IRCA Policy for Transitioning

ISO 9001:2015 & ISO 14001:2015

IRCA Policy for Transitioning to ISO 9001:2015 & ISO 14001:2015

This document describes the position the Chartered Quality Institute has adopted to ensure the audit and training communities properly support the transition to the ISO 9001:2015 & ISO 14001:2015 versions.

This document does not provide detailed transitioning information. This information will be communicated to Approved Training Partners and IRCA certificated auditors separately.

Significance of the changes

The CQI has had significant involvement in the revisions process through its work with the British Standards Institution, the UK's National Standards Body and also, for ISO 9001, through its 'A' Liaison Member status with ISO.

As a result, we have an accurate understanding of the standard writers' intentions and has sought to incorporate these faithfully in our approach to transitioning. The changes within the 2015 versions of both standards are significant. The standards will require auditors to acquire new knowledge, but more importantly, to acquire new skills in order to audit effectively against the requirements of the revised standards.

We know that many in the accredited certification community feel the changes incorporated in the 2000 version of ISO 9001 were not reflected adequately in assessment and certification practices. For the 2015 changes, it is too early to gain a representative understanding of the positions taken by the various interested parties, but anecdotal evidence suggests a similar lack of reflection of the standards writers' intentions is likely in some quarters. At the CQI, we have made an early declaration of our position: these are significant changes and so we require auditors to gain not only new knowledge, but also new skills, which will be examined before acceptance. This makes clear our determination that accredited certification must reflect the integrity of the revisions and avoid the loss of credibility associated with any compromise.

We have identified and set out in the Annex the key areas where QMS and EMS auditors will need to focus in their competence development.

For general enquiries relating to the CQI's policy position on ISO 9001:2015 and ISO 14001:2015 please contact the Member Journey team via auditors@quality.org

Alternatively visit quality.org/training/transition

Transition requirements for IRCA certificated QMS & EMS Auditors

- All Auditors certificated to any of the QMS & EMS grades:

    o Will be required to successfully complete IRCA certified transition training applicable for each standard in order to be certificated as competent to audit against the 2015 versions.

    o Auditors will be able to remain on our database but will be removed from the online register until they complete their transition to the updated 2015 standard. They will not be able to present themselves as an IRCA auditor competent to audit to 2015 standard. Mis-representing your status would represent a breach of the CQI and IRCA Code of Conduct.

- Transition training will include:

    o A one-day module covering Annex SL

    o A module covering the audit skills applicable for each standard (see annex)

- In exceptional circumstances, IRCA will consider accepting evidence of acquisition of the 2015 version-associated knowledge and skills through routes other than those detailed in this policy. Any costs associated with verification of the validity of these routes must be met by the auditor submitting the evidence. Exceptional circumstances will be restricted almost exclusively to instances where IRCA certified transition training is not available.

- IRCA will consider accepting transition training offered by or accepted by personnel certification bodies other than IRCA where this training meets the IRCA transition training requirements.

- For certification purposes, IRCA will only accept audits performed against the 2015 versions following successful completion of the transition training.

- For more information, contact the Member Journey team auditors@quality.org

Transition requirements for IRCA approved training providers

- IRCA approved training providers will be required to update their courses based on the current version (Foundation, Internal Auditor, Auditor/Lead Auditor, Conversion) to comply with the 2015 version-based course criteria by **1 September 2018**. Any course not updated by this date will cease to be recognised as 'IRCA approved'.

- IRCA undertakes to issue transition training criteria on or around one month following either:

    a) The FDIS for each standard being made available by ISO to National Standards Bodies for ballot, or

    b) when ISO releases each FDIS for sale

    … whichever of these is the sooner.

- IRCA will not accept course completion certificates for training against the current versions for the purposes of auditor certification after **1 September 2018**.

- IRCA will not accept certificates of successful completion of the current (i.e. non-2015) version training for certification to the 2015 schemes.

- The IRCA website will identify which IRCA approved courses are run to which version of the standards.

- For more information, please contact the CQI Learning & Development team via training@quality.org

<u>Guidance for employers of auditors during the transition period</u>

- Employers should note that auditors certificated to the QMS and/or EMS schemes after 1 September 2018 have not necessarily transitioned and should refer to the IRCA register or auditors card to confirm the version of the standard the auditor is certified to.

- Auditors who complete IRCA certified transition training will be provided with a certificate of successful completion by the training organisation delivering the transition programme. If there is doubt about authenticity of these certificates, employers will be able to verify the status by contacting the CQI training organisation team via training@quality.org

- IRCA will offer to review transition training arrangements developed by employers for their own auditors and, where these arrangements are deemed to meet the IRCA requirements, accept successful completion of these arrangements as an alternative to completing IRCA accredited transition training. A fee will be charged to recover the costs associated with these reviews.

- For a fuller understanding of the transition requirements, we recommend employers become familiar with the policies for IRCA auditors and IRCA Approved Training Organisations.

Annex A – Principal areas for IRCA certified QMS auditor development

1. **The adoption of Annex SL**

   The 2015 version of the Standard adopts Annex SL's high-level structure, core text and common terms and definitions. This means even when requirements are essentially unchanged between the 2008 and 2015 versions of the Standard, they are frequently found under a new clause / sub clause heading.

2. **The switch from Management commitment to Leadership and commitment**

   The changes around Leadership represent a deliberate attempt by the standard writers to embed responsibility for operation and performance of the QMS at **all** levels in the organisation. Previously it was not uncommon for the QMS to be focused on the management representative; however, the requirement for this role has now been removed. The Leadership changes have considerable implications for both top management and those who will be required to audit top management.

3. **The introduction of Clause 4 – Context**

   In order to be able to audit Context effectively, QMS auditors will need to have formulated a picture of the context of an organisation prior to carrying out the assessment. The auditor will not be able to conclude if the requirements surrounding internal and external issues, and the relevant interests of relevant interested parties, are being properly addressed unless they have an appreciation of what these should reasonably be. This will require additional planning using unfamiliar reference sources.

   Auditors must also understand the link between Clause 4 Context, Clause 6 Planning and Clause 8 Operation, and be comfortable auditing these interdependencies.

4. **Reinforced process approach**

   Although the process approach was introduced as far back as the 2000 version of the Standard, evidence suggests it is still not well understood. Given that the 2015 version of the standard places increased emphasis on the process approach (this being one of three core concepts underpinning the new standard as detailed in the Introduction) it is essential that auditors now understand what is meant by the process approach and what they will need to do in order to assess its implementation by the organisation.

5. **Risk-based thinking**

   Risk-based thinking is another of the three core concepts that underpin the 2015 standard. Auditors need to understand how risk-based thinking must be applied by the organisation to the QMS and in particular how it should be applied in respect of Clause 6 Planning, and Clause 8 Operation.

6. **New evidence sources**

   The 2015 version of the standard removes the requirement for an organisation to hold either a quality manual or quality procedures. References to documents and records are also removed. Instead, an organisation can choose what documented information it wishes to maintain or retain in order to demonstrate conformance. Documented information can now be held in a

format and on media of the organisation's choosing. In future, auditors are likely to be faced with a more divergent range of reference sources from which they will be required to draw conclusions.

Annex B – Principal areas for IRCA certified EMS auditor development

1. The adoption of Annex SL

The 2015 version of the Standard adopts Annex SL's high-level structure, core text and common terms and definitions. This means even when requirements are essentially unchanged between the 2004 and 2015 versions of the Standard, they are frequently found under a new clause / sub clause heading.

2. The switch from Management commitment to Leadership and commitment

The changes around Leadership represent a deliberate attempt by the standard writers to embed responsibility for operation and performance of the EMS at **all** levels in the organisation. Previously it was not uncommon for the EMS to be focused on the management representative; however, the requirement for this role has now been removed. The Leadership changes have considerable implications for both top management and those who will be required to audit top management.

3. The introduction of Clause 4 – Context

In order to be able to audit Context effectively, EMS auditors will need to have formulated a picture of the context of an organisation prior to carrying out the assessment. The auditor will not be able to conclude if the requirements surrounding internal and external issues, and the relevant interests of relevant interested parties, are being properly addressed unless they have an appreciation of what these should reasonably be. This will require additional planning using unfamiliar reference sources.

Auditors must also understand the link between Clause 4 Context, Clause 6 Planning and Clause 8 Operation, and be comfortable auditing these interdependencies.

4. Reinforced process approach

The 2015 version of the standard places increased emphasis on a process approach. It is essential that auditors understand what is meant by a "process approach" and what they must do in order to assess its implementation by the organisation.

5. Risk-based thinking

Risk-based thinking underpins the 2015 standard. Auditors need to understand how risk-based thinking must be applied by the organisation to the EMS and in particular how it should be applied in respect of Clause 6 Planning, and Clause 8 Operation.

6. New evidence sources

While the 2015 version of the standard still requires the organisation to establish and implement an emergency preparedness and response

procedure, requirements for other environmental procedures have been removed. References to 'documents' and 'records' have similarly been removed, with organisations now afforded greater freedom to choose the 'documented information' they wish to maintain or retain in order to demonstrate conformance.

Documented information can now be held in a format and on media of the organisation's choosing. This means in future auditors are likely to be faced with a more divergent range of reference sources from which they will be required to draw conclusions.

7. New/revised EMS specific requirements

The 2015 version introduces new requirements relating to scope and applicability, life cycle perspective and control of outsourcing. There are revised requirements in the areas of policy, communication, performance and evaluation and management review. Auditors must understand these changes and their implications.

[ENDS]

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