

MIT FÜR

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HOUSE RULES

The webinar is being recorded. The Q & A will start after each presentation / topic. Please raise your hand 🙋 and the host will invite you to speak. Thank you for your cooperation!



INTERNATIONAL UNION
OF RAILWAYS

DEEP DIVE INTO AUDIT MANAGEMENT

12 June 2024

Speakers



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LET'S GET TO KNOW YOU BETTER

POLL

Agenda

1**Audit Management**

how does it contribute to railway business?

2**Joint Sector Programmes**

fostering cooperation in overcoming challenges

3**UIC expertise**

shaping auditing for railways



INTERNATIONAL UNION
OF RAILWAYS

AUDIT MANAGEMENT

HOW DOES IT CONTRIBUTE TO RAILWAY BUSINESS

Stefan Hackl

UIC Quality / Rail Cargo Group

Audit Management

- Overview
- Requirements' basis
- Standards
- Performing an audit
- Improving an audit
- Integrated audits
- Audit masterclass

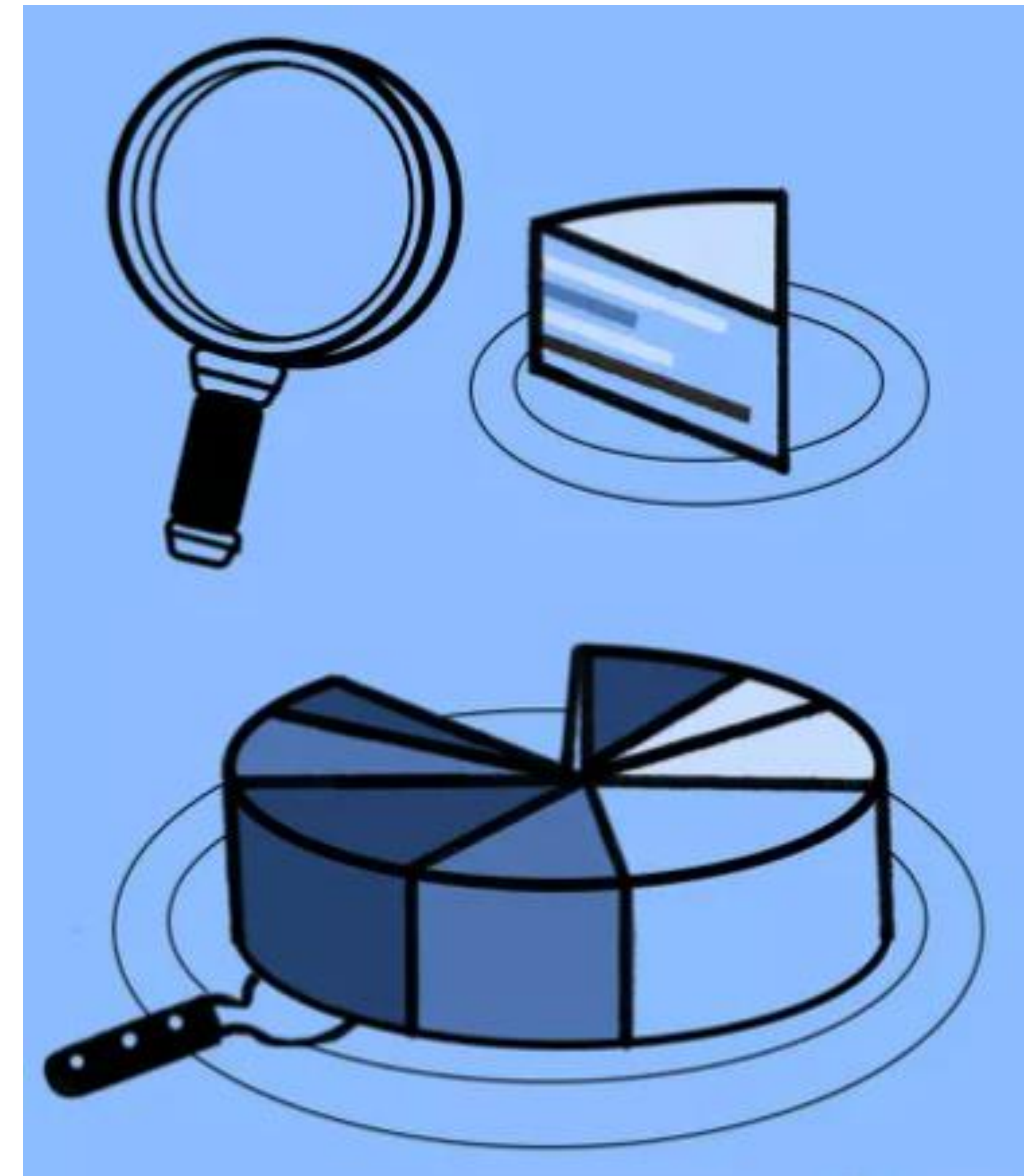


Overview: what is an audit?

Most important definitions

Audit

- A routine inspection performed by either internal employees or an external auditor. The objective is to assure that the business is following requirements.
- **1st party audit** is performed by internal employees.
- **2nd party audit** is performed by clients or hired companies by the client.
- **3rd party audit** is performed by (accredited) companies to conform working against standards.



Overview: what is an audit?

Most important definitions

Audit

- A routine inspection performed by either internal employees or an external auditor. The objective is to assure that the business is following requirements.

System audit

- A comprehensive assessment of an organisation's management system.

Process audit

- A structured review of an organisation's processes to identify areas for improvement.

Product audit

- An examination of a particular product or service, such as hardware, processed material, or software, to evaluate whether it conforms to requirements e.g. a safety critical software.

Requirements' basis: where does it come from?

- Intrinsic motivation to check internal processes.
- Laws & standards, e.g. ISO 9001 for quality management or Railway Safety Management (EU 2018/762) require internal audits within your organisation.
- Clients can demand audits based on contractual relationships within your organisation and even your suppliers.
- Laws & standards, e.g. ISO 14001 also require to “manage” your suppliers. A tool to manage your supplier can be supplier auditing.
- Upcoming laws like Corporate Sustainability Due Diligence Directive (EU) will force companies do “manage” their suppliers.



Standards: which require audits?

- Quality management (ISO 9001)
- Work safety & health management (ISO 45001)
- Food safety management (ISO 22000)
- IT Security management (ISO 27001)
- Feed safety management (GMP+)
- Railway Safety Management (EU 2018/762)
- Entity in Charge of Maintenance (EU 2019/779)
- ... and many more

Performing an audit: how to?



Strategic planning

- which departments, suppliers,... will be audited in the next 3-5 years



Short term planning

- which departments about what topic and with which auditor will be audited this year; additionally agree on dates and timeframes



Prepare for an audit

- deep dive into processes, reports, complaints, laws, technical data,...)



Perform an audit

- ask questions, take notes, do a walk, obtain significant samples,... and agree on findings and timeframes to solve issues



Improve & manage

- keep track of findings & measures, try to discover root causes and manage issues until they are solved

Improving an audit : how to?

Keep your auditors sharp

- Qualify them regularly especially the technique of asking questions
- Qualify them in detail, e.g. crash course in welding for maintenance auditors

Frequently change the audit technique

- Process vs. system vs. product audit

Include standards you are not familiar with

Frequently change auditors to get a different angle

Integrate a risk approach

- Transport of chlorine vs. transport of timber

Cooperate with clients / suppliers for cross audits

... and many more

Integrated audits: how to?

Assumption

- Many standards / laws have comparable requirements.

Remember

- Laws & standards, e.g. ISO 9001 for quality management or Railway Safety Management (EU 2018/762) require internal audits within your organisation.

Integrated approach

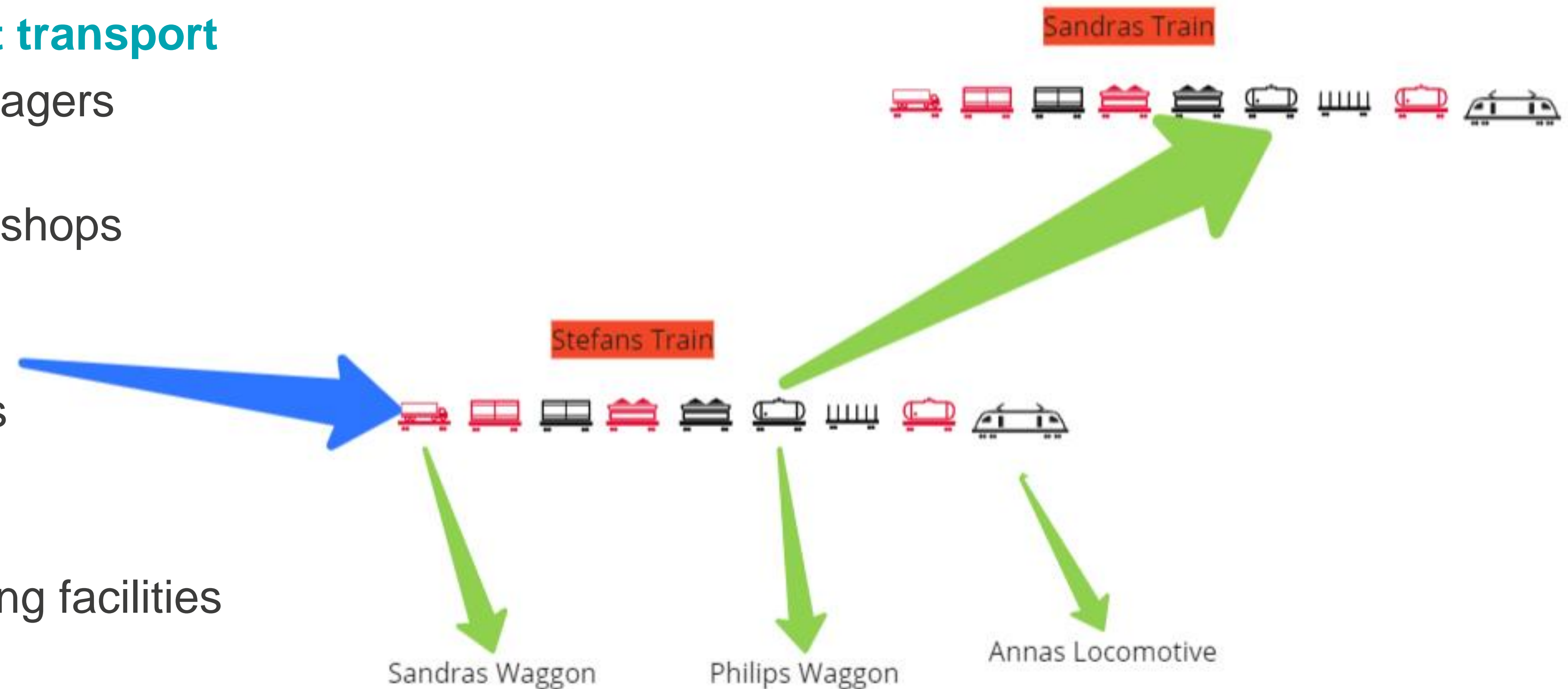
- Do you have a quality, safety, ... policy?
- (Safety) walk includes also waste disposal, perimeter security, ...



Audit Masterclass

Suppliers for freight transport

- Infrastructure managers
- Traction providers
- Maintenance workshops
- Wagon keepers
- Shunting yards
- Terminal operators
- Security services
- Cleaning station
- Loading & unloading facilities



Cooperation is the key to survival!



QUESTIONS & ANSWERS



INTERNATIONAL UNION
OF RAILWAYS

JOINT SECTOR PROGRAMMES FOSTERING COOPERATION IN OVERCOMING CHALLENGES

Imre Elek

Philip Van den Bosch

Stefan Hackl

CEFIC

UIC

UIC Quality / Rail Cargo Group

Joint Sector Programmes

- **CEFIC** – chemical industry's SQAS (Safety and Quality Assessment for Sustainability)
- **IATA** – airline industry's DAQCP (De-Icing / Anti-Acing Quality Control Pool)
- **UIC** – railway sector's Audit4all project



SQAS Introduction



Imre Elek

12nd of June 2024



What does SQAS aim to do?



- Offers a **common database of standardized assessments**
- Assessed companies access **qualified and independent assessors** covering most of Europe
- Insights into your **current supply chain operations**
- And information to **support selection** of logistics service providers and distributors (tenders)
- × **SQAS is not a certification scheme**



Which areas does SQAS cover?



Road transport services



Tank Cleaning Stations



Warehouses



Chemical distributors



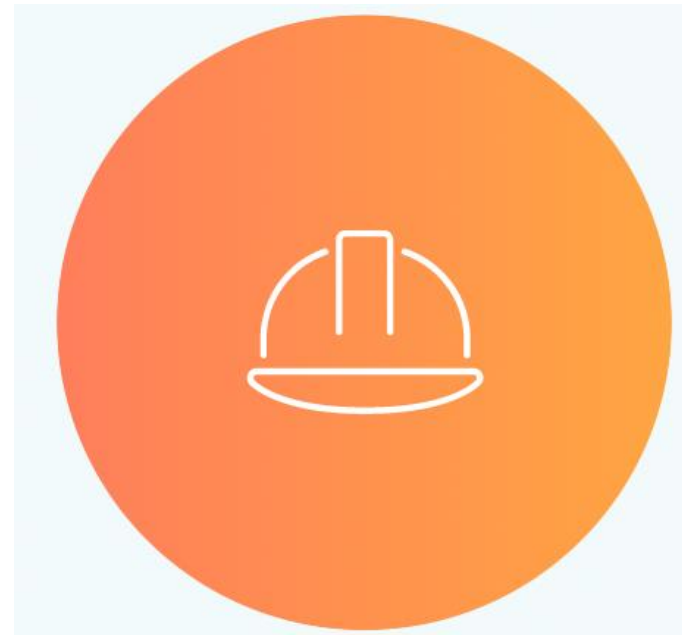
Rail transport services



Sections



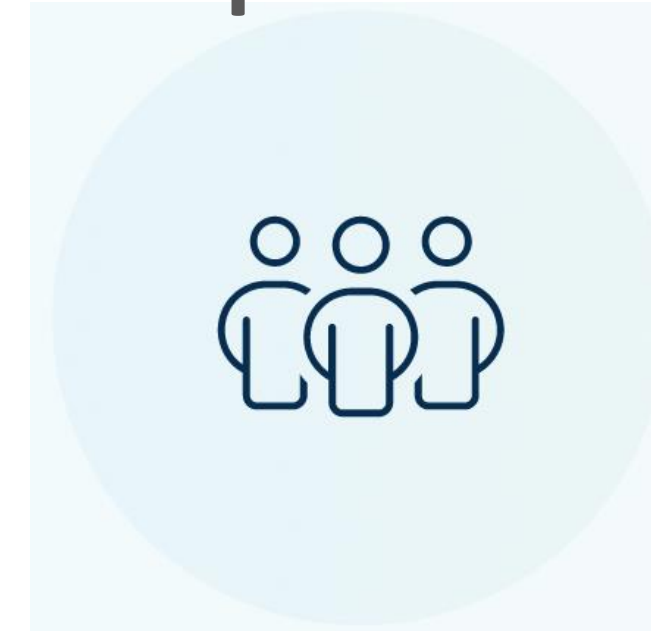
Safety



Security



Corporate Social Responsibility



Quality



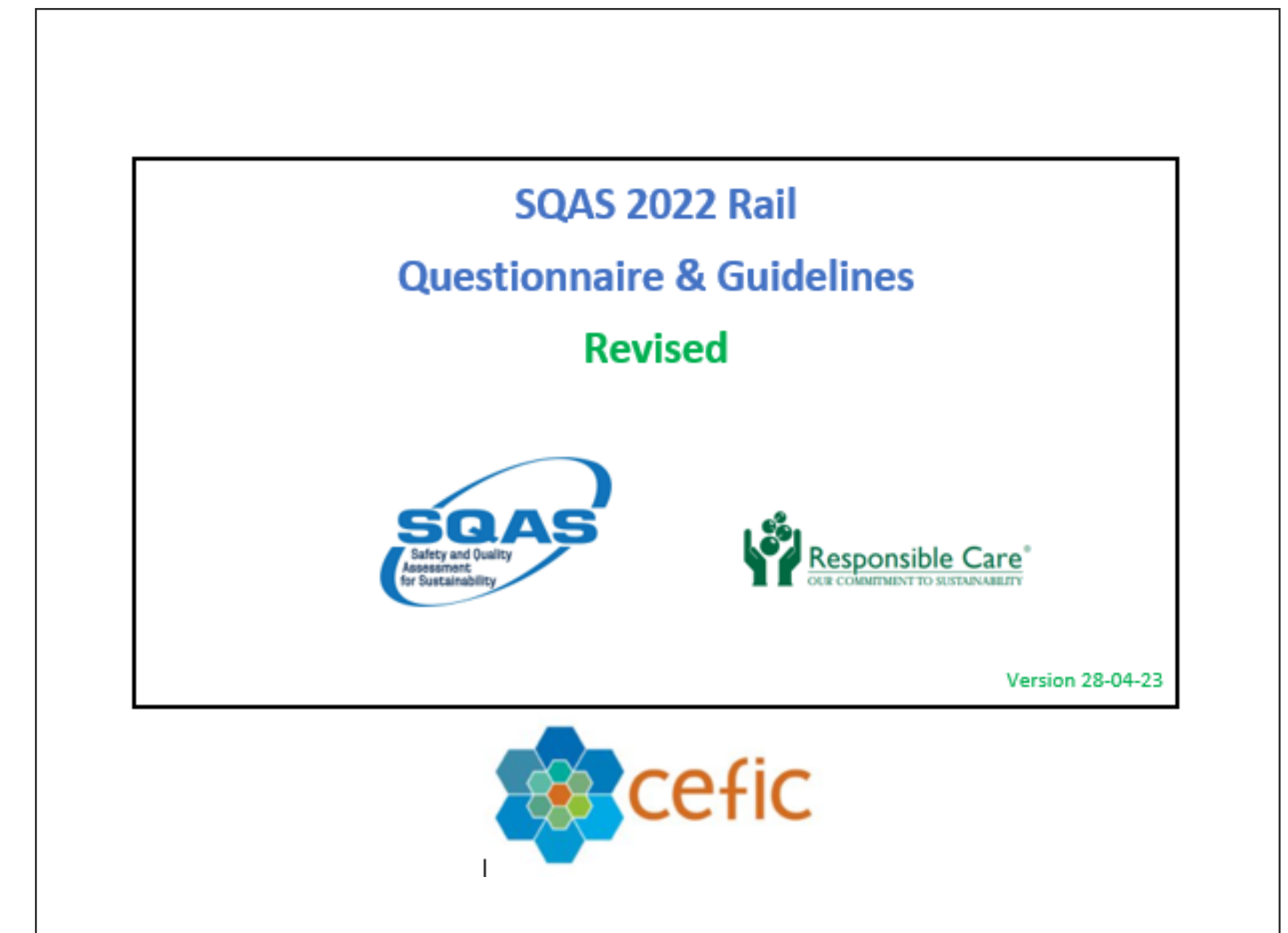
Environment



SQAS questionnaires



- Frequently updated – new version launched in January 2022, next version will be published in mid 2025
- Publicly accessible
- Available in English, German, French, Spanish and Italian
- New sections covering
 - Depot
 - Digitalization (including cybersecurity)
 - Handling of PFAS waste



Key components



- **Safety Management**
 - Safety protocols and training
 - Equipment and infrastructure inspections
- **Quality Management**
 - Quality control processes
 - Maintenance schedules and performance indicators
- **Security Measures**
 - Cargo protection and access control
 - Tracking and monitoring systems



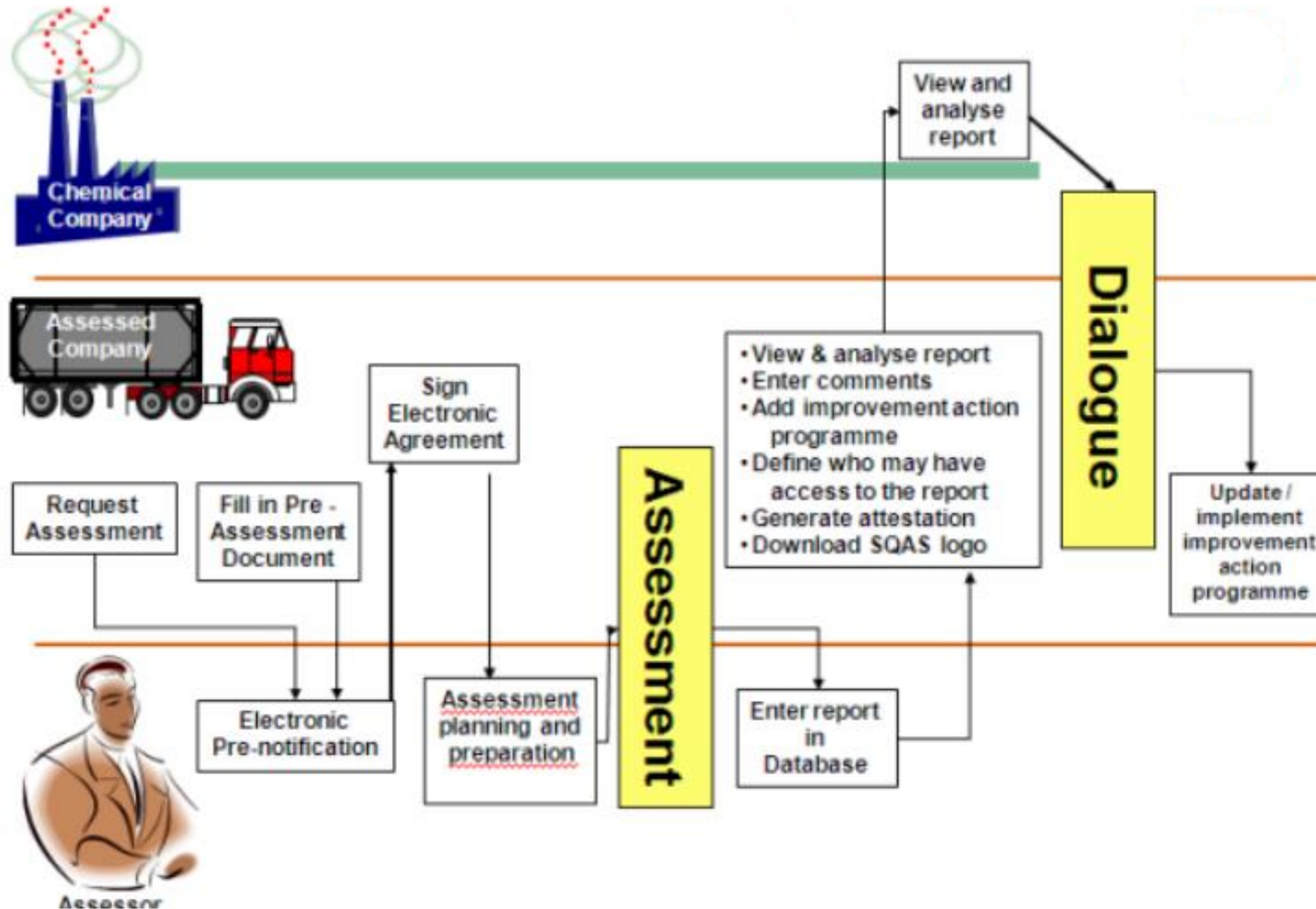
Key components



- **Environmental Performance**
 - Environmental policies and initiatives
 - Compliance with regulations
- **Regulatory Compliance**
 - Adherence to national and international regulations
 - Verification of licenses and certifications
- **Operational Efficiency**
 - Logistics and operational process analysis



The SQAS Assessment Process



Continuous improvement



- 1 Pre-assessment document (PAD):** outlines assessment scope to assessor
- 2 Onsite assessment:** Assessor visits and generates report.
- 3 Assessment shared:** central database, easy analysis.
- 4 Improvement period:** weaknesses identified and improvement plan developed.



Key SQAS principles



- An **independent**, neutral, no commercial interest with assessed companies
- A **strong** quality assurance system
- **Not a certification** system - checks the compliance with requirements related to European legislation, industry best practices and improvement techniques
- The assessment reports remain valid for **3 years**
- In case of revealed nonconformity, incident, or relevant company changes (e.g. activity) reassessment or intermediate assessment might be requested



Strength in numbers



Chemical companies
As members



Insights for logistics Service
Providers & distributors



Average assessments per
year



Countries covering most of
Europe



A snapshot of our members



63(+7) independent SQAS Assessors covering most European countries



- Requirements to become SQAS/ESAD assessors:
 - Dangerous Goods Safety Adviser
 - System Lead Auditor (ISO 9001, 14001, etc.)
 - Training Course + examination in Brussels
 - E-examinations of SQAS/ESAD modules
 - Appraisal by another SQAS assessor
- Permanent monitoring and appraisal by the Technical and Accreditation Committee
- Re-accredited every three years



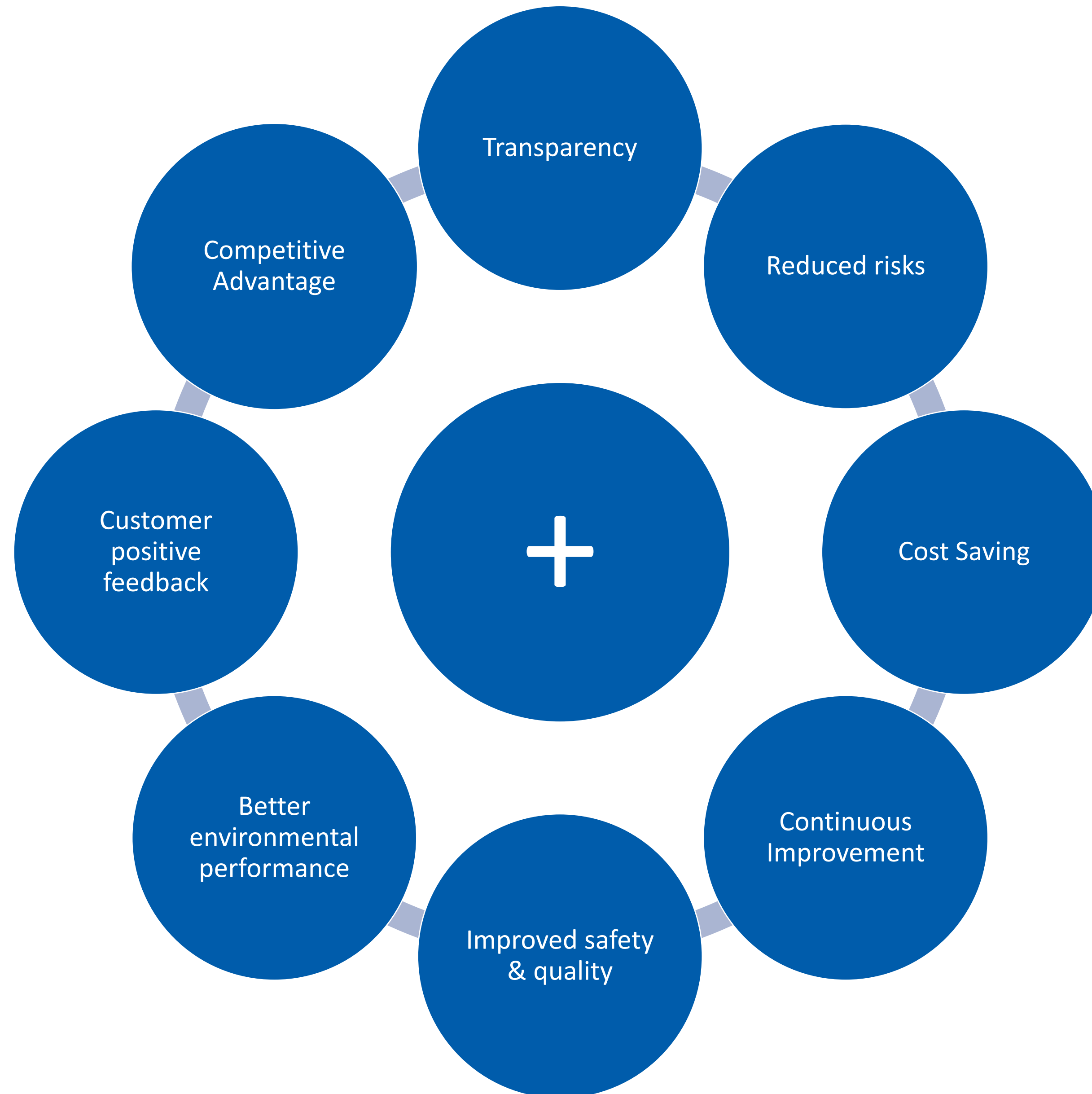
SQAS benefits for Assessed companies



- Enhanced safety and risk management
- Improved quality & environmental practices
- Standardized assessments for partners
- Increased visibility into the supply chain
- Informed decision making for tenders

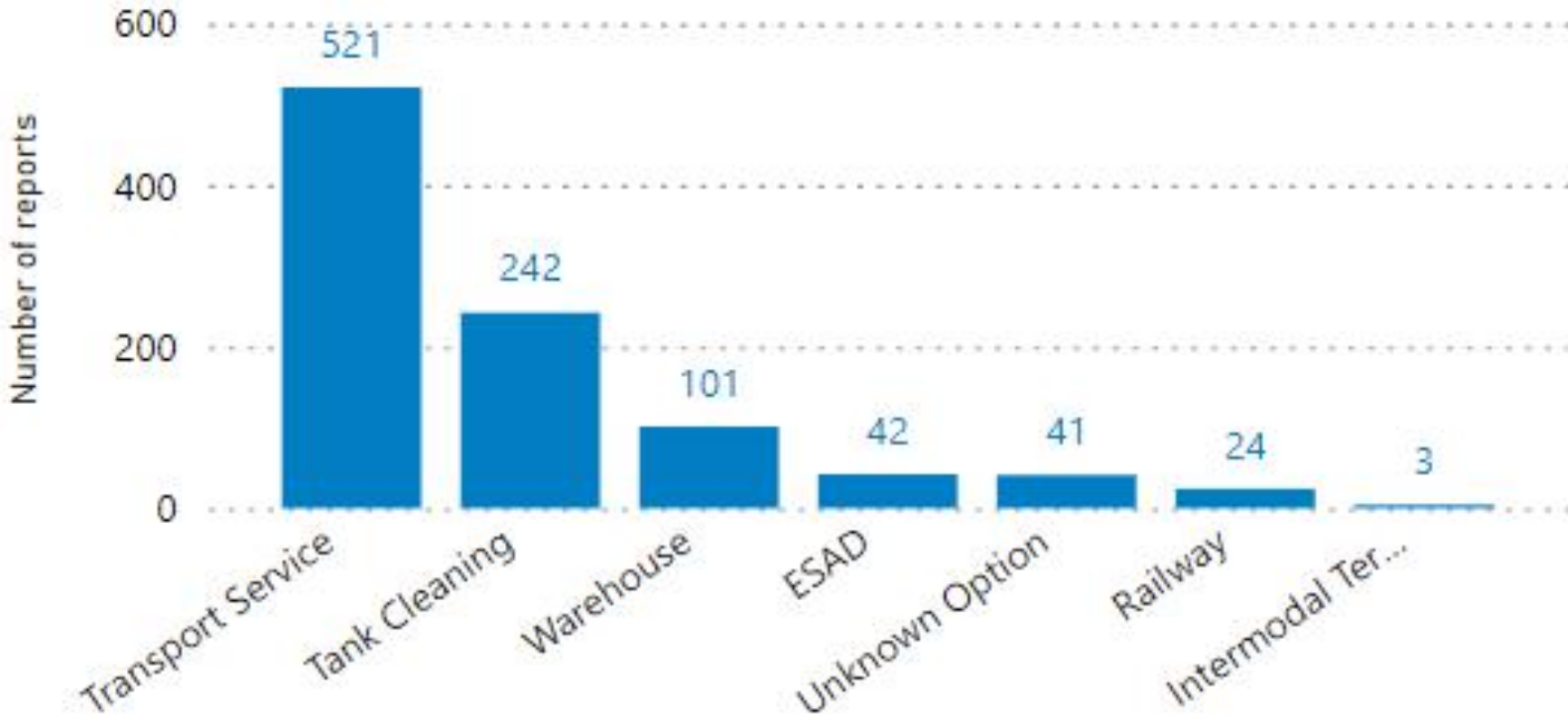


SQAS benefits for Chemical companies

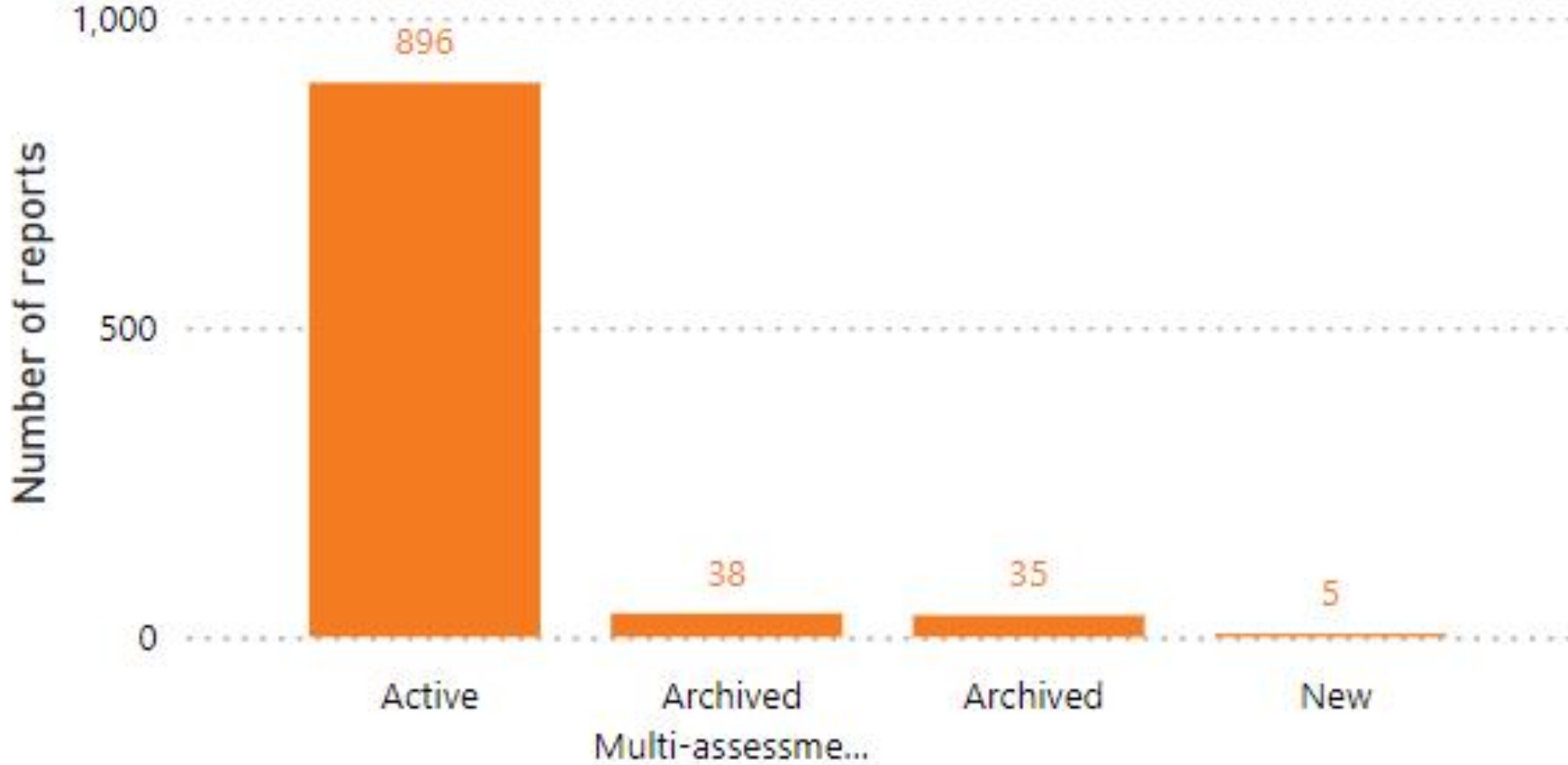


SQAS 2023 Statistics

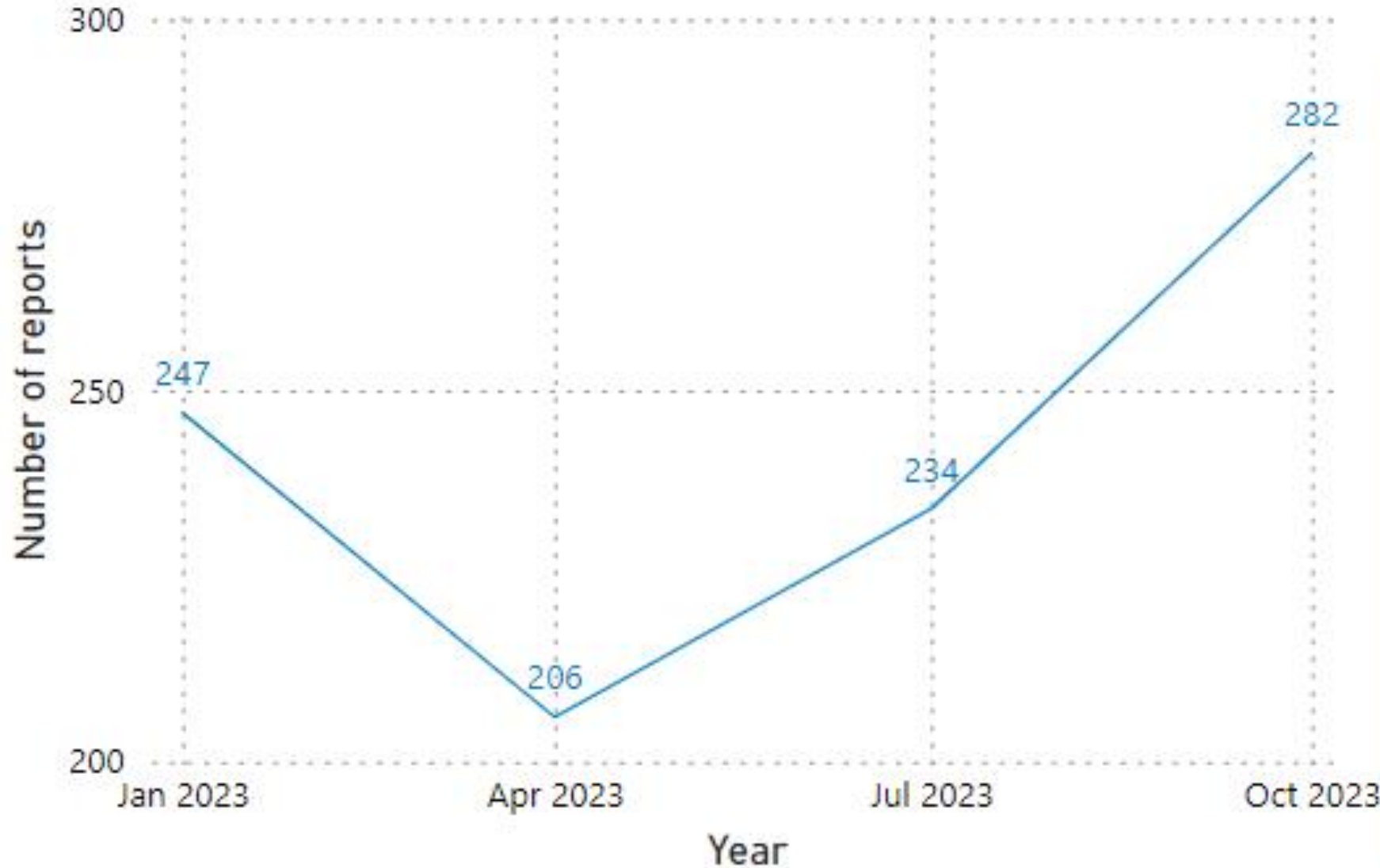
Number of reports by Module



Number of reports by Status



Number of reports by Year and Quarter



Number of reports by Country



The common database - view as a list

Show full List Show on Map

Assessed Company, Report Number

All

Report Number

All

Country, Location, Zipcode

All

Questionnaire Version

SQAS version 2022

Status

Active

Assessor

All

Module

Transport Service

Assessment Date

02/01/2022 20/04/2023

Reports KPI

530

Text Filter

Detailed View
 Scoring Matrix
 Summary report
 Full Report
 Compare View

Select a report below to access its details Compares the reports within current filters

Request Access Rights	Company	Location	Report	Assessment Date	Expiration Date	Status	Company Type	Module
						Active	Stand-alone	Transport Ser
						Active	Stand-alone	Transport Ser
						Active	Stand-alone	Transport Ser
						Active	Stand-alone	Transport Ser
						Active	Stand-alone	Transport Ser
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						Active	Headquarter	Transport Ser
						Active	Subsidiary	Transport Ser
						Active	Stand-alone	Transport Ser
						Active	Stand-alone	Transport Ser



Measuring and reduction of GHG emissions

1000 assessments since January 2022, covering:

Transport services



Tank Cleaning Stations



Warehouses



Coming soon:

Inclusion into Rail module



Alignment with ISO 14083



Alignment with CountEmissions EU



CONCLUSION

Overall, being an SQAS member provides chemical companies, chemical distributors, and logistics service providers with a range of benefits that help them to build together safety capabilities, thereby reducing the risk of incidents while enhancing the reputation and credibility of the whole chemical supply chain.



Thank you



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OF RAILWAYS

De-Icing / Anti-Icing Quality Control Pool (DAQCP)

Philip Van den bosch

UIC

Source: <https://www.iata.org/en/programs/ops-infra/ground-operations/daqcp/>

DAQCP: what is it about?

- Founded in 1997.
- 125 member airlines who share inspections of de-icing and anti-icing service providers across the globe.
- 600 inspections at some 500 airports are conducted by DAQCP inspectors each year.
- DAQCP is highly regarded by the service providers.
- Inspections conducted by the Pool are recognized by various regulatory bodies and authorities.



DAQCP: objectives & benefits

Objectives

- The program's primary objective is to ensure and promote **safety**.
- Additionally it aims for **continuous improvement** of standards, expansion of scope and **healthy financial management**.

Benefits

- Up to 85% financial and logistical savings achieved through pooling oversight and monitoring activities.
- Inspection checklists are based on the latest standards, acceptable to various regulatory bodies.
- A scrutinized quality control process to ensure highest quality of the product.
- Recurrent training is provided.





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Audit⁴all

Stefan Hackl
UIC Quality / Rail Cargo Group

Audit4all: railway sector's vision

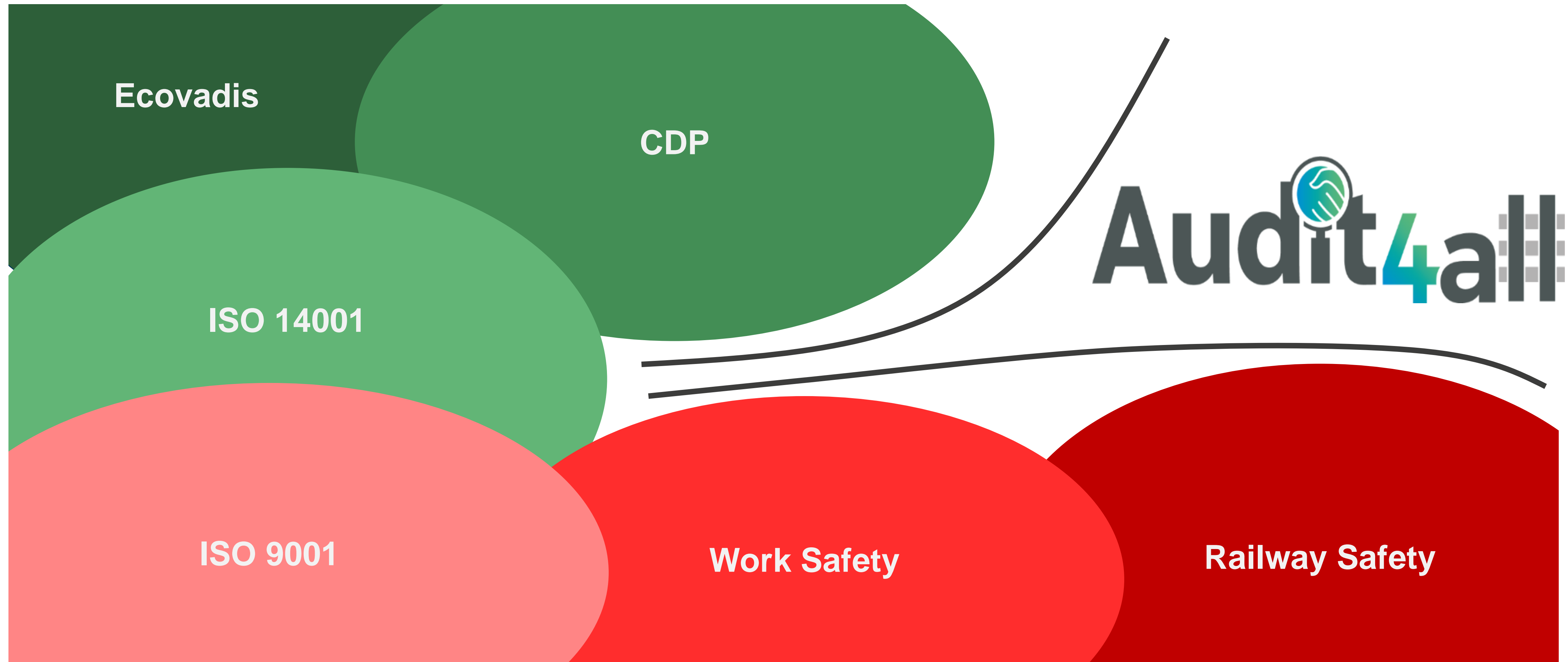
United audits, united savings

- Streamline supplier audits for quality, safety, and sustainability across railways.
- Less cost, more focus on a greener future.

Our vision is a collaborative audit program uniting railway companies with a shared supplier base.

- By jointly conducting in-depth quality, safety, environmental, and sustainability audits, we aim to **streamline the process**, **reduce redundancy**, and **achieve significant cost savings** for all participants.
- This fosters a more efficient and responsible supply chain, ultimately benefiting both railway companies and their suppliers.

Audit4all: what is the difference?



Audit4all: what is the added value?

Benefits

- Better compliance with legal obligations.
- Reduced risk due to larger scope of audit activities (more audits).
- Direct bottom-line savings due to less expensive audit program (more value for money).
- Immediate and tangible ROI (return on investment).
- Savings at sector level estimated at around € 90 to € 215 mln annually.

Similar initiatives prove the benefits are undeniable

- IATA DAQCP programme (up to € 2 bln in annual savings for the airline industry).
- CEFIC SQAS programme.





ABOUT

ACTIVITIES

REGIONS

PRODUCTS & SERVICES



Railway Publications

IRS / Leaflets Reports RailLexic Drawings

Catalogue of products technically approved by UIC

Leaflets/IRS Numbering Correlation Table

L&T



Language services (translations, interpreting).

UICP



Room hire for congresses, meetings & seminars.



Railisa

Rail Information System and Analyses.



Raillexic

UIC railway dictionary.



MERITS

Multiple East-West Railways Integrated Timetable Storage.



EcoPassenger

for Passenger transport.

UIC extranet



UIC is offering members and all those participating in groups and projects access to a secure shared workspace.



UIC calendar

Conferences, congresses, webinar, meetings, training.

Documentation centre



Raildoc portal

UIC documentation centre database.



Media Center

UIC media library (photos, videos).



Audit4All

For a better future

UIC MEMBERSHIP PACKAGE

Read more



UIC THE WORLDWIDE RAILWAY ORGANIZATION

FORTHCOMING EVENTS

* ALL RAIL TALENTS

Workshop on high-speed rail impacts

September 10 to 11, 2024
Online

NEWS

* ALL NEWS SUBSCRIBE TO UIC ENEWS



5 June 2024

Emergency plans for marshalling yards

Read now



5 June 2024

UIC Middle East Regional Assembly meeting held on 29 May 2024 in Jordan

Read now



5 June 2024

The EU IMPRESS Project holds its third Steering Committee Meeting

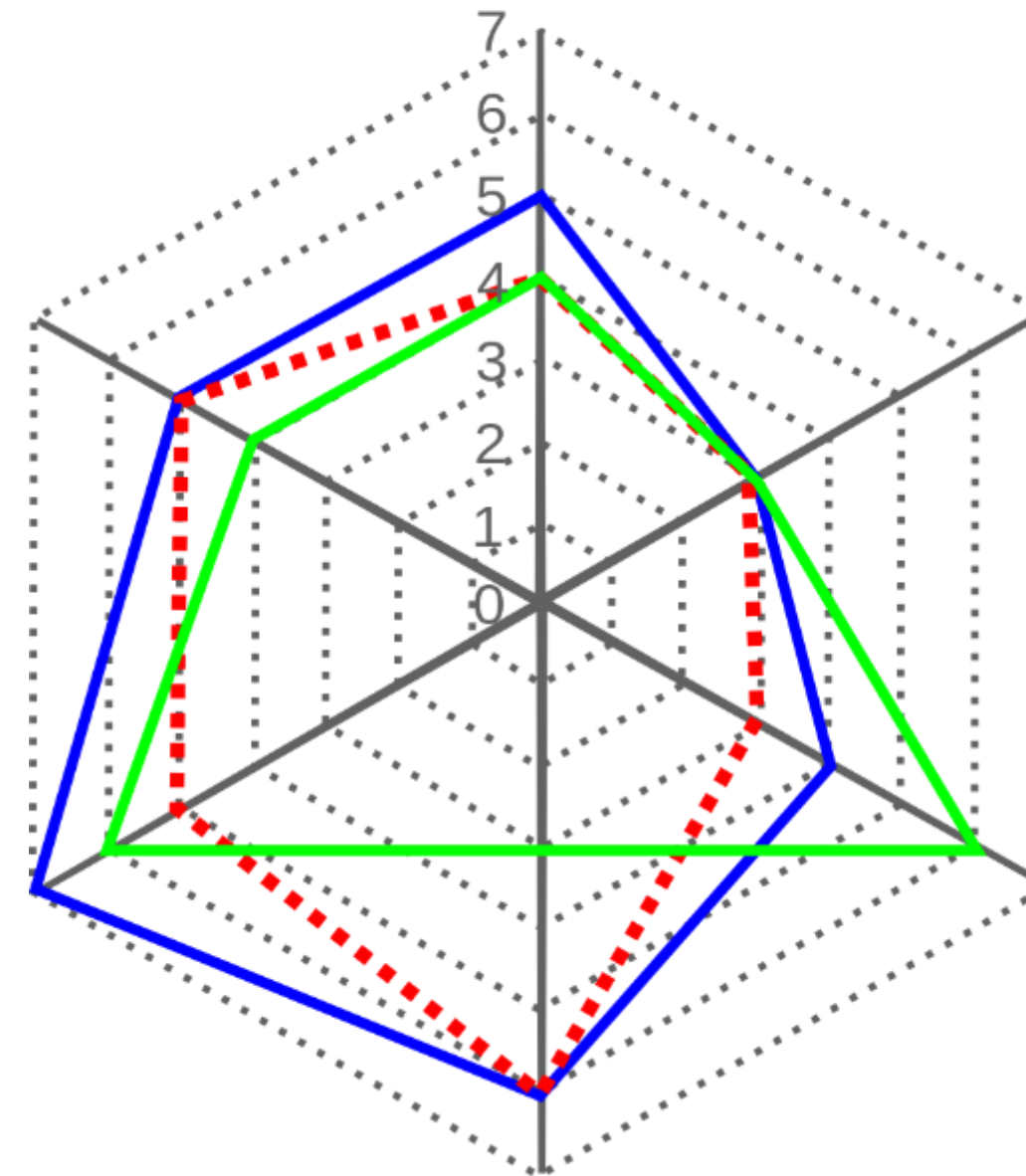
Read now

Hogwarts Express

Statistics

- Compare
- Add
- Remove
- Deep dive

Netzdiagramm



Audit4all: requirements for supplier audits

ISO 14001

- The organisation decides the extent of control needed within its own business processes (e.g. procurement process) to control or influence (an) outsourced process(es) or (a) provider(s) of products and services.

ISO 9001

- The controls required for external provision can vary widely depending on the nature of the processes, products and services.
- The organisation can apply risk-based thinking to determine the type and extent of controls appropriate to particular external providers and externally provided processes, products and services.

Railway Safety Management (EU 2018/762)

- The organisation shall identify and control safety risks arising from outsourced activities, including operations or cooperation with contractors, partners and suppliers.

Audit4all: requirements for supplier audits

Corporate Sustainability Due Diligence Directive (CSDDD EU 2019/1937)

- EU Member States shall ensure that companies carry out periodic **assessments** of their own operations and measures, those of their subsidiaries, and where related to the value chains of the company, those of their established business relationships, to monitor the effectiveness of the identification, prevention, mitigation, bringing to an end and minimisation of the extent of human rights and environmental adverse impacts.

... and many more

Audit4all: simplified project overview

1. Project management

- Project plan / roles / content / risks
- Stakeholder management
- Legal framework (compliance / cartel / competition regulations)

2. Develop a benchmark of standards

- Overview of sector initiatives (ATTI, RSI, Ecovadis, ...)
- Gap analysis
- Showcases (SQAS, Medical, Maritime, ...)

3. Develop a framework of standards

- Approval of ERA / NSA / CB / ...
- Critical supplier analysis
- Working model including PDCA

4. Develop a common audit programme

- Develop a mathematic model
- Develop a risk model
- Develop a supplier landscape / list

5. Develop (a) Tool

- Templates
- Audit test cases
- Rules of an “audit”
- Use cases and users' stories for a software

6. Analyse potential business models

- Business cases' costs and earnings
- Legal framework for all participants
- Feedback loop



QUESTIONS & ANSWERS



INTERNATIONAL UNION
OF RAILWAYS

UIC EXPERTISE **SHAPING AUDIT MANAGEMENT**

Philip Van den bosch

UIC

UIC Freight: competence centres

**LOAD
SAFETY**

**WAGON
UTILISATION**

**DANGEROUS
GOODS**

**TRAIN
OPERATION**

**COMBINED
TRANSPORT**

**DATA
EXCHANGE**

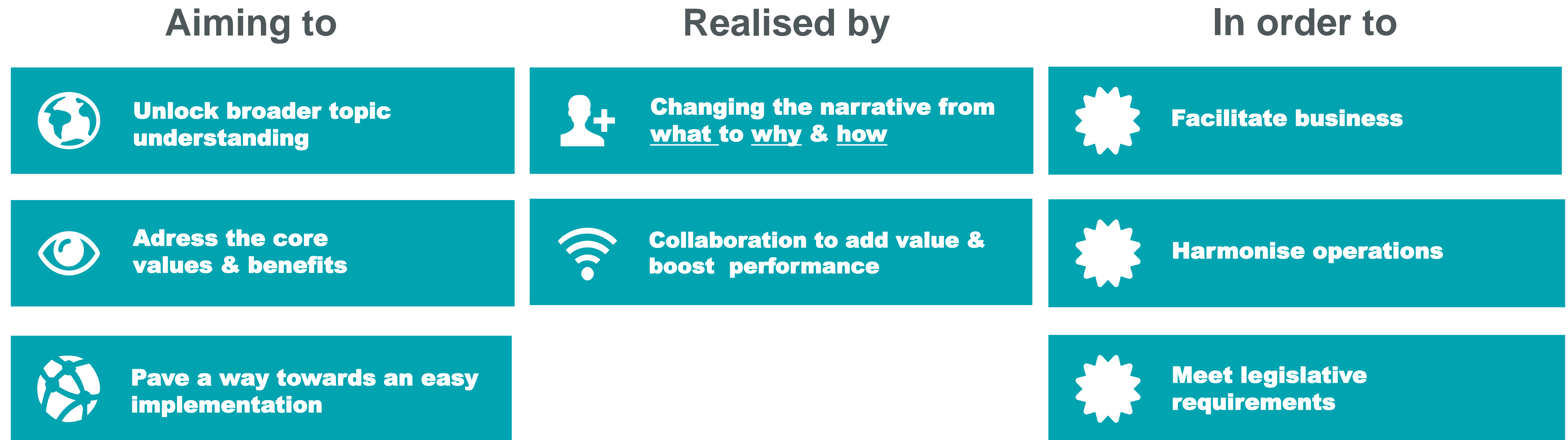
**CORRIDOR
DEVELOPMENT**



**RAIL FREIGHT
FORWARD**

UIC Freight: competence centres

7 + 1 competence centres aim to promoting the development of rail freight to respond to challenges in respect of logistics and sustainable development.



UIC Freight: competence centres

Quality Expert Group aims to ensure coherence and harmonisation of quality management and other management systems through exchanging best practices and establishing common standards and guidelines for setting up management systems.

Home / Freight / Train operation

TRAIN OPERATION

Harmonisation is the basis for a seamless international and border crossing freight traffic. UIC facilitates best practice sharing to ensure interoperability as well as increase commercial speed of train traffic. Key part of this competence centre is corridor development, ensuring that significant traffic flows are being prioritised and investments being put in place.

EXCEPTIONAL CONSIGNMENTS

The right place for you to facilitate your transport services of heavy and oversized cargo. [Read more...](#)

OPERATIONS

Optimise your operations and increase the commercial speed and harmonisation, which increases interoperability and improves (...) [Read more...](#)

QUALITY

Quality management system is a premise for business growth and client retainment, by partaking in this work group, you take advantage of the best (...) [Read more...](#)

XBORDER

The objectives of the XBorder project are relevant in order to further improve the competitiveness of rail freight in cross border operations, to find (...) [Read more...](#)



QUESTIONS & ANSWERS



A CLEAR PICTURE ON AUDIT MANAGEMENT

POLL

UIC Freight: competence centres

**LOAD
SAFETY**

**WAGON
UTILISATION**

**DANGEROUS
GOODS**

**TRAIN
OPERATION**

**COMBINED
TRANSPORT**

**DATA
EXCHANGE**

**CORRIDOR
DEVELOPMENT**



**RAIL FREIGHT
FORWARD**



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Thank you for your attention

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WATCH NOW 

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