UPDATES to STANDARDS
NEWS YOU CAN USE FROM UL DQS, Inc.

## Aerospace - AS9104/1

UL DQS was accredited to AS9104/1 on December 14, 2012 and is thereby required to conduct all audits after January 1, 2013 in full accordance with this standard. This is important to you, since your certificate will reflect that your certification conforms to AS 9104/1. This adds a whole new level of confidence in your certification to your AS customers and you may want to market this upon achieving certification. With the implementation of AS9104/1 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 be having the most significant impact on our customers is the determination of the 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 included on your certificate. In AS9104/1, there are 5 structures that are defined and every certified organization must fit into one of these structures. One structure is for an organization with a single location and the other structures are for organizations with more than one location. The 5 structures are:

1. A Single Site is an organization with only one location and that location is responsible for the entire AQMS.
2. A Multiple Site is an organization where the processes are the same at each location. Think of this as a franchise like McDonalds or the Hampton Inn. Each site is listed on the certificate.
3. 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.
4. 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 that have product realization activity for different product families at each location typically fit in this structure. Each site is listed on the certificate.
5. 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).

For all structure types, there must be an identified central function. 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 the critical piece because the location must be identified and comply with the eligibility criteria defined in AS9104/1 before certification to AS9104/1 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 office;
- The central office 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 office 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.

UL DQS, as a certified body, is required to determine the structure and to attain mutual agreement prior to scheduling, planning, and conducting an audit to AS9104/1. The AS Basic Data form is a tool that has been developed to gather this information so that the structure can be determined. In addition to the AS Basic Data form, for organizations with more than one location, 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 AS BASIC DATA form and have completed it and 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.

If you have any questions, please contact us at: I 800-285-4476. We have also posted the AS9104/1 Transition Presentation from November 9, 2012: http://ul-dqsusa.com/certifications/quality-management/as9100-as9210/.

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The industry is now placing a significant focus on OASIS and using the information contained within it. The AQMS certification 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, AS9104/1 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. 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.

## Societal security — Business continuity management systems – ISO 22301:2012

Business Continuity Management (BCM) defines the processes that help a business identify issues and potential risks. Often, people associate these potential risks with emergencies, disasters or other crises that have the ability to disrupt the normal flow of activity for the organization. A BCM helps to minimize these risks and ensure adequate resources are available to maintain the normal course of business. The ISO technical committee, TC 223, published this new international standard in May 2012. ISO 22301 incorporated business continuity requirements from two international standards, BS 25999 and SS540.

The BCM requirements defined in the ISO standard are very similar to the British standard; however, it is very different in structure. This is an effort from ISO to ensure consistency with other management system standards such as ISO 9001 Quality management systems, ISO 14001, Environmental management systems, ISO/IEC 27001, Information security management systems, ISO/IEC 20000-1, Information technology — Service management, and ISO 28000, Specification for security management systems for the supply chain. This structure of this standard enables seamless integration of ISO 22301 with the standards mentioned above.

ISO also published ISO 22313:2012 Societal security -- Business continuity management systems -- Guidance in December of 2012. This guidance document is definitely a great value add from ISO in this space.

The UK Accreditation Service (UKAS) has already announced a two year transition plan which should enable organizations to obtain accredited certification to ISO 22301 during the course of their normal (or surveillance) visits. UKAS will not issue certification or renewals to BS 25999-2 after May 2014. We are waiting for announcement from ANAB (ANSI-ASQ National Accreditation Board) on their transition plan from BS 25999-2 to ISO 22301. We will keep you posted as more information becomes available.

## Energy Management - ISO 50001 Update

ISO Standards are developed with global stakeholder buy-in: industry, government, accreditors, auditor certification bodies, certification bodies, (like UL DQS) and consumers. They represent global consensus on practical, technological best practice that can be implemented. ISO standards can drive innovative solutions in both developed and developing countries. They are, therefore, powerful tools for taking action on global challenges.

Part of the Standard development process includes the expectations on how an organization can reach the full potential of the ISO 50001 Energy Management System Requirements.

The Technical Advisory Group (TAG) for ISO 50001 ISO/TC 242 is currently in the process of developing supporting standards to the ISO 50001 standard. While much work is "in process" they are still in the stakeholder comment and review process in what ISO terms as a Committee Draft (CD). The following standards are in this phase of the process:

- ISO/CD 50002, Energy Audits;
- ISO/CD 50003, Energy Management system audits and auditor competency;
- ISO/CD 50004, Guidance for the Implementation, Maintenance and Improvement of an EnMS;
- ISO 50006, Energy Baseline and Energy Performance Indicators (EnPIs); and
- ISO/CD Monitoring measurement, analysis and verification of organizational energy performance.

The Standard that will have a major impact on how audits will be performed and the competency required for third party auditors is the ISO/CD 50003 standard. These requirements will dictate the requirements that certification bodies will need to follow in order to be accredited to perform audits and issue accredited certificates to ISO 50001. While these requirements are still in the formulation stage of drafting in the ISO process, we will continue to keep you posted on further changes. Organizations that are already certified to ISO 50001 or in the process of certification will be allowed time to adjust to these updates as needed. There will be an effective date for conformance to these rules and UL DQS will assure a full understanding, and timely notification to clients and a seamless transition process to a published effective date, normally established by

ISO and the accreditation bodies. These rules consider things like audit duration based on complexity requirements. UL DQS will give prompt notice via our website, IMPACT newsletter and social media to our certified customers as information becomes available.

Highlights from draft ISO 50003:

Determination of Audit Time:

ISO 17021, Conformity assessment - requirements for bodies providing audit and certification of management systems will continue to be the foundation for audit requirements. The new energy management scoping information likely to be considered includes:

- Total energy consumption (Typically this is in MM BTU or Terra Joules, all sources rolled up)
- Significant energy uses (SEU's based on a ranked priority list of all sources)
- Energy Sources (i.e. electric, gas, solar, etc.)
- Number of effective personnel
- Demonstrated energy performance (i.e. a result compared against a normalized baseline of consumption)

Audit duration will most likely be based upon the "effective number" of personnel that can affect the energy management system. In general, we expect to see that persons who contribute to meeting the requirements of the energy management system – planning, operational control, monitoring, measurement and energy performance will be included. This will include procurement (purchasing) and design (engineering support for purchasing), maintenance, operations, etc. that directly affect energy use and consumption. This will require cross-functional collaboration within the organization from everyone within the organization having an impact on the EnMS.

## Food Safety Management

On January 4, 2013 the FDA has released, for public comment, a proposed rule on Preventive Controls for Human Food and a proposed rule on Standards for Produce Safety. These rules are just two of the proposed rules that are key to the preventive food safety approach established by the 2011 FDA Food Safety Modernization Act. They build on existing voluntary industry guidelines for food safety, which many producers, growers and others currently follow. FDA expects to soon issue its proposed rule on importer foreign supplier verification; future proposed rules will address preventive controls for animal food, and accreditation of third-party auditors.

Proposed Standards for Produce Safety

The proposed produce rule covers all fruits and vegetables except those rarely consumed raw, produced for personal consumption, or destined for commercial processing that will reduce microorganisms of public health concern. The proposed rule is based on science and risk-analysis, and focuses on areas of risk, most noticeably:

- Agricultural water;
- Biological soil amendments;
- Health and hygiene;
- Domesticated and wild animals; and
- Equipment, tools and buildings.

The produce rule is aimed at being flexible for different-sized farms, at complementing conservation laws and rules, and at not conflicting with laws and rules for organic farming. Certain farms would be exempt from most of the requirements based on sales volume.

Preventive Controls for Human Food

The proposed rule on preventive controls for human food would apply to facilities that manufacture, process, pack or hold human food. In general, with some exceptions, the new preventive control provisions would apply to facilities that are required to register with FDA under FDA's current food facility registration regulations. A number of exemptions and modified requirements have been established.

The rule proposes each covered facility to prepare and implement a written food safety plan (also known as a HACCP plan), which would include the following:

- Hazard analysis;
- Risk based preventive controls;
- Monitoring procedures;
- Corrective actions;
- Verification; and
- Recordkeeping.