

Guide to Transitioning to the 2015 Editions of
ISO 9001 and ISO 14001



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GENERAL OVERVIEW

The purpose of this transition guide for the new 2015 editions of both the ISO 9001 Quality Management System Standard and the ISO 14001 Environmental Management System Standard is to assist you in understanding the possible transition processes, mandatory time-lines as defined by Accreditation Bodies and the IAF and the third party certification processes for these standards.

This transition guide is intended to be read in conjunction with the ISO 9001-2015 and ISO 14001-2015 Standards in order to be able to fully understand the changes in the requirements as compared to the relevant 2008 and 2004 editions currently still in place.

WHY THE CHANGE

ISO Management System Standard requirements are generally reviewed after 5 years from the issue of the previous standard by a number of technical committees (TEC"s) representing the ISO member countries. This continues until a consensus for the changes is reached and then the standard is re issued approximately every 7 years.

Generally changes to the standard in the past have been minor changes and improvements related to content with no major impact on the structure of the standard.

Both ISO 9001-2015 and ISO 14001-2015 are substantial departures from previous changes as they include structural as well as content changes. Because of these changes it is very likely that all companies with existing certificates to the old versions of the Standards will have to carry out a major review of the existing Management Systems to identify changes necessary to meet the 2015 requirements.

The fundamental reason for the structural changes is that more and more companies are implementing multiple management system standards such as Quality, Environmental, Occupational Health and Safety, Information Security, Medical Devices etc within their operations. To facilitate this integration, a document called Annex SL was created to provide a common framework for all future management system standards with the objective of facilitating:

- Integration between management system standards
- Enhanced customer satisfaction
- Provide a consistent foundation for all future management system standard changes.
- Ensure the new standard reflects the needs of potential user groups.

APPROACH TO THE TRANSITION – THE STANDARDS

The transition period for organizations for registration/certification to 9001-2015 and ISO 14001-2015 is 3 years from issue of the standard. During that 3 year period

- ISO 14001 – 15th September 2015 to 15th September 2018
- ISO 9001 – 23rd September 2015 to 15th September 2018

Both the existing and the 2015 editions of the Standards will formally exist. However from the 2018 dates quoted above the existing 9001:2008 and 14001:2004 editions will be withdrawn leaving only the 2015 editions in place as operable Standards.

3 years may seem a long time however companies are encouraged to approach the transition as quickly as possible as there are already established limitations on transition planning issued by the IAF and supported by the relevant Accreditation Bodies.

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APPROACH TO THE TRANSITION – CERTIFICATION

The time lines of interest to companies either already certified to one of these Standards in their existing edition or to companies who are or will be beginning development of Management Systems against these Standards are:

Companies Already Developing QMS or EMS against the Existing Editions but not yet Certified

- Companies who have already begun development of a Management System against either ISO 9001:2008 and/or ISO 14001:2004 can continue this and seek and gain registration against those standards at any time between now and 31st December 2017.

However any certificate issued against these editions of the Standards involved CANNOT have an expiry date shown beyond the date when those editions will be withdrawn in September 2018

Companies Already Certified/Registered against the Existing Editions

- Companies can maintain their existing Certification of the relevant Management System against the existing Editions of the Standards by continuance of the existing surveillance and re-certification schedules already agreed with their Certification Body.

However

- When the current scheduled re-certification falls due between the period September 2015 and December 31st 2017 any certificate issued CANNOT have an expiry date shown beyond the date when those editions will be withdrawn in September 2018
- If a company has an existing re-certification scheduled to fall due after 31st December 2017 MUST have completed the Transition of its Management System and be assessed against the requirements of the 2015 Edition at that time.

As has been mentioned Certification Bodies are required to encourage companies to transition to the 2015 Editions of the Standards as rapidly as possible. Transition Certification Audits can be completed at various times and only require agreement between the company and its Certification Body

These transitions can occur:

- At time of existing scheduled Surveillance Audit – although additional audit time to that already agreed against the 2004 or 2008 Editions of the Standards will be required (this can be discussed with and estimated by the Certification Body on a case-by-case basis)
- At time of next due re-certification audit which is required a minimum of 1 month prior to the expiry date shown on the current certificate – as normal each re-certification audit has to be subject to a new contract so there is unlikely to be any additional audit time required although it is almost certain that a Stage 1 audit will be required at that time due to the significant changes probably required within the existing Management System.
- By “Special Audit” if the client requires a formal transition certification that does not fit into already scheduled visits.

PERIOD OF VALIDITY SHOWN ON CERTIFICATES FOR TRANSITION AT TIME OF SURVEILLANCE

Where a company has chosen to initially certify or re-certify against the requirements of the existing 2004 or 2008 editions of 14001 and 9001 after September 2015 as has been said the certificate issued will not have the normal 3 year period of validity shown. Obviously AJA offices will take account of this in the fees to be charged but it is important to understand that:

- If the company then decides to transition to the 2015 Edition of the Standards at the time of a scheduled surveillance falling due in 2016 or 2017 or the early part of 2018, once the additional to surveillance transition

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audit has been completed a new certificate will be issued against the 2015 Standard and this will have an expiry date shown as 3 years from the date of the original Certificate Decision date against the previous edition of the Standard.

A Certificate against the 2015 edition of the Standard that has a 3 year period of validity can only be issued after a complete audit not simply a transition upgrade audit has been carried out.

APPROACH TO THE TRANSITION – THE COMPANY

So what do you need to do?

1. Start with obtaining a copy of ISO9001-2015 and/or ISO 14001:2015 and any guidance documents available – these are now readily available through various sources including obviously the ISO website – www.iso.org
2. Where needed, seek out appropriate transition training to improve the ISO9001-2015 knowledge base within the organization – AJA Registrars Ltd/AJA Europe Ltd. do have general awareness seminars available on the changes and requirements so please contact your local AJA office for more information.
3. The 2015 approaches of both ISO 9001 and ISO 14001 do contain fundamental changes to the existing Standards' requirements (unlike previous re issues) and as a result it will almost certainly require an existing Management System to be re structured to satisfy the requirements of the new Editions. As a companies with existing Management Systems will need to revisit the current documented Management System and decide what changes are required. You will need to decide if this can be done in house or if you need to utilize external experts – AJA can provide a “Gap Analysis” service for this that will clearly identify areas requiring review and/or creation – this will NOT provide advice or instruction on “How” to address the needs as this is Consultancy which is a service that cannot be provided by Certification Bodies.
4. Make changes as required to your documented system to meet the key elements of the changed requirements. With particular emphasis on leadership, communication, risk and context of an organization.
5. Implement new controls needed, particularly with regards to risk.
6. Review effectiveness of controls and changes.
7. Seek re registration/certification.

SUMMARY

The 2015 Editions of 9001 and 14001 are intended to be more easily seen as effective tools for company management's use towards improvement of the relevant Quality and/or Environmental performance levels of the company itself. In this way the required QMS and/or EMS should align its requirements of “normal” business practice and become an integral part of company activities.

When to move to the adoption of these 2015 Editions is for each company to decide on but as has been said already

SOONER RATHER THAN LATER

should be the policy/approach.

If you have any questions or concerns on this Transition process and period please do not hesitate to contact your local AJA office who will be delighted to work with you to resolve these questions or concerns as rapidly as possible.

As Always

Your Best Interests are Our Best Interests

The Directors

AJA Registrars Ltd.

AJA Europe Ltd.