

FAQ

ISO 9001:2015 AND ISO 14001:2015 TRANSITIONS ADDRESSING YOUR CONCERNS ...

1) We have just had our renewal. What is the best option for us now to transition?

The two options going forward are to have a transition audit as part of your next surveillance visit, or have an additional stand-alone visit. Your regional team can advise when your next visit is due and what the additional time and costs of the two options are.

There is a third option of an early renewal which would start a new three-year cycle but at this time would be more expensive for you.

2) We currently have just ISO 9001:2008, but would like to implement ISO 14001 this year. Can we still implement ISO 14001:2004 this year and then how would we transition?

We advise as part of the implementation process you also transition to the 2015 standards. Both will be based on Annex SL and are therefore easier to integrate. This option is also more cost effective. If you have an audit to the 2004 version, you will need to do the upgrade in advance of May 2018 which will incur additional time.

3) Our renewal isn't due until September 2017, however, a recent tender asked why we didn't have the 2015 standard as one of the competitors did. Can we transition before our renewal in September 2017?

Yes – at your next surveillance visit or as an additional stand-alone visit or as an early renewal.

4) We have made changes to our management system so we should be ready for the 2015 standard. What happens if the auditor finds areas of nonconformance to the 2015 standard? Would we get a major nonconformance or can we just revert to the 2008 standard?

If the major nonconformance is closed within the 90 day period, we will undertake follow up activity and issue a new certificate to 2015.

Minor nonconformities will not prevent transition to the 2015 standard and would be closed at the next audit.

If we cannot close out the major CARs, and they only relate to the new standards, then the client can revert to the 2008 or 2004 versions.

5) If a client achieves transition to the 2015 version of the standards in a period of time prior to the certification expiry date, what dates are entered on the certificate?

For transitions conducted at surveillance or as a one off audit, the certificate will be valid from the certification decision date following the internal SGS review of the auditor's report, and will expire on the date of your current certificate's expiry.

If the audit is an early renewal, or conducted at natural renewal then the decision date will again be used, and the expiry date will be the current certificate expiry date plus three years.

6) When is the latest we can have our transition audit?

SGS encourages all clients to transition at the earliest opportunity to ensure an audit that can be arranged at a mutually convenient date. Experience of previous transitions has shown that clients leaving transition towards the end of the process have little choice over audit dates as demand increases but the auditor supply is constant.

In addition, should there be nonconformities, it enables good time to resolve these without losing certification when the standard actually expires. In order to prevent this, the latest date SGS is booking transition audits for is 31 May 2018.

7) For clause specific compliance type questions refer to documentation and resources available i.e.

- Pitfalls documents
- Client webinars – Annex SL etc.
- White papers
- GAP analysis visits

8) What would constitute a major NCR against the new standard(s)?

A complete system breakdown, for example:

- If the client has no risk process or means or reviewing at management review
- Significant gaps in Leadership and Context clauses
- Internal audits not started (new contract)

9) Do our internal auditors have to complete external training courses in order to carry out audits to the new standards?

No – They will be required to demonstrate knowledge and understanding of the new requirements (under interview).

10) Would you recommend ISO 14004:2016 as good guidance to implement the new standard?

If you currently have certification to ISO 14001:2004 with SGS we would recommend that you first obtain a copy of the pitfalls booklet which gives guidance to organisations on what is required under each clause of the standard.

11) Would it be best to attend a transition course before asking an expert to carry out a GAP analysis?

A transition course would help identify those changes within the standard from the previous version. It would depend on the current level of knowledge within the organisation against the requirements of the standard.

12) Is the risks and opportunities assessment conducted at a higher level considering basic core functions of a company? Or does process FMEA and design FMEA form part of the requirement?

Risks and opportunities as outlined within the standard are in relation to those external and internal issues that have been identified in 4.1 and 4.2 of the standards. The organisation must identify and address these during the planning process.

13) Are videos and booklets available to us at any time and is there a charge?

There is no charge to view our webinars and they are available 24/7 once uploaded. All pitfalls booklets, white papers, case studies etc., can be downloaded from our website and are free of charge. In some cases, hard copies are available from your local regional office.

14) We have ISO 9001:2015. Does this have a similar format to ISO 14001:2015?

Both standards have been written in line with the requirements of Annex SL with the stated aim to enhance the consistency and alignment of ISO management system standards by providing:

- A unifying and agreed high level structure
- Identical core text
- Common terms and core definitions

The aim being that all ISO management system standards will be aligned and the compatibility of these standards will be enhanced. However, both

standards also include those additional requirements which are specific to 'quality' management systems and 'environmental' management systems.

One of the consequences of adopting the Annex SL format is that some of the requirements of ISO 9001:2008 and ISO 14001:2004 which are unchanged in the new versions are now located under different headings in different numbered clauses.

15) Our current certificate for ISO 9001:2008 expires in Sept 2018. What is our best transition option?

The best transition option is to start planning for your transition now. When you are ready to transition contact your local regional office who will guide you through the process and undertake the transition audit either during a surveillance visit or as a stand-alone visit, alternately an early renewal could be performed which would start a new three-year certification cycle.

16) What evidence of compliance will auditors be looking for reviews of "context" and "interested parties"? We have a management review every 6 months which is possibly too often. What do you think?

Although many organisations will already be monitoring internal and external issues under the context of the organisation, this is a new requirement which all clients will now need to comply with.

An organisation is required to identify the 'relevant interested parties' which can or could have an impact on the organisation's ability to consistently provide products and services that meet customer and applicable statutory and regulatory requirements.

The organisation is also required to identify what requirements these interested parties themselves have, which are relevant to the organisation's management system. There will need to be some form of evidence that an organisation has been through an initial process which both identifies who its'

relevant interested parties are, as well as their requirements that are relevant to the organisation's management system.

There is no specific requirement that these internal and external issues, those relevant interested parties and their requirements, or their monitoring and review, have to be documented by an organisation but there may be a section in the management review minutes dealing with this issue.

The standards only require that management review is carried out at planned intervals, therefore, it is for the organisation to decide on the frequency.

17) As an internal auditor for our company, is it recommended that I attend an update course?

It is not a requirement to attend an update course, however you will be required to demonstrate knowledge and understanding of the new requirements (under interview).

18) Where can we get hold of the new standard?

You can purchase a copy of ISO 9001:2015 and ISO 14001:2015, as well as all other British Standards, by contacting the SGS Academy.

t: +44 (0)1276 697 777
e: ukacademy@sgs.com

19) We're an international company, operating in both Europe and USA. Which level of management review would SGS want to review for a renewal audit?

As you are transitioning to the new version of the standards, the requirement to conduct management review is still valid and has to be conducted by top management, exactly as required by the old versions of the standard, therefore nothing should change in this respect. However, there are some changes to the management review input and output requirements. Please refer to the pitfalls booklets for further information.

20) If we update to the 2015 standards and our certificates expire in 2018, but our renewal is in 2017, what date goes on our certificate?

For transitions conducted at surveillance or as a one-off audit, the certificate will be valid from the certification decision date following the internal SGS review of the auditor's report, and will expire on the date of your current certificate's expiry.

If the audit is an early renewal, or conducted at natural renewal then the decision date will again be used, and the expiry date will be the current certificate expiry date plus three years.

21) Internal audit plans have been implemented to the 2015 version of the standards. We will still be externally audited in respect to the 2008 version as we are not due for recertification until 2017/2018, however, our internal audits for 2016 will be to the new version - how will this be viewed?

Provided that the audit reports and documented evidence still show compliance to the requirements of the 2008 version of the standard then this will be fine. However, if during the course of completing your internal audit plan you fail to cover areas of your management system in relation to the 2008 version of the standard, you will be subject to corrective action based on the nonconformity observed.

Undertaking audits to the 2015 version would be seen as a positive practice though as you are preparing the organisation to undertake transition. Through doing this you may find that you are actually ready to undergo transition prior to your recertification audit.

22) Do top management have to be available for the auditing process (transition, surveillance and renewal) and is this now mandatory in the new standards?

Top management must be able to demonstrate that they have taken responsibility for emphasising the importance of conforming to the requirements of the management systems.

In addition, they must ensure that the management system is achieving its intended results and drive continual improvement within their organisation. They must also ensure that the management system requirements are integral to the organisation's business processes and be consistent with its overall strategic direction and the context in which it operates.

Whilst it won't always be possible for top management to be available at the audit, they may be able to demonstrate their involvement through, for example, documented information, video link, or interviews with other employees of the organisation.

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WHEN YOU NEED TO BE SURE

