



FAQ

AUDIT MANAGER – BASIC CUSTOMER INFORMATION

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Quality.

Why must the process owners be entered per process?

- The need to enter a process owner for each process is not new in itself. The audit agenda is part of the audit report, in which the interviewees are always named anyway. The need arises quite naturally from the need for sensible audit planning to ensure an effective audit performance at the end.
- It is true that ISO/IEC 17021 under 9.2.3.2 only requires to mention the organizational and functional units or processes and the roles and responsibilities of the members of the audit team including the accompanying persons. However, we also consider it necessary to record the contact persons for each process to achieve a certain degree of traceability of the audit process and to allow the assignment of responsibilities for processes.

Why must the legal requirements be entered per process?

- Like any other certification company, DQS is also obliged to check the ability of the management system to determine the extent to which it ensures compliance with customer as well as applicable legal and regulatory requirements. Since we audit in a process-oriented manner, we need to know which legal requirements have to be taken into account when auditing certain processes.
- This is also in the interest of the audited organization itself. Hence it is important to meet requirements for the process approach (ISO 9001, 4.4.1) and requirements for products or services (ISO 9001, 8.2.2) and thus to ensure any applicable legal and regulatory requirements are met. This is only possible if the relevant requirements for each process are known. If there are no separate legal, regulatory and contractual requirements for a process, there is nothing wrong with answering this with "not applicable".

How is data security ensured? (1)

- The servers on which the data and documents required for the operation of the DQS Audit Manager are located are operated via a data center of a hosting service provider Hetzner Online GmbH, Industriestraße 25, 91710 Gunzenhausen, Germany. The servers are owned by DQS and are operated and maintained exclusively by DQS employees.
- The data center of the service provider Hetzner is certified according to DIN ISO/IEC 27001 and therefore meets the highest level of data security. For more information on the data protection regulations of this service provider, please refer to its data protection declaration, which is available at:
<https://www.hetzner.com/unternehmen/zertifizierung?country=us>

How is data security ensured? (2)

- To ensure high-performance loading of the DQS Audit Manager application when the program starts, its static program code (HTML, Javascript, CSS) is stored in Microsoft's "Azure" cloud platform. Customer data or documents from customers, auditors or employees are expressly excluded from this.
- The transmission between the application and the database takes place via a dedicated SSL (https) encrypted data connection (API) directly between the client and the aforementioned data center of the service provider Hetzner Online GmbH. There is no exchange of data or documents between the Azure Cloud and the Hetzner Online GmbH data center.

What is the impact of the new Audit Manager on the CARA report (IATF 16949:2016)?

- The new version of Audit Manager 3.1 has no impact on the CARA report (only applies to IATF 16949).



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