

We are pleased to announce that the ISO 9001:2015 and ISO 14001:2015 International Standards were published on September 15, 2015 and are now available for new registrations.

In an agreement reached between ISO and all accreditation bodies, the following accreditation guidelines will be utilized for organizations that are currently registered to ISO 9001:2008 and/or ISO 14001:2004. There will be a three year window from the issuance of the standard to upgrade to the 2015 revision. For most clients on an annual surveillance cycle, that may include at least two Surveillances and a Recertification audit to upgrade. Organizations on a biannual audit frequency will have a few more Surveillances to make this transition possible.

Certification Upgrade Timelines

As the standards were released on September 15, 2015, the three year certificate upgrade window will run until September 14, 2018. **Any ISO 9001:2008 and/or ISO 14001:2004 certificate that is not upgraded within this window will be withdrawn on September 15, 2018.**

This timeline is independent of the organization being registered to any other management system standard, such as TS16949, ISO13485, TL9000, AS91XX, OHSAS18001, RC14001, RCMS, ISO50001 and Superior Energy Performance. Although some of those standards and specifications will be revised per separate industry notifications, the transition process for those standards will not affect the three year window transition process for ISO 9001:2015. Registered organizations are also encouraged to take into consideration the timing of their upgrade with the industry-specific standard/technical specification and the transition timing requirements for the ISO 9001:2015 and ISO 14001:2015 standards.

Current certifications may be upgraded to ISO 9001:2015 and ISO 14001:2015 at any time during the registration cycle. It may be done as part of the Recertification audit, regularly scheduled Surveillances, or by having a Special audit done at the organization's preferred time.

Certification Upgrade Process - Two Stages

The upgrade audits will be done in two stages. Stage 1 is called the "readiness review" process, and the Stage 2 is the actual on-site audit. For Stage 1, typically 1 day may be needed for smaller and medium sized organizations. For corporate or multi-site organizations, the Stage 1 will typically be more than 1 day, dependent upon the complexity, structure, and needs of the organization. Stage 1 is required to be done onsite about 2 to 3 months prior to Stage 2.

For Stage 2, or the Upgrade Assessment, the starting point for calculating the days will be based on the number of days needed for the Recertification audit. Previous audit-day reduction factors such as for maturity of the management system or familiarity with the organization are not applicable at this point because of the revisions. Any new increase and decrease audit-day factors will be evaluated based on the organization's upgraded system changes and the impact of the changes on the organization's overall system. Any new adjustment factors will be

determined based on information provided in the Basic Data Form prior to the Stage 1 audit, confirmed during the Stage 1 audit, and adjusted as needed.

Please note that the most cost effective way to upgrade may be to do it as part of the Recertification audit if the timing of your readiness and timing of registration cycle is feasible for your organization. If you decide to do it during Surveillance, or a Special audit, the number of days for those audits will, as a minimum, have to be equal to a Recertification audit. It can still be done, but it will be more in terms of additional audit days if not done as part of the Recertification audit. Additional audit time may be added and depend on the extent of the changes made to your management system and the context of the organization.

During Stage 1, the primary focus will be to ensure that the new requirements are understood at all levels of the organization and that the necessary changes have been made to the management system. We will be reviewing the context of the organization, identification of interested parties and evidence that the requirements have been fully implemented.

Certification Upgrade Preparation and Readiness

Also, we will need assurance that the company is well aware of the Process Approach requirements and have considered the Risks. As part of the audit planning process, your Lead Auditor will be verifying your company's conformance with these requirements before proceeding to the Stage 2 audit plan preparation. Other things to be considered and/or reviewed include:

- * Identification of Interested Parties and their requirements
- * Identification of Risks and Opportunities
- * Identification of Processes
- * Context of the Organization and Leadership Requirements
- * Review of at least one round of process-based Internal Audits
- * At least one management review after completion of the Internal Audits
- * Complete understanding of the ISO 9001:2015 and/or ISO 14001:2015 Requirements
- * Deployment of Process-based Management System using the PDCA cycle
- * Development of the Stage 2/Upgrade Assessment agenda
- * Confirmation of Stage 2 Assessment days
- * Review of objectives and performance of the current certified management system
- * Identification of Compliance Obligations and Evaluations (ISO14001:2015)
- * Emergency Preparedness and Response (ISO14001:2015)
- * Environmental Aspects and Impacts (ISO14001:2015)

Upon successful completion of the upgrade audit, a new certificate will be issued reflecting your achievement in showing conformance to ISO 9001:2015 and/or ISO 14001:2015, and the start of a new registration cycle that will be valid for three years.

Current Certificate Expiration

As noted below, based on the expiration date of your certificate during the next three year transition time, your organization may elect to upgrade at any time during the transition process. However, if not upgraded ahead of time, the slots highlighted in red show that unless the upgrade audits are done by that time, your certificate will expire on the three year anniversary of the ISO 9001:2015 and ISO 14001:2015 standards.

For any organization choosing to upgrade in the last year of the transition period, we will plan the upgrade audit to coincide with the regularly scheduled audit in the transition period and for the Stage 1 audit to be two to three months prior to the Stage 2 in order to balance all upgrade requests throughout the last year of the transition period.

Timeline of Recommendations According to Certificate Expiration

	09/2015 - 12/2015	01/2016- 06/2016	7/2016- 8/2016	09/2016- 12/2016	1/2017- 6/2017	07/2017- 08/2017	09/2017- 12/2017	1/2018- 6/2018	07/2018- 08/2018
2015	Recert	N/A	N/A	2 nd Annual	N/A	N/A	1 st Annual	N/A	N/A
2016	1 st Annual	Recert	Recert	Recert	2 nd Annual	2 nd Annual	2 nd Annual	1 st Annual	1 st Annual
2017	2 nd Annual	1 st Annual	1 st Annual	1 st Annual	Recert	Recert	Recert	2 nd Annual	2 nd Annual
2018	N/A	2 nd Annual	N/A	N/A	1 st Annual	N/A	N/A	Recert	N/A

 Recommend
  If ready
  Required

Registration audits will continue to be offered to ISO 9001:2008 and ISO 14001:2004 until September 2017. In that case, the certificate will have limited validity (until September 14, 2018). For these clients, their upgrade audit must occur by July 1, 2018, or their ISO 9001:2008 and/or ISO 14001:2004 certificates will expire. All ISO 9001:2008 and ISO 14001:2004 certificates will expire on September 14, 2018.

Gap Assessments

DQS also offers an optional gap assessment service including a report of known areas where the management system is not yet in conformance with the new requirements of ISO 9001:2015 and/or ISO 14001:2015. Gap assessments can be performed sequentially with any regularly scheduled audit or at a specially requested time. Where the gap assessment result shows

readiness for upgrade, it can be used in lieu of the Stage 1 audit as long as the upgrade audit is planned within 6 months.

Integrated Audits

For organizations who are currently registered to both ISO 9001:2008 and ISO 14001:2004 an integrated upgrade assessment to the 2015 Standards may be performed at the organization's request. Both the Stage 1 and Stage 2 Assessments can be conducted as integrated assessments. The total number of audit days for integrated assessments are reduced from performing each upgrade independently. DQS will determine the number of audit days for integrated assessments based on the organization's level of integration of the standards as well as site-specific factors.

Please contact your assigned Customer Service Professional concerning any questions you may have, to schedule a gap assessment or to notify them of your pending transition plan.

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