DQS COMPACT

MEMBER OF

TAPA EMEA
Transported Asset Protection Association

TAPA – Cargo Security in the Transport and Logistics Sector

Each year, goods valued between eight to ten billion Euros disappear during transport in Europe alone. The verb "disappear" covers criminal acts such as abduction, burglary and theft. To make sure this pays well, well-organized perpetrators focus on brand products and high-value goods. These attacks target e. g. parked trucks, but also warehouses and freight yards. Which options do potential targets have to resist this?

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Robbers prefer quality brands

For the most part, raids on truck cargos are carried out on commission, with the primary risk factor being people. Practically all raids on trucks carrying high-tech or other high-value cargo are based on inside information. Hence, the Transported Asset Protection Association (TAPA), an association of approximately 600 international manufacturers, logistics service providers and law enforcement organizations, was formed for the purpose of reducing such losses along the supply chain.

To achieve this, TAPA has developed globally recognized security standards for cargo companies and transport security. Both standards – TAPA TSR and TAPA FSR – are based on a systematic and risk-based approach using a holistic view of the entire supply chain. Their essential elements are:

- The most modern security procedures and technologies
- Intensive training and sensitization / raising awareness
- Benchmark
- Close cooperation with authorities
- Early identification of security risks
- Implementation of security measures

One particularly effective tool is the so-called TAPA Incident Information Service (IIS). This service continuously gathers data on incidents and makes them available to its members. Using current information on cargo crime, dangerous locations can be avoided, goods protected in transit and stolen goods reported and recovered. Statistics prove that members of TAPA measurably decrease attacks and cargo crime compared to other companies.

Two TAPA Standards for Two Sectors
The TAPA Facility Security Standard (TAPA FSR) addresses risks connected to premises, in which the business activities of buyers or logistics service providers take place. Relevant audits may be carried out at any place in the international supply chain. The audits assess e. g. camera and security systems, protection of goods, access controls and the security of storage areas and company premises. TAPA FSR distinguishes between three levels of security, levels A, B and C, and ties these to appropriate security requirements. Level A is the highest level of security.

The TAPA Trucking Security Requirements (TAPA TSR) standard addresses transport itself. Audit topics include the equipment of trucks (tractors and trailers), processes and their control within the organization as well as a special communications infrastructure. Depending on the number of trucks operated by an organization, TAPA TSR distinguishes between the three categories A, B and C and features three levels of security, here referred to as levels 1, 2 and 3.

DQS has been authorized by TAPA to perform audits and issue certificates according to their FSR and TSR supply chain security standards in the EMEA region (Europe, Middle East and Africa).

Both FSR and TSR specify the minimum acceptable security standards for high value assets moving through the supply chain and the methods to maintain those standards. TAPA Security Standards are a valuable quality and security benchmark for manufacturers to use as part of their selection of logistics partners.

To find out more about what benefits your organization can gain from TAPA, please visit www.dqs.de/en/dqs-audit-systeme/dienstleistungen/tapa, where both FSR and TSR are showcased. Information about TAPA itself can be found at www.tapaemea.org. For information specific to your organization, please contact the nearest DQS office in the EMEA region.

Qualified Carrier – a new quality standard for freight carriers

The new quality standard offers transport companies henceforth more security and freight carriers a new quality seal: "Qualified Carrier" (QC). Freight carriers can use QC to prove to their customers that they fulfil the legal, economic and social requirements of their business. They are assessed in this respect by auditors from DQS, who scrutinize more than 40 control criteria on site. The questionnaire includes, among other things, besides the calculated basis procedures in case of accidents, corporate planning for the future, the implementation of required trainings and adherence to legally required insurance and social standards. With its weighted criteria, the new quality standard also rewards top performance: those who exceed a threshold of 95 percent receive the QC certificate with the "Excellence" qualifier. DQS has worked with a council of renowned sector experts to determine which qualities are particularly important in daily practice.

Energy efficiency for lower cost and less environmental impact

Certifications according to ISO 50001 soon to be based on ISO 50003

Using energy efficiently helps organizations save money as well as helping to conserve resources and tackle climate change. ISO 50001 supports organizations in all sectors to use energy more efficiently, through the development of an energy management system (EnMS). The standard is based on the management system model of continual improvement also used for other well-known standards such as ISO 9001 or ISO 14001. This makes it easier for organizations to integrate energy management into their overall efforts to improve quality and environmental management.

ISO 50001:2011 provides a framework of requirements for organizations to:

- Develop a policy for more efficient use of energy
- Fix targets and objectives to meet the policy
- Use data to better understand and make decisions about energy use
- Measure the results
- Review how well the policy works, and
- Continually improve energy management.

Since ISO 50001 was first published in 2011, a number of other related standards have been developed to complete ISO's energy management and energy savings portfolio.

Most relevant for all organizations wanting to have their energy management system certified is ISO 50003:2014, which stipulates the requirements for bodies providing audit and certification of energy management systems, in addition to ISO 17021:2011.
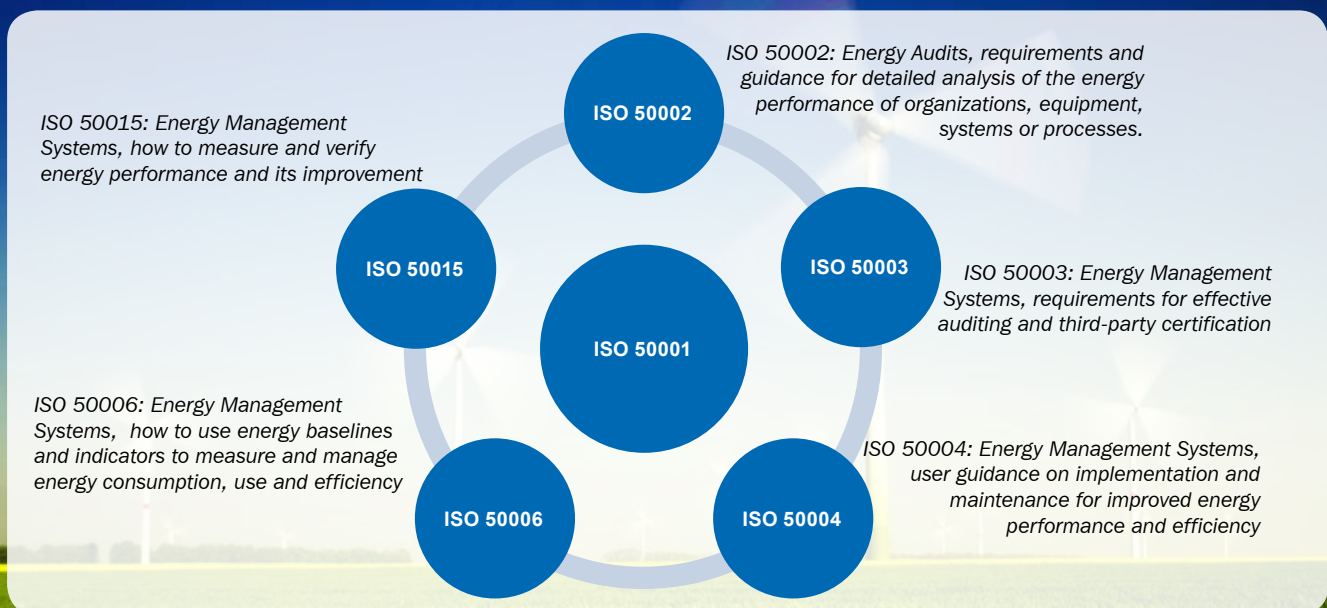
In accordance with the *"Instructions for Transition to ISO 50003:2014"*, all certification bodies under DAkkS are required to implement the new accreditation basis by 14 October, 2017. As soon as the new requirements of ISO 50003:2014 have been adopted, all initial and re-certifications shall take place on the basis of these new accreditation rules.

An overview of relevant changes

The calculation of audit duration is changing and will then be based on the following factors (see ISO 50003:2014, clause 5.3):

- Number of energy sources
- Number of significant energy uses?
- Annual energy consumption
- Number of personnel assigned to tasks relevant for the energy management system

There are also additions regarding the conduct of site sampling procedures, and a new requirement to document the CIP of energy-related performance during initial and re-certification audits.

ISO 50002: Energy Audits, requirements and guidance for detailed analysis of the energy performance of organizations, equipment, systems or processes.

ISO 50015: Energy Management Systems, how to measure and verify energy performance and its improvement

ISO 50003: Energy Management Systems, requirements for effective auditing and third-party certification

ISO 50006: Energy Management Systems, how to use energy baselines and indicators to measure and manage energy consumption, use and efficiency

ISO 50004: Energy Management Systems, user guidance on implementation and maintenance for improved energy performance and efficiency

Here are the changes in detail: Information required for the calculation of audit duration

In order to calculate audit days, the number of energy sources and the level of energy consumption have to be identified. Furthermore, the number of all employees is required who have: significant impact on the EnMS and/or the improvement of the energy performance, or whose activities contribute to implementation of the EnMS.

In addition, SEU (significant energy uses) have to be determined, that is those energy uses with a significant share in the energy consumption and/or with significant potential for improving the energetic performance. In this context, methods and criteria for the identification of SEU have to be evaluated. It may be advantageous to summarize processes or systems.

Applicability of sampling

Annex B of ISO 50003:2014 explains and describes the requirements and procedures for sampling in detail. In particular, if sample procedures are used to audit a management system according to ISO 50001, the specific requirements placed on the energy management system must be considered equally with the demands regarding energy performance (e. g. consistent criteria for determining and adapting the baseline, relevant variables and energy performance indicators (EnPIs).

Audit evidence for continual improvement

Audit evidence for continual improvement of energy performance regarding energy efficiency, energy input or energy use compared to the energetic baseline shall be generated by measurable results. What matters are transparency, plausibility and verifiability.

ISO 50006 and ISO 50015 in particular may help to determine and evaluate the energetic baseline and energy performance indicators. Among other things, they offer starting points for determining a suitable reference period to define the energetic baseline, as well as types of indicators and their use.

What do these changes mean for your organization?

Beginning with the successful transition to the accreditation according to ISO 50003:2014, all initial and re-certifications will be carried out based on this standard. Existing offers and audit schedules based on the old regulations may need to be adapted. Ongoing procedures for which surveillance audits are planned in 2017 are not affected. The same is true for initial certifications scheduled to be conducted prior to the transition in accordance with the currently valid rules of the Deutsche Akkreditierungsstelle GmbH (DAkkS). After 13 October 2020, all certifications that have not been transitioned to the new procedure according to ISO 50003 will no longer be valid.

ISO

Visit the website of ISO for more information on the ISO 50001 series of standards.

To receive individual information about the certification of your organization's energy management system, please contact the DQS office nearest you.

WWW

UPDATES TO STANDARDS

ISO 37001: Certification of your Anti-Bribery Management System

In the age of transparency, no organization can afford to take the risk of bribery lightly. Investors, business associates, personnel and shareholders all need to be assured that the management has made every possible effort to prevent bribery at all levels of the organization. Implementing the ISO 37001 and certification through an independent third party enables you to do exactly that.

Published in 2016, the ISO 37001 standard is designed to help an organization implement and maintain a proactive anti-bribery system. The standard, which replaced the British Standard 10500, provides a number of requirements that represent globally recognized good practice for anti-bribery. The standard is applicable to all kinds of organizations.

Benefits

- The standard provides minimum requirements and supporting guidance for implementing an anti-bribery management system.
- Certification to ISO 37001 provides assurance to management, investors, business associates, personnel, and other stakeholders that an organization has taken appropriate measures to prevent bribery.
- Implementing the measures of the standard reduce the risk of malpractice
- Implementation and certification can be used as evidence of due diligence in case of disputes
- The ISO 37001 standard follows the same structure as ISO 9001, ISO 14001 and ISO 45001 and can easily be integrated into existing management systems
- During the certification audit, our auditors detect potential for improvement and make recommendations to increase the effectiveness of your anti-bribery system

A brochure is available for download on the website of DQS CFS with more information about ISO 37001 and how your organization can benefit from it. Our highly qualified ISO 37001-auditors are ready to provide you with a value-adding certification experience. Please contact the DQS office in your country for information, offers and scheduling.

FSSC 22000 Version 4: An Overview of the Main Changes

The widely adopted certification scheme FSSC 22000 has been revised, in order to stay in tune with the changing expectations of the market. The new issue, Version 4, was published in December 2016, with certification possible since January 2017, mandatory from January 2018. As one of the leading certification bodies for the FSSC 22000 scheme, we have prepared an overview of the main changes.

Extension of the scope: Catering is now also an area covered by FSSC 22000 certification, with ISO/TS 22002-2:2013 as the relevant standard. The scheme also covers Retail, with PAS 221 as the reference. Storage and distribution is another area to be added to the scope in the near future.

Mandatory auditor rotation: auditors will no longer be permitted to audit the same organization for longer than three years in a row

Unannounced, mandatory audits have been introduced in order to safeguard the credibility of FSSC 22000 certification and to comply with GFSI requirements: at least one of the two surveillance audits must be unannounced, and the decision of which lies with the certification body. Certified sites can also choose to have both surveillance audits unannounced. The initial audit and the recertification audit, however, can never be unannounced. The unannounced audit needs to be conducted at any point between 3 and 12 months after the last day of the previous audit. The next announced audit shall be within 24 months of the last day of the previous announced audit.

Food fraud prevention is one of the most conspicuous new requirements, applicable to any scope: certified organizations now have to have a documented food fraud vulnerability assessment procedure in place, in order to identify potential vulnerabilities and prioritize food fraud mitigation measures. This also includes "a documented plan that specifies the measures the organization has implemented to mitigate fraud and the public health risks from the identified food fraud vulnerabilities, supported by the organization's food safety management system and compliant with relevant legislation".

The global DQS offices are ready to be your reliable partner for FSSC 22000 certification. Find their contact data at

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SMETA 6.0: Sedex updates their Ethical Audit Format

With an estimated 230,000 audited sites, SMETA may well be the most widely used ethical audit format in the world. In order to reflect the ongoing evolution of ethical auditing techniques, Sedex has updated the format and aims to publish SMETA 6.0 in early April 2017. It will then be immediately available for use. After May 31st, 2017, SMETA 5.0 will no longer be available. We recommend to transition to the new version as soon as possible, in order to ensure that the audit results will be fully recognized by all users in the future.

What is SMETA 6.0?

Like its predecessor, SMETA 6.0 is an audit format that describes good practice in ethical auditing. As one of the most commonly used ethical audit methodologies in the world, SMETA plays an important role in the effort to ensure responsible sourcing and transparency in supply chains. SMETA audits focus on labor standards, health & safety in the workplace, and optionally also on environmental aspects and ethical business practices.

Because the SMETA methodology is recognized by an ever increasing number of companies and the audit results can be shared in the Sedex Advance Database, the unified methodology reduces audit duplication and lightens the burden for suppliers.

What's new in SMETA 6.0?

Although SMETA 6.0 provides a number of improvements, it preserves the structure and underlying principles of its predecessors. There are few new requirements and suppliers that are already in conformity with SMETA 5.0 should not have significant problems with the update. This is hardly a surprise, given the fact that SMETA is based upon the ETI Base Code, which has not seen major changes in the last couple of years.

Still, the new version introduces a number of improvements and changes:

- Sedex has created a Supplement for Private Employment agencies, to assess the working conditions of workers who are supplied by private employment agencies to work temporarily at user enterprise sites.

- Section 0.A on Human Rights: A new section has been dedicated to the management of human rights. The section focuses on assessing the extent to which businesses and their respective sites understand and manage their human rights impacts. Information will be gathered as observations rather than non-compliances, as specific non-compliances are captured in the other relevant sections of the audit report. The section does not only concern the human rights of workers at the site, but also those of local communities and other stakeholders. SMETA 6.0 is not a full Human Rights Assessment, but instead a check on the site's implementation of processes to meet their human rights responsibilities.

- Each section now contains measurement criteria for good examples, which gives greater visibility to good practices that go beyond the requirements of the code or the law.

- Section 8 – Regular Employment contains a new set of measurement criteria related to recruitment practices. The purpose of these new criteria is to provide greater transparency on the situation of agency workers and contracted workers.

- The Pillar 'Business Ethics' has been overhauled. Whereas in version 5.0 all potential for improvement in this area was reported as observations rather than non-compliances, from version 6.0 onwards it is possible to note non-compliances for business ethics. The section focuses on compliance with the applicable laws and regulations as well as the prevention of fraud, bribery and corruption.

Where can I find the relevant documents?

SMETA guidance consists of 2 parts, with one part describing the audit methodology (called "Best Practice Guidance" – BPG) and the second part details Measurement Criteria. Both documents will be available on the Sedex website for free and without registration as soon as they have been published. Also available for download are a template for the SMETA audit report and a template for the corrective action plan.

Does DQS provide ethical audits according to SMETA 6.0?

Yes, we do. DQS is a member of the Sedex Associate Auditor Group. All of our ethical auditors have received extensive training on the SMETA methodology. We have auditors all over the globe and use local auditors whenever possible. Visit our website and contact our local offices (www) to learn more!

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CUTOMER PROFILES

Engineering Plastics and their road to success through certification

In today's climate of limited economic growth forecast for South Africa in 2017, much of the reliance on producing growth and sustainability comes not from large corporations but from Small and Medium Enterprises (SME). DQS South Africa has the privilege of working with several SME among their portfolio of SA businesses, and we recently had the opportunity to partner with Engineering Plastics, based in Vereeniging, Vaal Triangle, Gauteng Province.

Management, staff and representatives from DQS cheer on the award of ISO 9001 to the company

Under the leadership of MD Hartmut Wegener, the company established in 2000 provides injection moulding facilities for moulded components and assemblies to the local and export automotive and general industry sectors. **We asked their Customer Quality Manager Steve Smidt: what contributes to the success and sustainability of Engineering Plastics?**

"We give our customers an agile service of rapid turnaround from the receipt of product specifications through the tooling process to the finished product with a 'check-do-check' quality review at each stage of the process. As the backbone of this process and with help from our external consultant, we used ISO 9001:2008 as the guideline for the PDCA (Plan, Do, Check, Act) cycle we use throughout the business operations to ensure customer value added in the processing, manufacturing and delivery activity".

Recently, Engineering Plastics selected DQS to be their certification body and to challenge their current system for ISO 9001 certification and enable Engineering Plastics' outcome for successful certification to ISO 9001:2008. Said Smidt, "From the initial contact with DQS SA Marketing and Sales Director Musa Miyen, to the handling of the audits by the DQS auditors and the handover of the ISO 9001:2008 certificate by DQS South-Africa's MD Vusi Bongwe, we feel we have the making of a long-lasting and mutually beneficial relationship".

We asked Hartmut Wegener what else did he feel contributed to their growth?
"To survive in our highly competitive market sector we need to continually challenge the way we deliver and ensure our factory personnel are able to meet the demands of the business we serve. "We've done this through formal industry

training via Plastics/SA as well as using quality improvement 'tools' like Daily Improvement, Quality at the Source, and standardised quality control procedures". Speaking for all 35 employees and the management team, which also includes Ms Minette Smidt (Program Manager), Ms Mavis Nkotsane (Logistics Manager), Bennie van Zyl (General Manager) as well as Steve Smidt, Wegener adds: "We look forward to reaching certification to ISO 9001:2015 and have set our sights on achieving certification to IATF 16949:2016".

DQS Group is looking forward to seeing this and many other SME grow and

prosper in a highly competitive market, thanks to a quality management system certified by DQS.

The contact data of all international offices of DQS Group can always be found at **www**