

Revision of ISO 9001:2015 and ISO 14001:2015

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Answers to important questions about the New Versions of ISO 9001 and ISO 14001

1

When will ISO 9001:2015 and ISO 14001:2015 be published and when will DIN EN ISO 9001:2015 and DIN EN ISO 14001:2015 appear?

Following publication of the English-language version of ISO 9001:2015 on 15.09.2015 and of ISO 14001:2015 on 15.09.2015, the German DIN standards DIN EN ISO 9001:2015 and DIN EN ISO 14001:2015 have now also appeared. The Revision Status of both standards is November 2015.

2

From when can the certifications be performed according to the new standards?

Audits according to ISO 9001:2015 and ISO 14001:2015 can be carried out as **from the date of their publication**. Audits based on the previous DIS (DIN-ISO) standards will not be recognised.

3

How long is the transition period?

ISO 9001:2015: The transition period of **three years begins on 15.09.2015** and **ends on 14.09.2018** for the changeover to ISO 9001:2015.

ISO 14001:2015: The transition period of **three years begins on 15.09.2015** and **ends on 14.09.2018** for the changeover to ISO 14001:2015.

4

From when can certificates according to ISO 9001:2015 and ISO 14001:2015 be issued?

Due to the change in the accreditation procedure for all certification bodies by DAkkS, **ISO 9001:2015 and ISO 14001:2015 certificates** can only be issued without the addition of the letters "FDIS" starting from **28.10.2015**. According to a decision of DAkkS, certificates according to **DIN EN** may also only be issued as from **28.10.2015** at the earliest.

5

What are the advantages of the new standards?

The new High Level Structure creates greater harmony between the ISO management system standards, making it easier to extend existing systems into an integrated whole. The themes of user friendliness and market orientation receive more emphasis. This means that the standard focuses more strongly on the characteristics and needs of service companies and that documentation requirements are more flexible. The direct responsibility of organizations is emphasised much more strongly than before. The same applies to the process approach and the responsibility of top management.

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What is the structure of the new standards?

ISO 9001:2015 and ISO 14001:2015 will have a new structure, the so-called **High Level Structure**. This is intended to provide the same binding structure for all the management system standards, and results in two very important benefits. Firstly, terms, definitions and structures can be used for all the standards and secondly, standards are easier to understand and synergies are possible when different standards and certifications are combined.

In detail, the current draft version indicates that the structure of the ten clauses will be as follows:

1. Scope
2. Normative references
3. Terms and definitions
4. Context of the organization
5. Leadership
6. Planning
7. Support
8. Operation
9. Performance evaluation
10. Improvement

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What is particularly important for the new standards with regard to consideration of risks?

The treatment of risks plays a more central role than is currently the case – amongst others in the clauses on “Leadership” and “Planning”. Although a specific risk management system as such is not demanded, organizations should be capable of identifying risks that are associated with the realisation and the utilisation/usage of the products/the service and of taking them into consideration in an appropriate way. However, there is no specific requirement for preventive measures. Companies profit from this new way of seeing things, as they have the chance to recognise risks early on and take corresponding action.

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What is the relationship to stakeholders in the new standard?

In the new version of the standard, organizations not only have to fulfil legal requirements and the expectations of customers, but will also need to engage with other interested parties. This requirement means that the complexity of today's working and social environment is taken into account, and it also offers opportunities to achieve desired improvements and minimise risks.

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Who specified the additional time needed for the upgrade to DIN EN ISO 9001:2015 or DIN EN ISO 14001:2015?

The German **Accreditation Body (DAkkS)** has specified the additional time as standard for all certification bodies in the document regarding "Instructions for the transition to ISO 9001:2015 and ISO 14001:2015" (Anleitung zum Übergang ISO 9001:2015 und ISO 14001:2015) issued on 20/04/2015.

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How much extra time is needed to upgrade within the framework of the surveillance audit?

The additional time to upgrade to the requirements of ISO 9001:2015 or ISO 14001:2015 within the framework of a surveillance audit is at least **20 per cent of the audit time for the surveillance audit, but at least 0.5 audit days on site.**

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Are certificates issued if the upgrade takes place within the framework of the surveillance audit?

After the surveillance audit is complete, you receive the **certificates according to ISO 9001:2015 or ISO 14001:2015**. The term of validity of the certificate does not change, i.e. it corresponds to the term of validity of the original certificates.

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How much extra time is needed to upgrade within the framework of the recertification audit?

The additional time to upgrade to the requirements of ISO 9001:2015 or ISO 14001:2015 within the framework of a recertification audit is at least **10 per cent of the audit time for the recertification audit, but at least 0.25 audit days on site.**

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What must be taken into consideration regarding the certificates for the upgrade during recertification?

After completion of the recertification procedure, you will receive the certificates according to ISO 9001:2015 or ISO 14001:2015 with a validity of three years. The term of validity follows on from the previous certificate. This means that the expiry date corresponds to the **previous three-year time interval** (expiry date of the old certificate plus 3 years) if the recertification procedure is performed in good time or if the performance of the audit and the NC (nonconformity) management is completed in good time (by the due date).

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Is a “gap audit” or preliminary audit necessary for the upgrade?

If you are not sure what is missing from your system in order to upgrade to the new standards, we will be happy to offer you a “gap audit” or preliminary audit. The gap audit can be added to the next surveillance or recertification audit, for example. Just let us know if you need further information or an offer for a gap audit.

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Is an upgrade within the framework of the recertification audit more favourable?

For some sizes of organization, the additional time needed can be less for a recertification audit than for a surveillance audit.

An example for an organization with 80 employees and a certificate valid until 30/04/2017:

- Upgrade in the recertification audit with 4.0 audit days means additional time of 0.4 audit days.
- The new certificate is valid from 01/05/2017 - 30/04/2020.
- Upgrade in the 2nd surveillance audit in 2016 with 2.0 audit days means additional time of 0.5 audit days.
- The new certificate is valid from the date of the certification decision up to 30/04/2017.

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Why is upgrade in the recertification audit recommended?

The new requirements of the standard affect almost all areas of the organization. This means that the extra time needed for the organization to prepare and the number of representatives that have to be present is just as great as in the case of recertification.

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If the upgrade does not take place in the recertification or the surveillance audit, what are the other possibilities?

It is possible to carry out the **upgrade in a special audit**. This is an additional audit date between the regular audits. The additional time and cost is greater than for the surveillance or recertification audit. This is because of the extra time needed for preparation and follow-up and possible consideration of changes since the last audit. Travel costs are also charged.

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What must organizations do so they can upgrade to the new standard in the next recertification audit?

The notice of the date for the recertification audit, which is sent to you in good time before the audit date, already contains a reminder for the upgrade to the new standard. If you wish the upgrade to take place during a surveillance audit, we ask you to let us know as soon as possible, but at the latest three months before the planned audit date, as we also have to plan for the additional time. Please note that we recommend that the upgrade takes place during the recertification audit.

- 19** How much more expensive is first (initial) certification if an organization upgrades directly to the new standard?
- Basically the same man day table applies as before, i.e. **it is not more expensive if you undertake certification to the new standard in a first (initial) certification.**
- 20** Is it recommended only to consider the new standard in initial (first) certifications?
- If the organization begins now with the implementation of the quality management system, it seems useful if the organisation concerns itself directly with the new ISO 9001:2015 und ISO 14001:2015 standards.
- If certification is absolutely required within a short time, it can be helpful to undertake certification according to 9001:2008 or 14001:2009 and to make the upgrade in the transition period. The transition period is three years from the date when the new standard is published.
- 21** When will it no longer be possible to undertake first certifications according to the old version of the standard?
- First certifications according to the old version are no longer possible after expiry of the **transition period of three years.**
- 22** What is the procedure in the case of transfer from another certification body?
- It is possible to upgrade to the new standard during the transfer audit. The same rules for additional time apply as for upgrade during a recertification, surveillance or special audit.
- 23** Is it possible to carry out the transfer with the old version and then to upgrade in the surveillance audit?
- Yes, it is possible.** It is even a good way to make the upgrade, as the auditor, the audit procedure and many other details already change for the customer during the transfer. If the upgrade is made in the surveillance audit, the customer does not have to handle everything at the same time.
- 24** Are transfer costs covered with the upgrade if the company shifts within the transfer?
- No,** the times and costs have to be added together.

Questions about ISO 9001:2015

25

Which is easier to implement – the old or the new version?

The advantage of the 2015 version is that the structure of the standard follows the processes in the organization. This means that it is easier to implement the 2015 version. An important advantage of the 2015 version is the reduced requirement for documented procedures. This means that the organization can build up its own QM system with tailor-made documentation.

The main emphasis of the 2015 version is the focus on results.

It is no longer so important where (i.e. in which document) something is described. The most important question is whether the process is effective. This promotes acceptance of the standard.

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What are the most important differences between the old and the new versions that the customer has to take into consideration in implementing the 2015 version?

The standard has a **new structure**. All clauses from 4 to 10 have to be covered, with the exception of justified exclusions (concessions).

Some requirements are new. These include risk-based thinking, consistent implementation of the process approach, the documented information, the context of the organization, handling of outsourced processes, more emphasis on management commitment and responsibility, quality controlling and some other requirements.

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Which are the greatest traps and problems to be expected in recertifications according to the 2015 version?

It is absolutely not recommended to “throw away” the existing quality management system too quickly. In future, documentation will still be required in order to provide evidence of processes and process evaluation. Even if there is no longer a requirement for a top management representative for quality, the responsibility for the quality management system still has to be laid down and the resources that are needed for maintenance of the management systems must be planned.

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How far is the service sector now involved?

The new standard can also be used across all sectors. **Service providers are not explicitly mentioned and therefore find implementation easier.** Organizations which use a large number of outsourced processes in order to conduct their business will find that handling of outsourced processes is included in the standard. If outsourced processes are used, the interfaces and the monitoring have to be described and key indicators have to be established for them. The outsourced processes are taken into consideration in the calculation of the number of man-days required for the audits.

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Does the new version of the standard particularly address organizations which have to consider the risks of the processes they use? Which organizations are they?

The standard requires risk-based thinking within the framework of the PDCA cycle. Here, it is a question of process-orientated risks. Those risks must be determined which are present (or could be present) in connection with the realisation of the product or the provision of the service and whose occurrence could have a negative impact on customer satisfaction.

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What advantages do service providers have with the ISO 9001:2015 version compared with the current 2008 version?

When service providers implemented the ISO 9001:2008 version, they had to transfer the idea of “product” to mean “service”. This is no longer necessary, as services are explicitly mentioned in the standard.