

Compliance Australia Certification Services



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INTRODUCTION TO Compliance Australia certification Services Procedure.

This Procedure reflects a consensus approach on the Upgrading to ISO 9001:2015 and ISO 14001:2015 standards.

1. INTRODUCTION

This document provides guidance for the transition from ISO 9001:2008 to ISO 14001:2004 and has been prepared by Compliance Australia certification Services to provide advice to interested parties on transition arrangements to be considered before implementing ISO 9001:2015 and ISO 14001:2015.

It identifies activities which should be considered by relevant interested parties and increases understanding of the context of ISO 9001:2015 and ISO 14001:2015. The revision introduces significant changes and was published in September 2015.

The standard is based on Annex SL of the ISO Directives, a high-level structure (HLS) which standardizes sub-clause titles, core text, common terms and core definitions to enhance compatibility and alignment with other ISO management system standards.

The main changes in the new version of ISO 9001:2015 ISO 14001:2015 are:

1. The adoption of the HLS as set out in Annex SL of ISO Directives Part 1.
2. An explicit requirement for risk-based thinking to support & improve the understanding and application of the process approach.
3. Fewer prescribed requirements.
4. Less emphasis on documents.
5. Improved applicability for services.
6. A requirement to define the boundaries of the QMS.
7. Increased emphasis on organizational context.
8. Increased leadership requirements.
9. Greater emphasis on achieving desired outcomes to improve customer satisfaction.

Relevant interested parties who will benefit from this guidance include:

Organizations certified and/or using ISO 9001:2008 and ISO 14001:2004.

1. Accreditation Bodies (ABs).
2. Certification Bodies (CBs).
3. Arraigning bodies and consultants.

2. TRANSITION

The International Accreditation Forum (IAF) and the ISO Committee on Conformity Assessment (CASCO) have agreed to a three year transition period from the publication date of ISO 9001:2015 and ISO 14001:2015.

IAF Resolution was passed by the IAF General Assembly in Seoul endorsing a 3 year transition period to ISO 9001:2015 and ISO 14001:2015.

2.1 Validity of certifications to ISO 9001:2008 and ISO 14001:2015

ISO 9001:2008 and ISO 14001:2004 certifications will not be valid after three years from publication of ISO 9001:2015 and ISO 14001:2015. The expiry date of certifications to ISO 9001:2008 and ISO 14001:2004 issued during the transition period needs to correspond to the end of the three year transition period.

3. Specific guidance for interested parties involved in certification and accreditation

For any organisation the degree of change necessary will be dependent upon the maturity and effectiveness of the current management system, organisational structure and practices, therefore an impact analysis/gap assessment must be undertaken in order to identify realistic resource and time implications. This will be completed by the applicant organisation prior to any onsite activities undertaken by CACS.

3.1 Organizations using ISO 9001:2008 and ISO 14001:2015

CACS Certificate organisations Organizations using ISO 9001:2008 and ISO 14001:2004 are recommended to take the following actions:

1. Identify organizational gaps which need to be addressed to meet new requirements.
2. Develop an implementation plan.
3. Provide appropriate training and awareness for all parties that have an impact on the effectiveness of the organisation.
4. Update the existing quality and or Environmental management system (QMS / EMS) to meet the revised requirements and provide verification of effectiveness.
5. Where applicable, liaise with their Certification Body for transition arrangements.

3.2 Compliance Australia certification Services

Compliance Australia certification Services undertake the following:

1. All auditors must be EXEMPLAR Lead Auditor in ISO 9001:2015 and ISO 14001:2015 and witnessed prior to undertaking an assessment against the new standard requirements.
2. Communicate regularly with JAS-ANZ.
3. Communicate with other CABs to co-ordinate information.
4. Communicate with existing clients and share guidance on the transition process and arrangements for transition.
5. Plan the timing of audit and certification activities for the revised standard.
6. Consider the stated transition period and current certification period.
7. Plan the timing of certification decisions for upgrading certification documents.
8. Encourage current users of ISO 9001:2008 and ISO 14001:2015 to implement ISO 9001:2015 and ISO 14001:2015 at an early stage.
9. Encourage new users to implement ISO 9001:2015 and ISO 14001:2015.

4. TRANSITION GUIDANCE

4.1 Implementation of transition of accredited certification from ISO 9001:2008 to ISO 9001:2015 & ISO 14001:2004 to ISO 14001:2015

This document is intended to allow for advanced activity in the planning and adoption of the new requirements.

Evaluation activity undertaken by Compliance Australia certification Services before the release of the final standard cannot be taken into account as part of the formal transition process. Any early evaluation (pre-release of the standard) must be re-assessed and fully verified before transition to either or both ISO 9001:2015 and ISO 14001:2015.

4.2 Guidance for Certification Bodies

4.2.1 General

Compliance Australia certification Services will brief clients from the release of the new standards and can, if required, start to perform gap analysis between the client system and ISO 9001:2015 and ISO 14001:2015.

Compliance Australia certification Services will keep track of all evaluation activities for full verification at the time of the transition audit to ISO 9001:2015 and ISO 14001:2015.

Accredited certifications to ISO 9001:2015 and ISO 14001:2015 will only be issued once Compliance Australia Certification Services has been accredited to deliver certification to the new standard and after the organization has demonstrated conformance to ISO 9001:2015 and ISO 14001:2015.

Compliance Australia Certification Services will conduct an audit of each client against ISO 9001:2015 and ISO 14001:2015. Based on the agreement with the certified organizations, Compliance Australia Certification Services can conduct transition activities during a routine surveillance, recertification audit or a special audit. Where transition audits are carried out in conjunction with scheduled surveillance or recertification (i.e. progressive or staged approach), additional time may be required to ensure that all activities are covered for the existing and new standards.

Additional time on site will not usually be required on the following condition - if the applicant organisation has completed a self-assessment checklist and has documented a full internal audit conducted prior to Compliance Australia Certification Services coming out to site to conduct an audit. If neither an internal audit and or Checklist have been completed then additional time on site will be required.

4.2.2 Transition Process

Compliance Australia Certification Services will communicate their transition arrangements our clients at the earliest opportunity. The primary method will be via a newsletter and also via additional wording within the clients reports.

Compliance Australia Certification Services will develop transition plans to address the following:

1. Training and verification of competence of auditors and other staff.
NOTE. CACS Have upgraded all auditors to the new standards via EXEMPLAR Lead Auditor registration.
2. The Compliance Australia Certification Services arrangements for communicating with its clients.
3. The Compliance Australia Certification Services arrangements for auditing conformance to the new standard. CACS will require a self-assessment to be completed by CACS clients including completion of an internal audit against the new STDs.
4. Compliance Australia Certification Services must ensure clients' ongoing conformance to ISO 9001:2008 through the transition process.
5. If a CACS client fails to meet the requirements of either ISO 9001:2015 and ISO 14001:2015 then these client will be suspended.
6. Action to be taken in respect of clients that have failed to complete the transition by three years after the publication of ISO

The following should be ensured:

1. All issues that require client action for compliance with the new requirements must be clearly identified and raised as documented findings.
2. Only when all identified outstanding issues have been appropriately addressed and the effectiveness of the management system demonstrated, can auditors recommend certification to the published ISO 9001:2015 and ISO 14001:2015 standard.
3. Records must be available to demonstrate that all prior transition audit findings have been evaluated for corrective action and compliance before any recommendation for approval to ISO 9001:2015 and ISO 14001:2015 can be made.
4. Must ensure that the evaluation of a client's conformance to the new requirements during the transition phase does not interfere with the client's on-going conformance to Compliance Australia Certification Services.
5. Where evaluation activities have taken place at the FDIS, a review will be undertaken by the Decision Maker to ensure the validity of such activity is taken into account in the decision process.

4.3 Additional Guidance

Additional visits by Compliance Australia Certification Services to assess solely for the transition to ISO 9001:2015 and ISO 14001:2015 standard are not normally required. The implementation should, wherever possible, be verified during normal scheduled activity, noting that there may be some need for additional assessment time. However, additional assessments may be necessary for a CACS client requesting accreditation within an accelerated timeframe.

ISO 14001:2015 and ISO 9001:2015 Specific...

ISO 9001:2015 and ISO 14001:2015 promote the need to demonstrate system effectiveness and the application of risk-based thinking through the process approach. This may result in the need for a variation of auditing techniques, therefore witnessed assessments may be necessary as part of the transition programme. CACS clients should, at the earliest opportunity, communicate their transition arrangements and requirements to CACS. It is recommended that the transition arrangements take account of the following:

1. Training and verification of competence of assessors and other staff.
NOTE: CACS clients are to be encouraged to commence training at the earliest possible time.
2. CACS clients should develop its transition programmes to make full use of available time, including carrying out as much activity as possible in order to enable accreditation for the new standard to be available at the earliest opportunity.
3. The transition assessment should focus on changes to be implemented by CACS as a result of implementing the new standard: primary consideration should be given to consistent interpretation of the requirements; competence; reporting; and any associated change in audit methodology (see note above regarding witnessed assessments). The assessment will also review the CACS transition arrangements for its certified clients.

What are the emerging changes to ISO 14001:2015?

Strategic Environmental Management – There is an increased prominence of environmental management within the organization's strategic planning processes. A new requirement to understand the organization's context has been incorporated to identify and leverage opportunities for the benefit of both the organization and the environment. Particular focus is on issues or changing circumstances related to the needs and expectations of interested parties (including regulatory requirements) and local, regional or global environmental conditions that can affect, or be affected by, the organization. Once identified as a priority, actions to mitigate adverse risk or exploit beneficial opportunities are integrated in the operational planning of the environmental management system.

Leadership – To ensure the success of the system, a new clause has been added that assigns specific responsibilities for those in leadership roles to promote environmental management within the organization.

Protecting the environment – The expectation on organizations has been expanded to commit to proactive initiatives to protect the environment from harm and degradation, consistent with the context of the organization. The revised text does not define 'protect the environment' but it notes that it can include prevention of pollution, sustainable resource use, climate change mitigation and adaptation, protection of biodiversity and ecosystems, etc.

Environmental performance – There is a shift in emphasis with regard to continual improvement, from improving the management system to improving environmental performance. Consistent with the organization's policy commitments the organization would, as applicable, reduce emissions, effluents and waste to levels set by the organization.

Lifecycle thinking – In addition to the current requirement to manage environmental aspects associated with procured goods and service, organizations will need to extend their control and influence to the environmental impacts associated with product use and end-of-life treatment or disposal. This does not imply a requirement to do a life cycle assessment.

Communication – The development of a communications strategy with equal emphasis on external and internal communications has been added. This includes a requirement on communicating consistent and reliable information, and establishing mechanisms for persons working under the organization's control to make suggestions on improving the environmental management system. The decision to communicate externally is retained by the organization but the decision needs to take into account information reporting required by regulatory agencies and the expectations of other interested parties.

Documentation – Reflecting the evolution of computer and cloud based systems for running management systems, the revision incorporates the term 'documented information', instead of 'documents' and 'records'. To align with ISO 9001, the organization will retain the flexibility to determine when 'procedures' are needed to ensure effective process control.