: with its so-called „High Level Structure“, ISO 9001:2015 receives a new structure, as described in Annex 1 of Appendix SL of the current ISO Directives (4th edition, 2013). With this, ISO aims to create an identical structure for management systems, and to ensure the uniform use of core texts, terms and definitions. The benefit: an authoritative structure for all new certification bases for management systems, as well as those undergoing revision, will make it easier for users to understand a standard, and will make working with integrated management systems more efficient. The current draft of ISO/CD 9001:2013 already conforms to the new structure and defines a common framework in ten chapters:

For a download of the „High Level Structure“ and other information, please visit the website of www.dqs.de – standards: ISO 9001:2015, documents and links

New food for thought

At this point in the revision it is not yet clear what additional, specific requirements ISO 9001:2015 will contain; in its



content, it will probably be more focused on market requirements. This would mean that customers and users will move more into focus, in addition to products and processes. One of the goals of the revision, which was formulated in 2012, supports this estimate: consideration of the increasingly complex, challenging and dynamic environs in which organizations have to work. And so it comes as no surprise that the international community is currently discussing to what extent risk-based approaches should be included, or if service providers should be addressed more strongly than before.

Changes in content

The revision provides for a number of changes. For example, the process-oriented approach will be strengthened further, and risks will be accounted for more extensively than before, such as in relation to process-orientation and system planning and control. The newly introduced, superordinate term of "documented information" will replace the currently used definitions of "records" or "documents". Another new term is „goods and services“, which stands for an increased consideration of the services sector, replacing the former term of „product“. The changes planned for the area of design & development aim to facilitate the implementation of innovations.

More clarity expected by the end of 2014

More concrete requirements, detailed planning for internal process modifications and transition rules for certification are not expected until the „Final Draft (FDIS)“, which is scheduled for release at the end of 2014. It remains to be seen when consensus can be achieved on the „Committee Draft“ ISO/CD 9001:2013, and if the first official draft (DIS) will be available on schedule in the first half of 2014. The "Committee Draft" published in June 2013 in English is available at the ISO store (www.iso.org).



For more information, please contact your local DQS UL office. The international offices of DQS UL Group can always be found on <https://www.dqs-ul.com/en/pages/international.html>.

The High Level Structure

1. **Scope**
2. **Normative references: both of these chapters contain verbalizations specific to this standard and define the objectives**
3. **Terms and definitions: references to generic terms shown in Annex SL, as well as all definitions specific to this standard**
4. **Context of the organization: understanding the internal and external issues, the needs and expectations of relevant interested parties, the quality management system and its scope**
5. **Leadership: responsibilities and commitment of top management, policy, organizational roles, responsibilities and authorities**
6. **Planning: actions to address risks and opportunities, relevant objectives of the standard and plans for their achievement**
7. **Support: the resources necessary for the respective standard, competence, awareness, communication, and documented information**
8. **Operation: operational planning and control**
9. **Performance evaluation: monitoring, measurement, analysis and evaluation, internal audit, management review**
10. **Improvement: nonconformity, corrective action and improvement**

The "High Level Structure" and other information is available on the website of DQS at http://de.dqs-ul.com/fileadmin/files/de2013/Files/Standards/ISO_9001_2015, downloads and links

The new ISO 27001:2013 standard

DQS would like to inform you of the publication of the new ISO/IEC 27001:2013 standard. We are able to offer you certification based on the current standard immediately.

If your organization has already implemented an information security management system according to ISO/IEC 27001, you should modify your system in time to satisfy the requirements of the new standard. There have been quite a few changes, e.g. ISO/IEC 27001:2013 contains only 113 rather than 133 controls. However, this does not mean that your effort can be reduced, as some requirements have gained in importance that have so far mattered only peripherally.

If you are interested in introducing an information security management system according to ISO/IEC 27001, the most important advantages can be summarized as follows: the consistent alignment of your company processes to the standard demonstrably leads to continuous improvement of the level of security, reduces existing risks, improves adherence to compliance demands, reduces supervisor liability, enhances employee awareness and improves customer satisfaction.

TRANSITION RULES

The current standard ISO/IEC 27001:2005 will remain certifiable for 12 months following the publication of ISO/IEC 27001:2013 (October 1st, 2013). 12 months later, all existent certified management systems will have to be revised to conform to the new standard ISO/IEC 27001:2013. Deadline is October 1st, 2015.



It is recommended that customers who have almost completed certification of an ISMS, complete their certification according to the 2005 version of the standard. Transition to the new version will then be done the following year during the surveillance audit. For further information, see "Here's how it works". Customers who are still in the early phases of implementation should transition to the 2013 version immediately.

We recommend that organizations that are already certified proceed with transition to the new standard in due time, so as not to have an invalid certificate according to the old ISO/IEC 27001:2005 on their hands. This will also help to prevent audits outside of the regular audit cycle from becoming necessary.

After the deadline of October 1st, 2015, the old standard (ISO/IEC 27001:2005) will no longer be valid, even if the certificate should have a longer period of validity.

THIS IS HOW IT WORKS

Any organization with a valid ISO/IEC 27001:2005 certificate may transition to the new standard during any audit. This requires a delta audit in addition to the scheduled audit days. As a rule, this includes a system analysis of one audit day and additional audit time, generally amounting to one audit day and oriented on the corporate structure. Upon successful completion of this audit, the organization receives a new certificate with the validity of the old certificate.

For more details and an overview of the most important changes, please visit the website of DQS GmbH at www.dqs-ul.com or contact the DQS UL office near you. The international offices of DQS UL Group can always be found on <https://www.dqs-ul.com/en/pages/international.html>.

Automotive News – New Rules for ISO/TS 16949 apply from 1 April, 2014

Please see below for a short overview of the eight most important changes – for up-to-date information on the ongoing finalization and more details, please visit our website at www.dqs.de, standards, industry, ISO/TS 16949. Or contact the DQS UL office near you.

- Extended Locations
- Consultants may not be present at the location
- Decertification process
- Exceeding audit deadlines
- Client information for audit planning
- No customer logos on certificates
- Deadlines for nonconformities
- Certifications for sub-areas



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*We would like to sincerely thank
our customers and partners
for another year of good
and trustful cooperation.*

*It has been an honor and a pleasure
to work with you this year.*

*We wish you and your families
happy holidays and a prosperous,
peaceful New Year 2014!*

