DQS COMPACT

ISO/TS becomes IATF 16949
Deadline for transition is 14 September 2018

The new international automotive standard IATF 16949 was published in October 2016. It will take the place of the currently applicable Technical Specification ISO/TS 16949:2009. Like its predecessors, the new IATF is aligned with ISO 9001. In this respect, IATF 16949 also follows the new High Level Structure of management system standards, combining the extended requirements of ISO 9001:2015 with those of the automotive industry. In accordance with the transition period for ISO 9001:2008 certificates, certificates to ISO/TS 16949 will expire at the same time, which is on 14 September 2018.

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The Transition Process includes the following steps:

- Document review (off site)
- Transition audit
- Nonconformity management
- Certificate decision
- Certificate issuance

Voluntary transition may be scheduled at the next planned surveillance or recertification audit any time between 1 January and 30 September 2017. Starting 1 October 2017, all audits shall be conducted to IATF 16949.

According to IATF, the transition audit shall be the duration of a re-certification audit as given in IATF Rules, Table 5.2. If document review has to be conducted on-site due to documentation not being submitted in advance, an additional 0.5 days minimum will be carried out prior to the preliminary meeting.

In addition to ISO 9001:2015, we expect the following new/changed requirements:

- Requirements for safety-related parts and processes
- Enhanced product traceability requirements to support latest regulatory changes
- Requirements for products with embedded software (Automotive Spice)
- Warranty management process including addressing NTF (no trouble found) and use of automotive industry guidance
- Clarification of sub-tier supplier management and development requirements
- Addition of corporate responsibility requirements

Even though the deadline is September 14, 2018, the Transition Audit should be **finished by June, 2018,** in order to allow the passing of a certification decision as well as issuance of the new certificate well before the current certificate expires.

Keeping in mind the short timeline, DQS **recommends** any organization currently certified to ISO/TS 16949:2009 and needing to transition to define their own schedule for the Transition Audit by the end of September 2016 already. This will give you ample time to clarify the amount of additional on-site audit time based on know-how, experience and size of your organization, supporting functions on-site or remote) as well as the complexity of processes and existence of a corporate scheme.

The customer service representatives of DQS Group are ready to support you in your effort to transition to the new IATF 16949.

DQS offices all over the world will be organizing workshops and seminars to prepare organizations for the transition to IATF 16949. For the **list of international offices** and how to contact them, please click here ↻

AEROSPACE NEWS

AS 9100D and AS 9120B available
Transition period ends 14 September 2018

The revision of standards for the aerospace industry (AS/EN/JISQ 9101, 9110 and 9120) is ongoing and expected to be finished by the end of this year. Meanwhile, both AS 9120B and AS 9100D have been published and can be purchased at: http://standards.sae.org/as9100d. The remainder will also be published concurrently across America, Asia-Pacific, and Europe, with each region having their own accreditation basis.

Most important message: IAQG has aligned their transition period with that of ISO 9001:2015, which means all existing certificates to AS/EN/JISQ 9100/9110/9120 that have not completed the transition will **cease to be valid on 15 September 2018.** The certification will no longer be eligible for transition, and an initial certification audit will be required.

Supplemental rule SR003 for transition, which applies to all stakeholders, is also available on the OASIS website. Below are the other **important dates and activities** to be aware of during the transition to the revised standards:

- **March 1, 2017** – all currently certified organizations must have communicated with their CB to establish a commitment date for standard transition readiness
- **June 15, 2017** – all audits initiated after this date must be according to 9100/9110/9120:2016
- **June 15, 2018** – all currently certified organizations must have completed their transition audit

Key aspects of the revision are:

IAQG 9100:2016 is based on the same high-level structure as ISO 9001:2015.

- Context of the organization with identification of the most relevant interested parties
- Requirements for leadership quality and availability of resources now more precise
- Re-introduction of the quality manual and top management representative
- Stricter requirements for process control and parameters
- Product safety (now a separate clause of the standard)
- Human factors to consider in case of non-conformities and corrective action
- Risk management, which merges the current requirements of EN/AS/JISQ 9100:2009 with those of ISO 9001:2015
- A separate clause for the prevention of counterfeit parts
- The rules for configuration management are clearer and better
- Awareness – reinforced requirements designed to ensure that employees become aware of their personal contribution to quality

Source: Presentations on the IAQG website, which also provides information and supporting materials such as a transition timetable and clause-by-clause details, articles and FAQ's.

We will continue to publish transition plan updates on the website of www.dqs-holding.com within the coming weeks as the accreditation, application and IAQG transition rules become finalized.

14 months and counting:
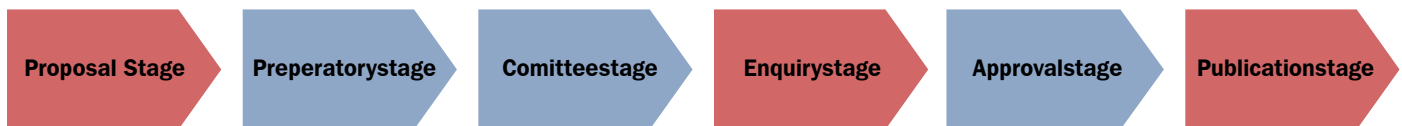# an update to the ongoing revision plans for OHSAS 18001

ISO Committee ISO/PC283 received about 3000 comments on the first DIS (Draft International Standard), resulting in the need for extensive revisions and a second DIS. An analysis of the comments shows a fascinating development: an increased desire by governmental bodies to improve occupational health and safety in their countries.

In addition to the International Labor Organisation (ILO), there are 65 participating members involved in this process, among them large players from Europe, the US, Australia, as well as countries that are still developing, such as Ruanda or Cote d'Ivoire, Jamaica and Colombia. The vastly different legislations governing OHSAS - from highly developed to almost non-existent – as well as different perspectives and needs, need to be addressed before a second draft can be issued. The deadline for publication cannot be moved; ISO 45001 will have to be published before the end of 2017.

Stages and resources for standards development

■ = obligatory   ■ = optional

Proposal Stage → Preperatorystage → Comitteestage → Enquirystage → Approvalstage → Publicationstage

Some of the areas most discussed and certain to be reviewed and updated for the final version are:

- Adoption of the new High Level Structure, which ISO 9001:2015 and ISO 14001:2015 are built upon, makes for easier integration with those management systems. On the other hand, it also means that "risks" and "opportunities", as defined in this structure, need to be interpreted both in the overall context of the organization, and in the context of individual risk – and opportunity! – for each employee. This is new for ISO 45001 and organizations will have to re-think their approach to health and safety at work now, and how to implement this.

- No requirement for an OHSAS representative; instead supervisors and top management are called upon to involve themselves pro-actively to improve the health and safety of their employees.

- Involvement of and consultation with employees or their representatives in the risk analysis and continuous improvement at their place of work.

- Larger context of the organization, not restricted to OHSAS but including the public and relationships with other organizations.

For more information or to get involved in the standardization process, please visit the source at www.iso.org

www.dqs-holding.com

On track for the future: IRIS goes ISO/TS IRIS

InnoTrans 2016 in Berlin was the platform chosen by UNIFE (Association of the European Rail Industry) to "go public" with the long awaited Transition Plan for the railway industry's own standard to become a full-fledge ISO standard in its own right. The development that was started in 2006 and which by now includes close to 2 200 production sites* in 52 countries is taking the next step:

- **ISO/TS to be published by May 2017**, along with the Rules of Certification (by UNIFE)
- IRIS Rev. 02 certificates to expire on **14 September 2018** (along with those for ISO 9001:2008)

This step was taken in order to reinforce the worldwide application and implementation as a recognized standard across industry borders. Building on the experience from other sectors for further developments, IRIS Rev.02.1 Chapter 3 only (requirements) will evolve to an ISO/TS through a document called IRIS Version 2016 submitted to ISO, based on the high level structure of the revised ISO standards, and with rail specific requirements added to the ISO 9001:2015 requirements (Supplemental).

Hans Jahn, DQS Product Manager for IRIS, at InnoTrans 2016

Transition basics:

All organizations currently certified according to IRIS rev. 02 shall successfully make the transition by 14th September 2018, starting with publication of the new ISO/TS. The transition process includes the following steps:

1. **Transition audit** (readiness review and certification audit)
   – Option 1: transition process within their current IRIS rev. 02 audit cycle i.e. at the next planned surveillance or re-certification audit date.
   – Option 2: Transition process at any time i.e. outside the surveillance and re-certification audit cycle.
2. **Nonconformity management**
3. **Certificate issuance**

A new certificate and audit cycle shall then commence.

UNIFE and DQS believe that this evolution will bring more confidence to our customers, as well as a higher acceptance in the sector, trust within the supply chain and overall global recognition.

More details will be communicated in the next months. Please visit the website of www.dqs-holding.com for up-to-date information and news on IRIS and other standards currently under revision or transition.
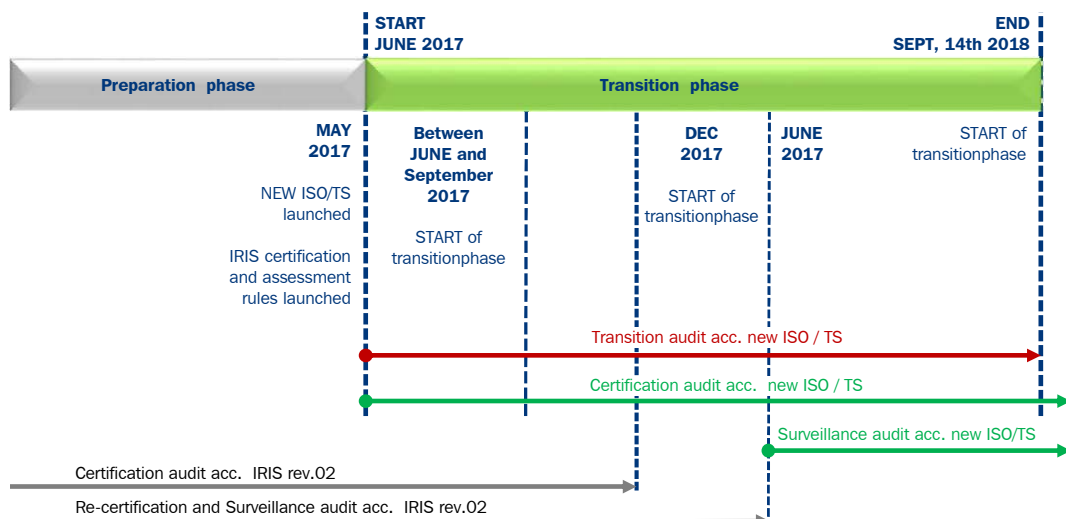
New ISO/TS transition timeline
### Based on the ISO/TC 269 decision from June 2016

On July 15, 2016, the annual DQS Railway Forum was successfully held in Shanghai, with the General Manager of IRIS, Bernard Kaufmann, as special guest. Together with DQS experts, auditors and other participants, they discussed the latest developments in the railway industry and the sustainable development of the IRIS standard.

IRIS was officially released in 2006. In the same year, DQS issued the worldwide first IRIS certificate to Harting, a multinational company specialized in electrical, electronic and optical connections. Mr. Zhang Wei, managing director of DQS AP, and Mr. Kaufmann congratulated the local Harting representative in honor of this anniversary.

As the IRIS standard originated in Europe, DQS senior auditors described in detail the standard requirements, process and applications etc., in order to help companies better understand the domestic rail industry-specific management system requirements. After the meeting, Mr. Zhang Wei and Mr. Bernard Kaufmann had a vivid exchange on the current status on IRIS certification and development trends in China.

To contact the DQS offices in China or elsewhere, please visit the DQS website at www.dqs-holding.com
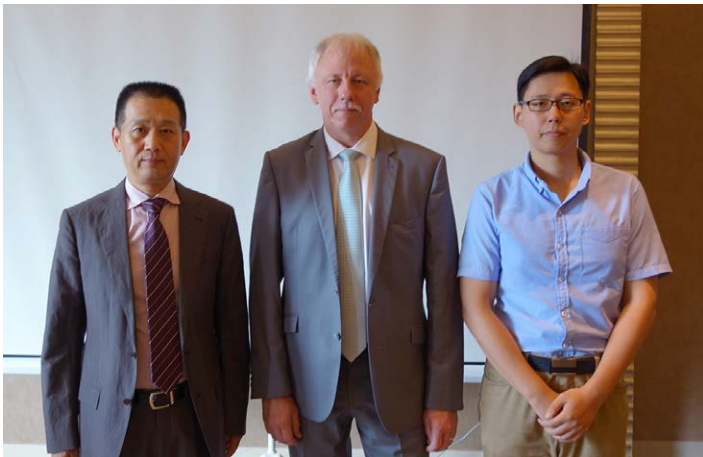
Global networks need global standards – TL 9000 R6 Update

Designed by the QuEST Forum in 1988 specifically for the international telecommunications industry, TL 9000 is a quality management practice for service providers and equipment manufacturers (suppliers, contractors or subcontractors) providing electronic and software components, with a focus on supply chain directives.

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With release of TL 9000:2016 (R6), this standard has now been updated based on the new ISO 9001:2015 and effective from September 15, 2016. The measurement handbook R5.0 is not changing right now. Organizations currently certified to TL 9000 R5.5 will have time until September 15, 2018 to upgrade to the new standard, same as for ISO 9001:2015.

To be consistent with the new ISO 9001:2015, TL 9000 R6.0 has also introduced conceptual changes like risk-based thinking, more emphasis on process approach, no mandatory procedures, no requirement for quality manual and management representatives. IGQ members also took this opportunity to simplify adders and notes based on the feedback received from the members.

TL 9000, R5.5 has 92 adders and 45 notes; the R 6.0 has 84 adders and 41 notes. Also, eight adders have been deleted from R5.5. Overall, practitioners should find reduced requirements and simplified language in TL9000:2016 (R6.0). QuEST Forum has also released the upgrade training module for the auditors.

To read more about the details of adders deleted or introduced, as well as about TL9000 and its benefits, please visit the website of DQS Inc. at
https://dqsus.com/certification/tl-9000/

or
www.tl9000.org for the standard's designers.

ISO revision: where does it pinch?

It has been a year now since the revised standards ISO 9001:2015 and ISO 14001:2015 have been published and organizations have had the opportunity to beat the rush and transfer early. After all, the expectations for the revisions were high, and rightly so: more freedom, risk-based approach, top management responsibility and many other significant changes. Not many companies have had the courage to be pioneers, but when asked, they all confirmed that yes, it was not easy, but it was not a big hurdle, either. After publishing their feedback in an earlier edition, we have now asked their auditors:

Dagmar Blaha, Manager Auditor Management, and Frank Graichen, Managing Director DQS GmbH

What were the most difficult changes?

We wanted our customers to be well prepared, so we introduced a two-step approach: first a readiness review (Stage 1 Audit), where the auditor reviewed the management system for possible gaps vs. the new requirements, followed by the actual system assessment (Stage 2 Audit), the result of which decided on certification.

One year later, we can definitely say this approach paid off. Most of our customers entered the process well prepared, but even the best of them showed gaps when it came to the critical transition issues, such as:

- (Systematic) identification of relevant stakeholders and their expectations: some organizations were unable to identify all of their stakeholders, while some did not realize how to fulfill their expectations within the quality management system. Also, the link between stakeholders/interested parties and the realization of their expectations in the various processes is not always comprehensible /traceable/easily understood.

  This of course affects the evaluation of risks and opportunities associated with stakeholders. It seems that the inner logic of the standard has not quite arrived with the users yet.

- Where not required for other reasons, the risk-based approach was not always well established. Evaluation of product risk or definition, planning and implementation of corrective measures are not sufficiently established yet. Of course DQS does not expect all plans to be based on risk-orientation. Take, for example, the sales process: objectives and indicators have been established and the risk-based approach is focused on achieving the plan. The plan is only a means to achieve the objective, so it does not need to be reviewed for risk – the process itself is subject of the risk evaluation.

- The identification of opportunities is often misunderstood to be the very essence of business itself, and therefore not in need of the systematic identification that is required by the new standard.

- Knowledge management tends to be another difficult area especially for small organizations. A simple but solid approach can be the systematic review of the life cycle of this most important resource: how to gain, maintain and share knowledge, how to use it and lose it.

- The requirements for process management, on the other hand, are usually easy to fulfill. Process owners, competencies and responsibilities have generally been assigned. Only the identification of useful performance indicators presented some initial problems. Processes need to lead to "expected results" that can be measured in operational figures.

- Much easier, at least for most organizations, seems to be the implementation of requirements for top management. Well before ISO 9001:2015, certified organizations had already integrated supervisors into the management system; quite often they were the motivating force behind the system, so now their commitment merely needs to be increased even more. There are, however, some organizations where top management only now – sometimes as late as during readiness review – recognizes the opportunities this presents for their organization. Now there is talk of reviving management reviews, of increased interest and improved communications of supervisors with all levels, which in turn promotes them taking accountability for the quality management system.

The light these first-year audits have shed on the maturity of our customer's systems and readiness once again shows that what matters most when it comes to transitioning is timely and thorough preparation, to include training of responsible people – before the readiness review. Considering the expiration date of the "old" standards is less than two years away, we would like to encourage our readers to make their preparations now, and to contact their CB soonest. Everybody – customers, certification bodies, auditors and experts – will be pressed for time soon and if you are looking to transition safely and smoothly, there is no better time to get started than right now.

If you have not yet done so, we recommend you study the revised standard(s), understand the inner logic of the revision, estimate the amount of effort required to fulfill the new requirements, and approach the transition in the spirit of the revision: risk-based and solution-oriented. The international offices of DQS, their customer service people and auditors are standing by to help existing and new customers avoid the "worst case scenario" of a certificate gap.

Happy transitioning!

The ISO Survey of Management System Standard Certifications 2015

Executive Summary

The ISO Survey of Certifications is an annual survey of the number of valid certificates to ISO management system standards worldwide. In order to compile the information in this survey, ISO contacts accredited* certification bodies and requests information about the number of valid certificates they have as at 31 December 2015. This results in the most comprehensive overview of certifications to these standards currently available.

This year ISO added a new management system standard, ISO/IEC 200001:2011 Information technology – Service management – Part 1 Service management system requirements.

This brings the total of standards surveyed to 9: ISO 9001, ISO 14001, ISO 50001, ISO 27001, ISO 22000, ISO 13485, ISO 22301, ISO 20000-1 and ISO/TS 16949.

A total of 1,519,952 certificates were issued worldwide in 2015, compared to 1,476,504 the previous year, an increase of 3%.

An executive summary of the survey and a tool for the specific search per standard and country are available on the ISO website

Accredited certification bodies are those that have been independently evaluated by accreditation body members of the IAF, the world association of conformity assessment accreditation bodies. ISO itself does not perform certification and therefore does not issue certificates.