

**Raad voor Accreditatie
(Dutch Accreditation Council RvA)**

**Implementation of
ISO 9001:2015 and 14001:2015**

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A RvA-Explanatory note describes the policy and/or the procedures of the RvA concerning a specific field of accreditation. In case the policy and/or procedures for a specific field of accreditation as described in a RvA Explanatory note, is documented by EA, ILAC or IAF, the RvA will bring its policy en procedures in line with the EA, ILAC or IAF-document.

A current version of the Explanatorv is available through the website of the RvA. (www.rva.nl).

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0 Reference documents

- ISO/DIS 9001
- ISO/DIS 14001
- IAF ID9 Transition Planning Guidance for ISO 9001:2015 (January 2015)
- IAF ID10 Transition Planning Guidance for ISO 14001:2015 (February 2015)
- To be updated when necessary.

0.1 Definitions

- X Date of publication of ISO 9001: 2015
- FX Date of publication of ISO/FDIS 9001: 2015
- Y Date of publication of ISO 14001: 2015
- FY Date of publication of ISO/FDIS 14001: 2015

1 Introduction

IAF is currently in the process of developing a transition plan to provide accredited certification against the revised standards ISO 9001 and ISO 14001 (both with an expected publication date in Q2 or Q3 of 2015). For this, IAF has published informative documents IAF ID9, Transition Planning Guidance for ISO 9001:2015 and IAF ID10, Transition Planning Guidance for ISO 14001:2015. IAF ID9 states that the revisions of ISO 9001 include significant changes and thus a transition policy is required to describe the steps to be taken by accredited certification bodies to be able to issue accredited certificates for ISO 9001:2015. Similar statements have been made for ISO 14001:2015. In line with IAF Resolution 2013-15 and 2014-11 (IAF General Assembly), a 3 year transition period will be applied. This means that existing accredited certificates against the current versions of ISO 9001 are no longer valid after the X + 3 years, or Y + 3 years for ISO 14001, and shall have been transferred to the new version before that date (if the organization wishes to remain certified).

Additionally, in The Netherlands, where (central) scheme managers have a certification scheme based on either ISO 9001 or ISO 14001 (e.g. the SCCM scheme or the HKZ schemes), the scheme owners will have to analyse what the impact of the changes is on their certification scheme(s) and they will have to determine a transition policy for their schemes. The RvA will review these and base its transition policy for these schemes on the outcome of those reviews and the guidelines below. This will be communicated in separate communications or in updates of this policy.

2 Transition policy

The IAF ID9 and ID 10 documents state that “Accredited certifications to ISO 9001:2015 / ISO 14001:2015 and/or national equivalents should only be issued once the CB has been accredited to deliver certification to the new standard”. For this reason, although normally the RvA accreditation does not indicate the version of ISO 9001 or 14001 for which the CB has been accredited, the RvA will indicate on the scope whether accreditation has been granted against the 2008/2005 or 2015 versions. From now on, it will do so at the earliest opportunity (e.g. after regular assessments, or with changes in the scope). This means that when the appendix to the RvA accreditation certificate doesn't specifically refer to the ISO 9001:2015 (or ISO 14001:2015) version, the CB is not yet accredited for the 2015 version(s). The accreditation for ISO 9001:2008 and / or ISO 14001:2005 will remain valid until the end of the transition period. This will be indicated on the scope of accreditation, by adding the version of the standard.

The fact that significant changes have been introduced with respect to the structure of the standard, and with respect to the effectiveness of the system with respect to desired outcomes, has resulted in

the decision by RvA, that a witness assessment (ISO 9001 or 14001) should be part of the transition process. The current information is that a majority of the EA NAB's will include a witness in their transition processes. This witness should take place in a technical area where it is likely that the CB should be able to demonstrate the new aspects in practice (i.e. not during a simple audit), and which is reasonably representative for the CB's scope of accreditation.

The transition process (including a witness) may be carried out in different ways as stated below. RvA distinguishes three possible transition schemes:

- A Transition during regular surveillance and re-accreditation processes (see 2.1).
- B Accelerated transition including witnessed audit prior to accreditation (see 2.2).
- C Accelerated transition without witnessed audit prior to accreditation (see 2.3).

By May 15th, 2015, the CB should have informed its account manager at RvA which of the transition schemes they wish to use. This should be accompanied by a transition plan, indicating when and how the CB intends to prepare itself and carry out accredited certification against the revised standards (see IAF ID9 and ID10 for further guidance on what the CB should include in planning its transition). The CB should keep its RvA account manager up to date with relevant changes to the transition plan, i.e. those which may have an impact on the accreditation transition assessments.

The RvA assessments for each of these three options could be initiated from FX and FY onwards. However, accreditation will not be granted until after X or Y. The RvA shall review the changes between the FDIS and the published standard. If significant changes have been introduced the RvA may decide to perform additional assessment activities.

2.1 Transition during regular surveillance and re-accreditation processes

The RvA will assess the transition elements (see chapter 3) during the regularly scheduled assessment process, (i.e. spread over more than one assessment). Under this option, no additional assessment time is scheduled. At least one of the regularly scheduled witness assessments should be against the new standard. Accreditation for the new standards will be granted in line with the normal schedule when all nonconformities, related to the certification scheme for the new standards, have been closed (including verification of effectiveness of corrective actions; this may include demonstration of effective implementation of corrective actions by means of a new witness, dependent on the type of finding) and when the assessment program has clearly demonstrated that all aspects of the transition have been dealt with (see chapter 3, this may not be possible during the first surveillance only). Where useful, but only for the nonconformities that would not be a nonconformity against the old version, the RvA assessment team may raise category (B) nonconformities with a longer period for completion (but never longer than X + 3 or Y + 3 years). The RvA report shall specify which parts have been assessed, these will be copied to report part A to enable completion during the next assessment(s).

2.2 Accelerated transition including witnessed audit prior to accreditation

The RvA offers the possibility to start up an accelerated accreditation process. This process may be started up from FX or FY. The transition assessment will focus on the elements as listed in chapter 3 and includes an additional office assessment (duration approx. 1 day) and a witness assessment (for one of the standards ISO 9001 or ISO 14001).

Due to the fact that this assessment regime may be requested during the FDIS stage, it is possible to achieve a positive accreditation decision for the new standards much earlier than in the option 2.1. The accreditation will be granted within the current accreditation schedule (i.e. comparable with an

extension of scope, since in this limited assessment not all elements of ISO 17021 will be assessed) and will only be granted when all nonconformities raised that relate to the certification scheme of the new standard have been closed (including verification of effectiveness of corrective actions; this may include demonstration of effective implementation of corrective actions by means of a new witness, dependent on the type of finding). When an accelerated transition is requested, no nonconformities cat. (B), with a longer period for completion, will be used, only the regular types of nonconformities will be used.

2.3 Accelerated transition without witnessed audit prior to accreditation

Also from FX or FY, but when no possibilities for a representative witness assessments can be found, the RvA offers the possibility of applying for an accreditation under conditions (for the new standard). This means that initially only an additional office assessment will be performed (duration approx. 1 day).

When all nonconformities raised have been resolved, accreditation may be granted within the current accreditation schedule (i.e. comparable with an extension of scope, since in this limited assessment not all elements of ISO 17021 will be assessed). The individual accreditation decision (in Dutch: “beschikking”) will in this case include the following conditions:

- The CB is required to notify RvA of all audits that the CB intends to perform against the new requirements at least 6 weeks in advance;
- The CB will offer RvA the opportunity to witness one of the first audits against the new requirements (the RvA will select a suitable audit for witnessing);
- Nonconformities raised, as a result of the new requirements in the standard, during the witness, shall be graded as category A nonconformities (see RvA-BR004). The subsequent RvA verification may include demonstration of effective implementation of corrective actions by means of a new witness (dependent on the type of finding);
- The CB shall offer a reasonable witness option within 1 year.

If any of these conditions is not met, the withdrawal process for the accreditation (for the scope ISO 9001:2015 and / or ISO 14001:2015) will be initiated. The CB (if it still wishes to become accredited for the new standards) will have to re-apply. In this case, the RvA will not accept a second application for an accelerated transition process. Also, the RvA will not use category (B) nonconformities, but only the regular categories A and B.

The validity of accreditation under the last two options shall not be beyond the end date of the current accreditation declaration, i.e. this option may not be used to postpone the re-accreditation assessment.

3 Elements assessed during the transition assessment(s)

During the transition assessment(s), the RvA shall focus on the following elements:

- competence management (adaptation of criteria and training, evaluation (including the start of observing the auditors conducting an audit) and qualification of auditors);
- audit methodology (during the office assessment, tools and training are reviewed; during a witness, the actual implementation);
- reporting;
- transition arrangements for certified clients (including the conditions for certification against the new standard; see IAF ID9 and IAF ID10, clause 4.2 and below).

4 Accredited certificates

It should be noted that accredited certificates shall be issued only after:

- 1 the RvA has granted accreditation to the CB to deliver certification to the new standards;
- 2 the CB has conducted an audit against the new requirements (for each client);
- 3 the CB has clearly identified and raised, as documented findings, all issues that require client action for compliance with the new requirements;
- 4 the CB has determined, through an evaluation for corrective action **and** compliance, that the client has addressed all issues identified and has demonstrated the effectiveness of the management system.

5 Caution

This policy is developed in order to facilitate timely planning for the transition by the Certification Bodies. The disadvantage is that not all referenced documents have been published in their final versions yet. Certification Bodies should regularly check whether this document has been updated in line with new developments (whether initiated by IAF, ISO or RvA itself).

6 Changes with respect to the previous version

None, this is the first version of this document.