TRANSITION GUIDE

Revision of the ISO 9001 and ISO 14001 standards

→ KEY POINTS OF THE 2015 VERSIONS

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AFNOR Certification, a world-leading certification body and a major player in the standards revision process, is committed to helping you achieve success with your projects.

Issuing such trusted high-profile labels as NF, AFAQ and the EU Ecolabel, AFNOR Certification enables companies and professionals to gain recognition for their strategies through quality hallmarks. With over 70,000 sites certified in over 100 countries, AFNOR Certification delivers certification and assessment services and engineering for 270 categories of products and services. 8,600 personnel certificates are currently valid. With standard-based benchmark documents and the creation of labels, AFNOR Certification takes responsibility for supporting private and public organizations with defining the process best suited to their strategies across multiple sites and on a national and international scale.

Acknowledgements: we would like to thank all the people that were even remotely involved in preparing this guide.

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→ INTRODUCTION

With over 1,500,000 certificates around the world, ISO 9001 and ISO 14001 are unquestionably the most widely deployed and recognized management standards at the international level.

Since the last significant changes were made to both standards in 2000 and 2004 respectively, organizations have widely upgraded their management practices in the face of the increasingly complex economic and competitive environment, requiring organizations to constantly adapt their game plan. Environmental regulations have also changed, and so have the expectations of consumers and society alike, who are increasingly demanding when it comes to the environmental management practices of public and private organizations.

The ISO 9001 and ISO 14001 standards are changing in response to the needs of all such interested parties. The new versions will be published in September 2015.

The main objectives of both standards remain unchanged: *Enable an organization to "demonstrate its ability to consistently provide product that meets customer and applicable statutory and regulatory requirements, and enhance customer satisfaction"* for ISO 9001 and *"manage its environmental responsibilities in a manner that contributes to the environmental pillar of sustainability"* for ISO 14001.

In an effort to give as many organizations as possible the opportunity of incorporating a quality and environmental strategy, ISO 9001 and ISO 14001 have been revised to adopt a common structure based on three core concepts: process approach, continual improvement and risks.

AFNOR Certification is pleased to present its transition guide for the 2015 revisions. This guide is designed to give you a clearer insight into the major changes featured in the new standards and their impacts in the most pragmatic and instructive way possible.

More than ever, you can count on the support and guidance of AFNOR Certification and its auditors for confidently migrating to the new standards.

Happy reading!

Franck Lebeugle,
Managing Director of AFNOR Certification

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→ FIVE GOOD REASONS FOR SWITCHING TO THE 2015 VERSION

01 Adapt by better understanding your challenges

The 2015 versions of the ISO 9001 and ISO 14001 standards are designed to help you sense and more effectively pick up on market trends, so that you can adapt your approach accordingly. Signals from the ecosystem are systematically collected and analyzed (market, regulatory and internal context, and expectations of customers and interested parties). Furthermore, striving for greater consistency between your strategy and management system will help improve your performance and your ability to innovate.

02 Anticipate your risks

The 2015 versions establish risk-based thinking as a way of controlling your activities and reducing undesired effects and impacts.
The new versions of the standards focus on prevention by helping you better identify your risks and opportunities for anticipating their effects and improving your performance.

03 Reduce your costs

The new versions concentrate on enhancing activity performance and achieving results in terms of product/service conformity, customer satisfaction and environmental objectives. When combined with risk-based thinking, these new objectives contribute towards reducing the costs of poor quality and undesired effects.

04 Re-empower your employees

Top management's commitment is essential for sustaining a management system. The new versions drive home this aspect by promoting leadership as a key to successful teams and the achievement of objectives. Top management must anticipate, direct, promote and communicate to the teams, as well as more accurately identify their expectations, their roles and their responsibilities.
The 2015 versions offer the opportunity of greater team involvement in identifying and prioritizing risks and opportunities, as well as defining and achieving objectives.

05 Simplify your approaches

The 2015 versions place greater emphasis on "results" than on "means", and certain documents are no longer required, such as the quality manual. Teams are now responsible for determining their own means and operating tools.
The ISO 9001 and ISO 14001 standards adopt a common structure, which is still organized according to the PDCA methodology (Plan-Do-Check-Act). This is good news for simplifying the process of implementing an integrated management system and reducing "multi-layer" approaches.

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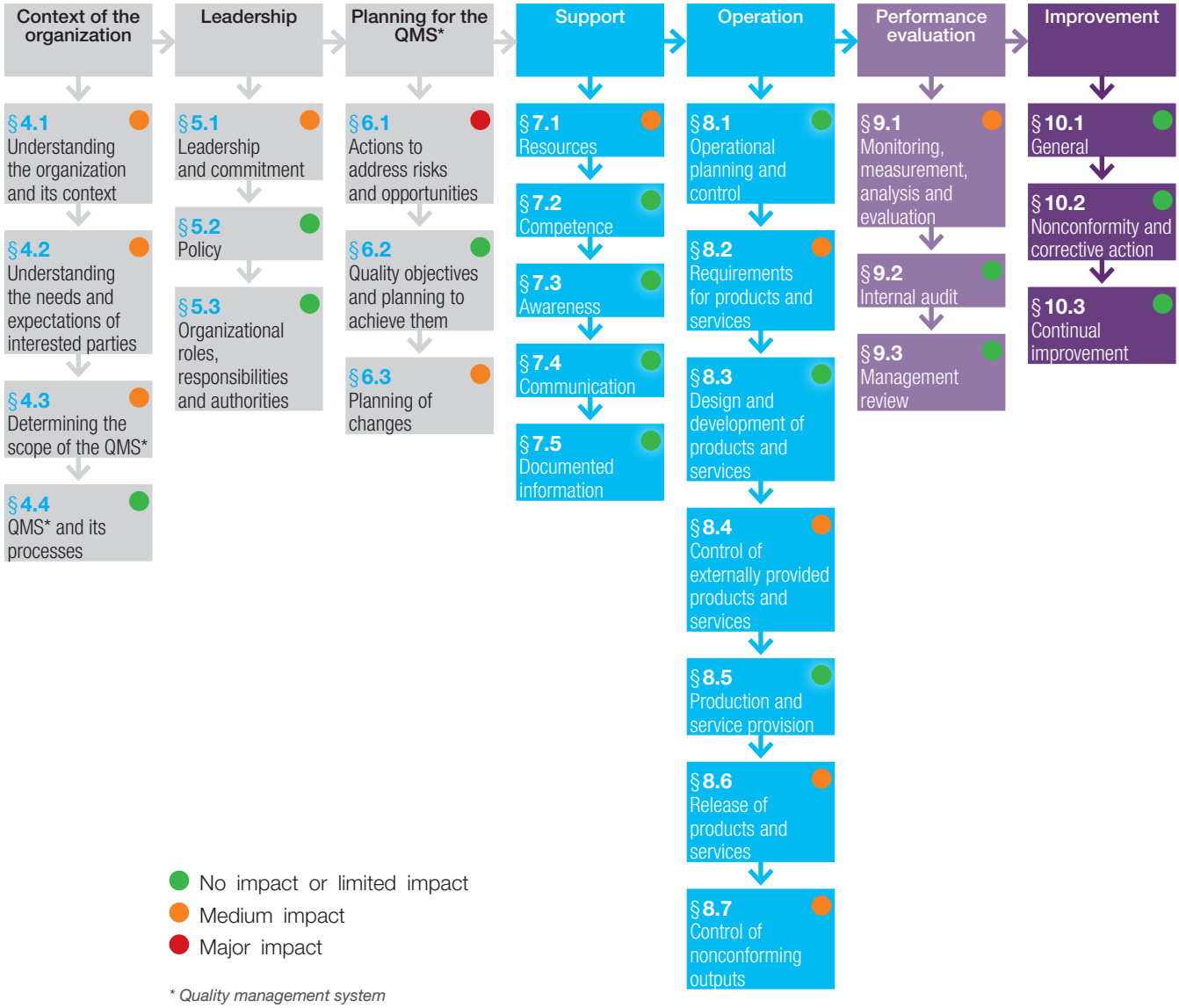
→ THE IMPACTS OF THE 2015 VERSION OF ISO 9001

In brief

ISO 9001:2015 establishes the foundations and best practices of a quality management system (many of the requirements in the 2008 version are included). This change is an opportunity for introducing relevant and profitable practices for organizations. The key chapters in the 2015 version are summarized below.



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Changes with a medium impact

- **Understanding the organization and its context** → §4.1

  The organization must analyze its context (internal and external issues) for the purpose of adjusting aspects of its quality management system (QMS) if necessary. The 2015 version does not require any specific methods, but strategic marketing tools, such as SWOT* and PESTEL**, are useful for regularly monitoring and updating this information.

- **Understanding the needs and expectations of interested parties** → §4.2

  The 2015 version invites organizations to think about the players in their ecosystem who could influence their activities, i.e. interested parties. Organizations should determine the relevant parties (customers, end users, employees, suppliers, legislation, shareholders, consumer associations, financial backers, etc.) and identify their expectations that could influence the organization's products and/or services.

- **Determining the scope of the QMS** → §4.3

  Considering the issues and expectations of interested parties may prompt the organization to review the scope of its quality management system. The scope is an item of documented information that specifies the boundaries and applicability of the QMS, as well as the products and services concerned.

- **Excluded requirements** → §4.3

  Any requirement may be excluded from the scope, provided that it has no effect on the organization's ability or responsibility to provide conforming products and/or services. Any decision to not enforce a requirement in the standard must be justified.

- **Leadership** → §5.1

  Incorporating the term "leadership" places greater responsibility upon top management. Top managers must demonstrate their commitment, especially through their accountability for the effectiveness of the QMS and their support for the organization's other managerial functions.

- **Planning of changes** → §6.3

  Any changes affecting the QMS (processes, activities, infrastructures, equipment, etc.) must be controlled and carried out as part of a project approach (objectives, control of the consequences, required resources and responsibilities). The aim is to reduce any negative impacts and problems that could arise during a change. The standard is therefore designed as a "prevention tool".

- **Control of changes** → §8.5.6

  An event may sometimes affect the ability of the processes or equipment to provide a product or service meeting the required level of quality within the specified lead-time. With the 2015 version, the organization is committed to reducing the consequences of such events and keeping track of the results of any changes made.

- **Control of externally provided products and services** → §8.4

  Controlling the conformity of products, services and processes supplied by external providers has been reinforced in the 2015 version. The organization must agree to define the situations concerned, and the type and scope of control, as well as provide clear information to external providers.

**SWOT: method used to analyze an organization's strengths and weaknesses, as well as the opportunities and threats in its environment.*

***PESTEL: an analytical tool used to identify external influence factors on an organization: Political, Economic, Social, Technological, Environmental and Legal.*

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- **Post-delivery activities** → §8.5

  The standard does not impose any particular methods, but requires all organizations to integrate their post-delivery activities (warranties, insurance, maintenance, recycling, after-sales, etc.) into the scope of their QMS.

- **Control of nonconforming outputs** → §8.7

  The 2015 version requires organizations to identify and control any nonconforming outputs. These outputs are the outcomes of some process's activities, such as information, components and intermediate elements.

- **Monitoring, measurement, analysis and evaluation** → §9.1

  This new version requires the organization to improve how it thinks about monitoring, measurement and the associated resources. The requested documentation mainly focuses on evidence that activities have been carried out (metrics, measurement reports, test reports, etc.). As part of the transition, we would advise you to review your monitoring activities.

Changes with a major impact

- **Actions to address risks and opportunities** → §6.1

  Still with the aim of serving as a prevention tool, the standard encourages organizations to identify risks and opportunities, and the actions to address them.
  Risks and opportunities must be determined according to the context and interested parties' expectations. Although the 2015 version does not require any specific methods, we would advise you to use a risk analysis method.

- **Organizational knowledge** → §7.1.6

  The 2015 version considers that an organization's value does not lie solely in its bottom line and must be broadened to encompass its information capital. The organization must therefore identify the key knowledge required for implementing its processes and obtaining conforming products and services: legislation, feedback, knowledge-sharing, etc.

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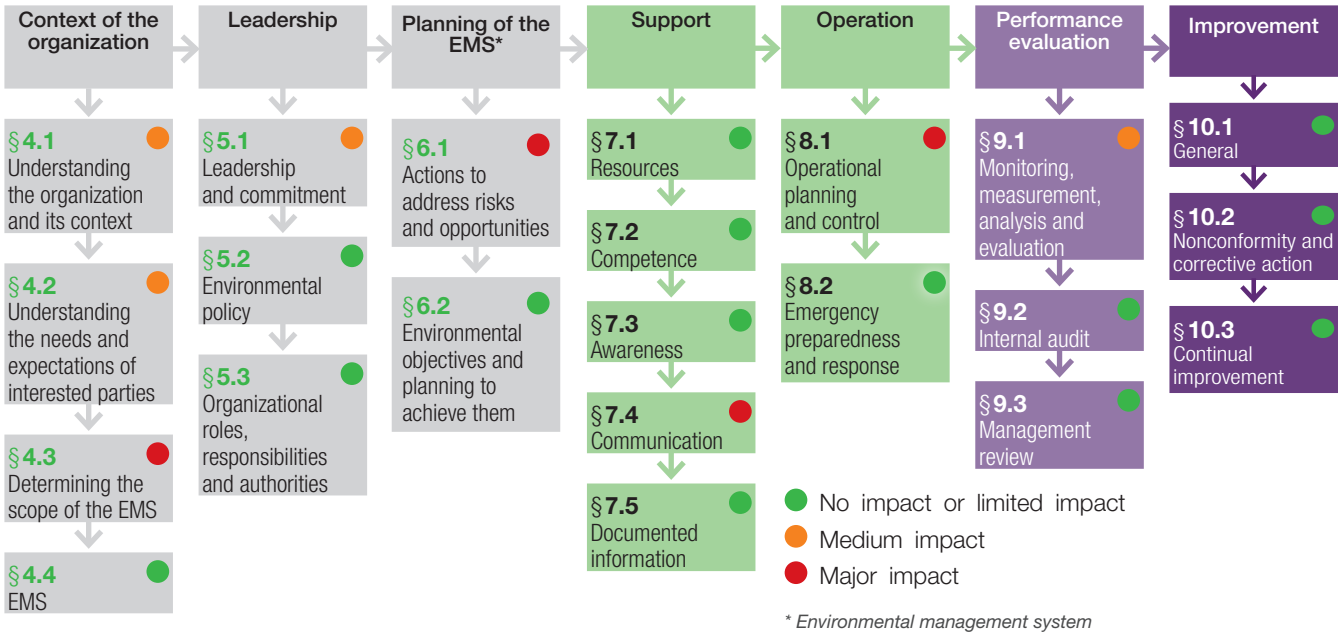
→ THE IMPACTS OF THE 2015 VERSION OF ISO 14001

In brief

ISO 14001:2015 establishes the foundations and best practices of an environmental management system (many of the requirements in the 2004 version are included). This change is an opportunity for introducing relevant practices for organizations. The key chapters in the 2015 version are summarized below.



Changes with a medium impact

Understanding the organization and its context → §4.1

The organization must analyze its context (internal and external issues, environmental conditions, etc.) for the purpose of ensuring consistency with its environmental management system. The 2015 version does not require any specific methods, but strategic marketing tools, such as SWOT** and PESTEL***, are useful for regularly monitoring and updating this information. *(** and *** see notes on page 6)*

Understanding the needs and expectations of interested parties → §4.2

The 2015 version invites organizations to think about the players in their ecosystem who could influence their activities, i.e. interested parties. Therefore, organizations should regularly determine the relevant interested parties (customers, end users, employees, suppliers, legislation, shareholders, residents' and environmental protection associations, local authorities, etc.) and identify their needs and expectations.

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- **Commitment of top management** → §5.1

  The 2015 version places greater responsibility upon top management. Top managers demonstrate their commitment, especially through their accountability for the effectiveness of the EMS and their support for the organization's other managerial functions.

- **Compliance obligations** → §6.1.3

  Compliance obligations are requirements that an organization must satisfy or which the organization may elect to satisfy. The 2015 version reinforces their importance by requiring organizations to determine how these obligations apply.

- **Monitoring, measurement, analysis and evaluation** → §9.1

  Monitoring requirements are clarified and specified to ensure that results are valid. This monitoring strategy targets operations with a significant impact, statutory obligations, operational control methods, the progress of environmental objectives and environmental performance. The organization must specify the moment at which monitoring is carried out and the results analyzed.

Changes with a major impact

- **Determining the scope of the EMS** → §4.3

  The way in which the organization determines the scope of its EMS must now be justified according to the analysis of the external and internal issues, its ability to control and influence outsourced activities, and the compliance obligations relating to its interested parties.

- **Risks and opportunities** → §6.1

  Organizations must now identify the internal and external risks that could have a positive or negative effect on the achievement of their planned environmental results and their continual improvement strategy. This approach therefore supersedes the concept of preventive actions.

- **Communication** → §7.4

  The 2015 version requires the organization to set up an internal and external communication process (what, when, whom and how) for the purpose of delivering consistent and reliable information. The organization is responsible for determining when to activate the communication process.

- **Significant environmental aspects (SEA)** → §6.1.2

  The scope for identifying SEAs has been broadened to encompass the organization's level of control and influence, as well as the life cycle perspective. With the new version, the organization also considers design and development processes, changes to its activities, products & services and the end-of-life treatment of products and services in order to examine how the associated impacts can be reduced or eliminated. Although a detailed life cycle analysis is not required, the standard invites the organization to assess the importance of its key environmental aspects on the life cycle and the entire value chain.

- **Operational planning and control** → §8.1

  The new version features the concepts of control over outsourced processes and control over the entire value chain.
  Outsourced processes with significant environmental aspects must be controlled according to the organization's level of influence. Furthermore, the organization must consolidate its purchasing processes by taking the product or service life cycle into consideration.
  The organization must also ensure that environmental requirements are factored into the product and service design processes at every stage in the life cycle (development, delivery, use and end-of-life treatment).
  Finally, the organization must communicate relevant information on the different life cycle stages. For example, this might include instructions for effectively using products in order to reduce their impacts on the environment.

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→ CERTIFICATION: SWITCHING OVER AT THE RIGHT TIME

How to obtain the certificate attesting your compliance with the 2015 versions?

AFNOR Certification adapts to your time constraints and requirements by offering two different approaches:

If you are ready:
- Plan your audit according to the 2015 version (based on a follow-up or renewal audit) with your AFNOR Certification representative.

If you would rather switch over in stages:
- Maintain your current certificate while switching over to the 2015 version in two stages: you will be audited for some of the requirements in year one and the remaining requirements in year two.

What happens if the audit according to the 2015 version is unsuccessful? Rest assured that if you are still compliant with the requirements of the 2008/2004 version, your current certificate will be maintained.

Our advisers are ready and waiting to define the transition plan best suited to your particular situation.

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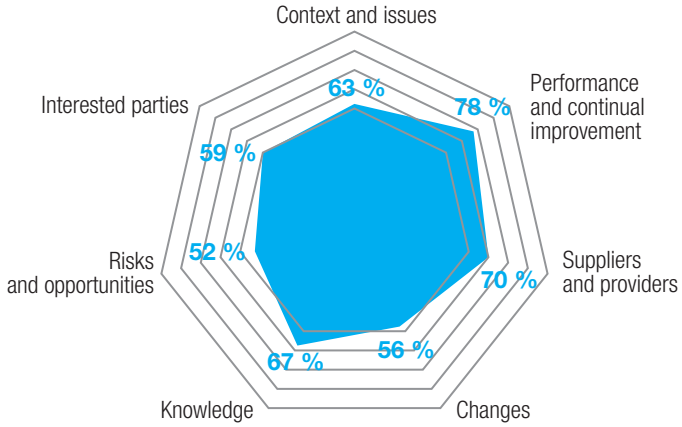
→ INITIAL FEEDBACK

Over 1,000 businesses have assessed their performance using the ISO 9001 and ISO 14001 "Readiness survey" online tests designed by AFNOR Certification's experts. An initial snapshot of their performance based on these results is provided below.

ISO 9001: What stage are companies at?



Organizations already have the vast majority of elements or practices required by the new version.

The three requirements with the lowest level of control involve interested parties, changes, and risks and opportunities. This result comes as no surprise and can be explained by a number of reasons:

- **Interested parties:** with the 2008 version, many organizations have implicitly included customers, personnel, suppliers and regulations. But the 2015 version requires organizations to consider new interested parties and their expectations.
- **Changes:**organizations generally have few methods or tools for supporting changes to their management system. Organizations should improve the way they anticipate and plan changes, even if this is done simply using basic and brief methods and tools.
- **Risks and opportunities:** these are related to the organization's maturity and are more frequently dealt with in major groups, especially risks. Opportunities are hardly ever tied into the management system, irrespective of the organization's size. Therefore, every organization can implement actions to coordinate the different initiatives in relation to their activities, products and services.

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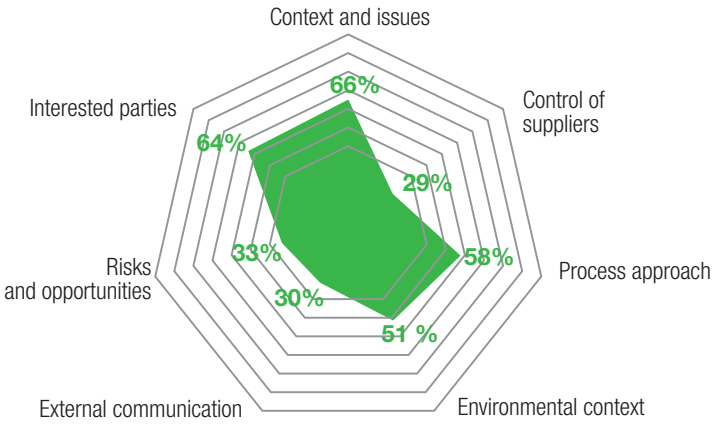
The three requirements with the highest level of control concern performance, knowledge and suppliers & providers:

- **Performance:** this requirement has been present since the 2000 version of ISO 9001 and has been reinforced in subsequent versions. Organizations naturally obtain the best score for this criterion.
- **Suppliers and providers:** organizations have already implemented a number of practices in alignment with the 2015 version. However, reinforced requirements (monitoring, control and documentation) deserve special attention.
- **Knowledge:** the result associated with knowledge appears to be surprisingly good, since in AFNOR Certification's experience this topic is often poorly addressed.

In brief, organizations are close to the requirements of the 2015 version.
These results confirm that ISO 9001:2015 is well-suited to organizations' needs.
This situation may obviously vary from one organization to another depending on its maturity, the implementation of sector-based standards and the goal of the management system(s).

ISO 14001: What stage are companies at?



ISO 14001:2015 features major changes for which organizations are not prepared, which explains the mixed bag of results. But by taking a more in-depth look at the different requirements, the new version does not appear to be an insurmountable obstacle for organizations agreeing to the need for such changes.

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The three topics requiring further investigation concern the control of suppliers, external communication, and risks and opportunities. These results can be explained as follows:

- **Control of suppliers:** generally speaking, current ISO 14001 management systems only focus on the control of internally-performed activities, meaning that organizations have not yet grasped the impacts associated with the outsourced activities and services on which they may have an influence. The 2015 version invites them to adopt a life cycle approach and reduce environmental impacts according to their level of influence or control.

- **External communication:** organizations seldom communicate about the outputs from their environmental management system. Therefore, very few have adopted an external environmental communication process, such as required by the 2015 version.

- **Risks and opportunities** are a new concept in the 2015 version, which will help improve environmental performance and which builds on the need to identify environmental aspects. The final version of ISO 14001 will provide further details about this particular point.

The three topics with the highest level of control are the context, the interested parties and the process approach:

- **The context** associated with the environment is known by ISO 14001-certified organizations. An organization's determination to adopt an ISO 14001 approach often arises from its knowledge of the environmental context, more so than when it comes to adopting a quality approach.

- **Interested parties:** the result for this requirement confirms our expectations, since this concept is already present in the 2004 version.

- **Process approach:** despite being new to the 2015 version, this approach is well established in ISO 14001-certified organizations due to the influence of the quality management systems integrated into their environmental strategy.

These results confirm the fact that organizations wishing to migrate to the 2015 version must mainly focus on controlling suppliers, external communication and the identification of risks and opportunities. These results obviously vary according to the organization's maturity and highlight the need to identify additional actions to ensure compliance with the 2015 version.

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Feedback from initial audits

AFNOR Certification is keen to share some of the lessons learned from the series of pilot audits carried out by its auditors:

- Organizations have effectively identified internal and external issues, but such issues could be better shared within the organization. Information about the market, risks, competition and technological developments are also some of the elements that organizations should share with their employees.

- Consideration for interested parties also depends on organizations' maturity and their certifications/assessments. Organizations that are certified or committed to an environmental management system, and even committed to social responsibility, already have the principles and tools to give them a better understanding of their interested parties.

- Organizations are more familiar with the concept of risk than the concept of opportunity. Auditing will gradually help set standard practice for this requirement.

- Knowledge is often associated with skills and represents a focus area for organizations.

- The auditor's role has been enhanced with new topics for carrying out a successful audit:
  > The internal and external context,
  > Interested parties,
  > Risks and opportunities.

  Auditors must have a greater insight into the organization's culture, values and strategy in order to carry out a successful audit.

- The importance of the auditor's ability to listen, such as recommended in ISO 19011 (guidelines for auditing management systems), has been reinforced: open-minded, perceptive, diplomatic, and sensitive to cultural differences and improvements.

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