

Editorial

Once again...



...a year is behind us that has brought many changes for DQS and the group. In order to provide our customers with even more competent and customized service in this special segment, the food department was transitioned to an independent company. The DQS family has grown by adding new offices in Germany and abroad, and new services in the “auditing” area have expanded the DQS portfolio. Whether we are talking supplier audits, independent process evaluations or the conduct of internal audits: more and more companies like to take advantage of the services provided by DQS and its international resources outside of “classic” certification business, as well.

At the same time, the certification of quality management system is not losing any of its significance. Especially in times when many countries find their economies to be stagnating or even declining, or when conditions are constantly changing, quality has proven itself to be a stabilizing factor in support of sustainable business management. More than one million certified companies the world over place their trust in ISO 9001 as a common basis for their management systems and business relationships. Many studies have shown the added value certification generates for certified companies and their business partners. It is therefore unsurprising that the number of ISO 9001 users has been increasing steadily for many years now, to include a constantly growing number of sector-specific standards based on it (automotive, aerospace, food, rail, medical devices, etc.).

This year, ISO 9001 celebrates 25 years of continued success, and the foundation has already been laid for the next thorough revision, which is scheduled to be finished in 2015. As always, DQS will be closely involved with this revision process, and notify our customers as soon as possible about innovations.

We are looking forward to continue to support our customers both present and future with our services in this area.

Michael Drechsel
Managing Director, DQS UL Group

Transfer to DQS Holding

On 1 January 2013, Michael Drechsel will leave his position as Managing Director of DQS GmbH and transfer to DQS Holding to focus entirely on his responsibilities as Managing Director of DQS Holding. He has been with DQS since 1994, when, with DQS do Brasil, he built up the first foreign office of DQS. In 2004, he was then asked to become Managing Director of DQS GmbH. Along with Stefan Heinloth and Ganesh Rao, Michael Drechsel made up one-third of the management team of DQS Holding, which controls the business of all of DQS UL Group, since the merger with UL MSS in 2008.

In order to meet the increased international business of the group, he will now lay down this double role and spend all of his time and energy within the management of DQS Holding on being responsible for the global operative business of the group. In addition to his responsibilities for selected offices, the 49 year old lawyer will be focusing on the continued further harmonization of the global certification process and auditor management, as well as on all subjects related to accreditation and compliance.

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MyDQS Customer Portal – now with new functionalities

If you are a customer of DQS, you may already be familiar with our customer portal, which is free of charge and allows you fast and secure access to all your audit-relevant data and documents, at any time? In order to further improve the service for our customers, we have enhanced our customer portal MyDQS with an important functionality for your ease of use: the automated “customer notification”.



HOME ZERTIFIZIERUNG



Advantages for DQS customers:

- Changes affecting all sites are transmitted in one collective e-mail
- Changes of data can now be traced in an overview of “previous vs. new”
- Direct link to all new data and documents (e.g. certificate)

The screenshot shows the MyDQS Customer Portal interface. At the top, there is a navigation menu with options like HOME, CERTIFICATIONS, ABOUT US, SERVICES, CUSTOMERS, and CONTACT. Below the menu is a banner with a laptop and a coffee cup, and the text: "Your overview, just one click away. Welcome to the service area." The main content area is divided into sections: CUSTOMERS, CUSTOMER DATABASE, and CUSTOMER PROFILE. The CUSTOMER PROFILE section shows the name "Musterkunde MyDOS" and a photo of a woman. The CUSTOMER DATABASE section lists "NEWEST DOCUMENTS OF SITE" with three entries: "Certificate ISO 9001:2000", "Audit Confirmation #289750095", and "Audit Confirmation #289750095". The CUSTOMER PROFILE section has a "CUSTOMER NOTIFICATION" section with a "Select all" button and a "Save" button. Below this is a table with columns: Data, Documents, ID, and Concern / Division. The table has one row with a checked box in the Data column, a checked box in the Documents column, the ID "ID: 492580", and the Concern / Division "Musterkunde MyDOS Head Office".

Always up-to-date thanks to customer notification!

If you so select, you will receive an e-mail notification about every document newly added to MyDQS, and about every update of your site’s user-related data. No matter if it’s updated data, your last audit report, an order confirmation or your new certificate in .pdf format: a direct link in your notification e-mail not only takes you to the customer portal MyDQS, but directly to the right place – to your new data and documents in the secure area.

Practical, isn’t it? To select “customer notification”, visit MyDQS and register for this new, automated service. Naturally, there is no charge for this.

www.dqs.de

You don’t have access to MyDQS yet?
Please contact your local office.
You can always find the local offices on the website of DQS UL Group at

<https://www.dqs-ul.com/en/dqs-holding.html>





DQS successful at InnoTrans 2012

InnoTrans 2012, the 9th edition of the international expert fair for transportation in Berlin ended on 21 September 2012 with a new record: more than 126,000 professional visitors from 140 countries had shown their interest in products and services offered by more than 2,500 exhibitors from almost 50 countries.

DQS also records a very positive outcome of their participation on the world's largest railway fair. Says Hans Jahn, DQS Product Manager for Rail & Transport: "There is quite a tailwind blowing for the International Railway Industry Standard, IRIS for

short, which is why it was the center of attention at our booth. UNIFE expects the demand for IRIS certificates to increase by 50 % in the next three years. We are well prepared for that." To date, more than 800 manufacturers and suppliers in this sector have been certified to IRIS. Most of the professionals seeking information about the railway standard at the DQS booth hailed from Russia or China. In addition, there were also many inquiries about DQS assessments for environmental or occupational health and safety management, as well as energy management according to ISO 50001.

In their luggage for Berlin, the DQS delegation also carried a certificate according to ISO 9001, which Hans Jahn presented to Vladimir Tarabrin, the Managing Director of TVEMA, during the fair. TVEMA is an international group of companies headquartered in Moscow, which develops, manufactures and markets safety systems for rail transport worldwide. In the course of the upcoming revision of ISO 9001 in the next two or three years, the railway standard IRIS will also be revised. To this end, DQS was called to participate in the UNIFE expert working group "Technical Forum for Improvement".

Introducing two excellent DQS IRIS customers:

The German **Weilburger Coatings GmbH** is the first company in the coatings sector worldwide to be listed in the IRIS portal under the scope of "vehicle bodies". In addition to the requirements for product quality, coatings also have important safety functions to fulfill, for example in the areas of fire protection (fire retardant coatings) or corrosion protection, or to prevent material weakening due to rust. Furthermore, there are safety considerations applicable to, for example, the transportation of products while observing the rules for hazardous material and environmental protection, or the health protection of the employees of Weilburger's customers when working with these products.



from left: Hans Jahn and Herbert W. Rademacher (DQS Auditors) with the management team of Weilburger Coatings

Novochoerkassk Electric Locomotive Works LLC PC, a subsidiary of Transmashholding JSC, is the largest Russian manufacturer of mainline and industrial electrical locomotives. Locomotives manufactured there are reputed to have a particularly high level of reliability in severe climate and difficult terrain conditions. They drive the trains carrying 80% of the total cargo shipped on electrified railway lines in Russia and neighboring countries. More than 16.000 locomotives of 65 types have come off the enterprise's production lines already. The shareholders of Transmashholding JSC are the Dutch company 'The Breakers Investments BV', RZD JSC and the French company Alstom. Today, Novochoerkassk electric locomotive works LLC PC is the largest IRIS-certified enterprise in the world.



On October 15, the Managing Director of DQS Russia, Mikhail Zalunaev (second from right), presented the DQS certificate to Andrey Andreev (second from left), Managing Director of Transmashholding JSC, and Sergey Podust (left), Managing Director of Novochoerkassk electric locomotive works LLC PC, while the President of Russian Railways JSC (RZD JSC), Vladimir Yakunin (right) looked on.

Sector solution based on ISO 9001

IRIS is based on ISO 9001 and supplemented by the specific requirements of the railway industry. Companies in this sector engaged in design and development, manufacture or maintenance can use an IRIS certification to become registered in the UNIFE supplier database at www.iris-rail.org. Almost a quarter of all companies certified to this standard worldwide are customers of DQS. With this share, and one-fifth of all UNIFE-authorized auditors, DQS counts among the most important certification bodies in the railway industry. One of the major advantages of DQS for our customers is our high level of audit competence in integrated management systems, because IRIS is often required in combination with other certification, such as to ISO 14001 or ISO/TS 16949.

Titan's journey to OHSAS 18001 excellence

With the certification of Titan Industries to BS OH 18001 in November 2012, UL DQS India was able to add another member of Tata Group to its pool of prestigious clients. It was a matter of honour that serves to further cement the relationship that UL DQS India has been having with one of the largest corporate houses in India, having certified more than 12 of their group companies.

Titan's journey for OHSAS 18001 commenced more than three years ago with the company investing over 40,000 hours of intensive planning, training, documentation and internal audits across all their plants, warehouses, offices and retail outlets. The intention was to implement an occupational health and safety management system that would ensure the safety of all employees, customers and stakeholders.

The road to certification then started with a kick-off meeting with the top management and various stakeholders from Titan and the team from UL DQS India. The challenge was to deliver about 100 audit days of assessment within a span of three months at all their locations spread across India. The unique and complex certification process covered the entire chain from administration and manufacturing to warehousing and retail. With intensive internal planning and full support from Titan, the team of UL DQS India managed to deliver the audits to their expectations. DQS Germany also rendered support by clearing the initial contract review and also the final reviews very quickly, resulting in the timely issue of certificates with eleven scopes under DAkkS accreditation, which were delivered to Titan in a simple ceremony at their corporate office.



On 23 Nov, 2012, Dr. K Murugan, MD & CEO of UL DQS India, presents the certificates to Mr. Bhaskar Bhat, MD of Titan Industries.



During the ceremony, UL DQS India also made a brief presentation to highlight the good practices and areas of improvement to the team. This was very well received and appreciated by the Titan team. On this occasion, Mr. Bhat credited the Titan team for all their efforts and also UL DQS India for their support during the entire process. The commitment evidenced by Titan's top management toward safety and quality excellence within the Tata Group of Companies.

According to Titan's head of OHSAS, Mr. Anantha Rao, UL DQS India was chosen for their integrity and transparency, a fact that is much appreciated by the team and boosted their morale. This association also opens up further opportunities with the group and we look forward to a long-term fruitful relationship. One facility has already been certified to AS 9100 for the past six years.

Titan Industries in brief

Titan Industries is the organization that brought about a paradigm shift in the Indian watch market when it introduced its futuristic quartz technology, complemented by international styling. With India's two most recognized and loved brands Titan and Tanishq to its credit, Titan Industries is the fifth largest integrated watch manufacturer in the world.

Entering the largely fragmented Indian jewellery market with no known brands in 1995, Titan Industries launched Tanishq, India's most trusted and fastest growing jewellery brand. Titan Industries has also made its foray into eyewear, launching Fastrack eyewear and sunglasses, as well as prescription eyewear. The organization has leveraged its manufacturing competencies and branched into precision engineering products and machine building. With over 827 retail stores across a carpet area of over 10,08,083 sq. ft. Titan Industries has India's largest retail network spanning over 155 towns. The company has over 340 exclusive 'World of Titan' showrooms and over 125 Fastrack stores. It also has a large network of over 700 after-sales-service centers.

Titan Industries is also the largest jewellery retailer in India with over 130 Tanishq boutiques and Zoya stores, and over 31 Gold Plus stores. It also sports over 204 Titan Eye+ stores. The company has two exclusive design studios for watches and jewellery.

Backed by over 6,000 employees, two exclusive design studios for watches and jewellery, 9 manufacturing units, and innumerable admirers world over, Titan Industries continues to grow and sets new standards for innovation and quality. The organization is all geared to repeat the Titan and Tanishq success story with each new offering

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ISO 19011

Guidelines for Auditing Management Systems – part 2

The second part of our series on the changes of ISO 19001 deals with the following three subject areas: the newly introduced audit principle of “confidentiality”, remote audit methods, and the approach of risk-based auditing.

The newly introduced audit principle of “confidentiality”

Audit principles are often overlooked, either because people consider them to be only platitudes, or because there are no operating procedures to go with them. That is regrettable, because these principles define the basic, practical, and ethical preconditions that characterize professional conduct in the audit context. It's not for naught that they preface the guideline. In addition to the well-established ones:

- Integrity (used to be called ethical conduct),
- Fair presentation,
- Due professional care,
- Independence,
- Evidence-based approach,

another one has been added, which deals with confidentiality. The standard illustrates as follows:

“Auditors should exercise discretion in the use and protection of information acquired in the course of their duties. Audit information should not be used inappropriately for personal gain by the auditor or the audit client, or in a manner detrimental to the legitimate interests of the auditee. This concept includes the proper handling of sensitive or confidential information.”

Many readers may now exclaim: but that goes without saying! Still, allow me to ask some questions here: With organization has truly implemented transparent, binding regulations for the handling of confidential and sensitive information? The definition of a distribution list for the audit report is not sufficient for this purpose. Most organizations have no clearly defined rules for this, or at best the “orally passed down” kind that leaves internal auditors free to decide for them how to proceed. That is not fair to the auditors, and it also not prudent in terms of risk prevention. For example, how do internal auditors handle communications amongst themselves? Does the organization even want the transfer of information (which is neither forbidden nor prohibited by the audit principle)? What exactly is the possible “personal gain” that an auditor may incur, maybe for an extra income from

consultancy? From an auditor’s perspective, principles, rules and guidelines for confidentiality are to be recommended especially in the context of supplier audits.

Those of us who have listened attentively in trains or airport lounges to what other travelers have been saying on their phones have noticed to our alarm just how relevant most people consider the “proper handling of sensitive or confidential information”.

Remote audit methods

For the first time, ISO 19001 mentions so-called “remote audit methods” in connection with determining the extent of audit programs. What is meant by this is, obviously, methods that do not require the physical presence of the auditor on site. First reactions to this range from “excellent, from now on audits can be conducted from the quality rep’s desk by phone” to “for heaven’s sake, long-distance auditing, how is that supposed to work, especially for environmental or workplace safety systems?” Careful here: the standard does not mention “remote audits”; it mentions the use of “remote audit methods”. And we have always had those, such as in the case of document review prior to an audit, or when closing measures by sending in evidence and their evaluation by mail, without being on site. So the standard only describes something that has been in use for a while already. Still, we should take this mention as an opportunity to reconsider just which areas, subjects, and people really need to be on site in order to conduct a meaningful audit. Take, just for example, a conference call with an expert via phone, Skype, or Netviewer; or maybe a phone call with a sales team member at a remote location, provided all audit participants have access to the same data. Interestingly enough, Annex B of ISO 19011, which addresses audit methods on the whole, makes reference to a certain “level of confidence” that is prerequisite for the use of remote audit methods.

Whatever the extent may be to which organizations will in the future make use of this opportunity, they need to consider very well those information that cannot be supplied by way of a remote audit method, which are, among others, those that arise from personal human contact or direct visual perception. Speaking for myself and as auditor, I cannot readily imagine increased use of such audit methods in the context of production processes, environmental or workplace safety systems.



The “risk-based auditing” approach

The probably most interesting sentence in the new edition of ISO 19011 can be found in chapter 5.1, where it states in reference to the concept of “risk-based auditing” that: “priority should be given to allocating the audit program resources to audit those matters of significance within the management system”.

This opens up new possibilities for selection, since this expressly permits the auditing of processes in a manner that is either more or less intense, subject to their significance within the management system and the organization. It is now up to the organization to specify which criteria they want to use to determine this significance. Possible criteria might be: key characteristics for product quality, risks, significant environmental aspects or health hazards, corporate or audit objectives, or maturity of the management system. For the latter, Annex A of ISO 9004 may prove worthwhile: it contains a very practical approach for self-evaluation of the maturity level by the organization itself.

Looking at this from the perspective of an external auditor, this process of identifying the “so-called significant processes, areas of the management system” really needs to be supported by evidence, plausible descriptions, and positive proof. Then will external auditors be able to accept audit programs based on this risk-based approach without hesitation. This should put an end to audit programs built on the idea of “each year, each process, each detail”, where audits are simply hurried through. And that is definitely a good message!

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ISO 19011 – applicable to all management system audits

The revised and expanded revision of ISO 19011 was published in December 2011. The expansion of its scope of applicability to include all types of management systems now constitutes a milestone in standardization. This is the first time, for example, that a standard summarizes the principles and handling of management audits in one uniform guideline. The guidelines of this standard describe a systematic, independent, and documented process for the optimum and objective analysis of audits. This makes ISO 19011 an effective tool to keep management systems dynamic, and to continue to develop them.

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ISO 22301 – new international standard for BCM

The new international standard ISO 22301 for Business Continuity (BCM) was published on 14 May 2012. British Standard BS 25999-2 was withdrawn on 1 November, 2012, finally fulfilling a long-standing wish for the standardization of BCM on an international level. While the core requirements of BS 25999-2 have been completely adopted by ISO 22301, some details have been given more emphasis compared to its predecessor. These include, for example, requirements for key indicators, for the efficiency of monitoring, and for management by objectives. The new standard is also more concrete – and therefore emphasizes – just how top management is supposed to handle their tasks and responsibilities in relation to BCM. With ISO 22301, the requirements for planned purchasing and the suppliers themselves have also been intensified. In addition, the standard requires more consideration of stakeholders within BCM planning.

DQS has already started to transfer their customer's existing Business Continuity Management systems to the new standard. From now on, initial certifications will only be conducted on the basis of the internationally recognized standard ISO 22301. Furthermore, DQS has submitted their request for accreditation to ISO 22301 in May, 2012.

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