

**TRINIDAD AND TOBAGO BUREAU OF STANDARDS  
CERTIFICATION DIVISION**

**TRANSITION TO ISO 9001:2015**

*INFORMATIVE DOCUMENT*



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## 1 INTRODUCTION

ISO 9001 has been revised; the document was published on 2015-Sep-15.

This document provides guidance for the transition from ISO 9001:2008 to ISO 9001:2015 and has been prepared by the Trinidad and Tobago Bureau of Standards (TTBS) to provide advice to our certified clients on transition arrangements.

The revision introduces significant changes to the standard. The standard is now 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 are:

- i. The adoption of the HLS as set out in Annex SL of ISO Directives Part 1.
- ii. An explicit requirement for risk-based thinking to support and improve the understanding and application of the process approach.
- iii. Fewer prescribed requirements.
- iv. Less emphasis on documents.
- v. Improved applicability for services.
- vi. A requirement to define the boundaries of the QMS.
- vii. Increased emphasis on organizational context.
- viii. Increased leadership requirements.
- ix. Greater emphasis on achieving desired outcomes to improve customer satisfaction.

## **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.

IAF Resolution 2013-15 was passed by the IAF General Assembly in Seoul on 23 October 2013 endorsing a 3 year transition period to ISO 9001:2015.

### **2.1 Certifications to ISO 9001:2008**

TTBS will allow new certifications to ISO 9001:2008 until 2017-Sep-15.

ISO 9001:2008 certifications will not be valid after 2018-Sep-14. As a result all certificates to ISO 9001:2008 will expire on the same date to correspond to the end of the three year transition period.

### **2.2 Transition Audits (moving from ISO 9001:2008 to ISO 9001:2015)**

TTBS can begin conducting transition audits from 2016-Feb-01. These will be scheduled based on client readiness.

In addition to the normally scheduled ISO 9001:2008 surveillance and recertification audits, the transition to ISO 9001:2015 will require a separate one-off Transition Audit. All transition audits must be completed by 2018-May-15.

During this one-off audit, only the additional requirements listed in ISO 9001: 2015 would be assessed. This provides an advantage, in that if the organization were to be found noncompliant with ISO 9001: 2015 it could still maintain its certification to ISO 9001: 2008 up until the end of the transition period on 2018-Sep-14. This approach may minimize the risk to the certified organization in case they are unsuccessful in transitioning.

Now that ISO 9001: 2008 has been published, TTBS will be working to create a correlation matrix to identify the additional requirements that will need to be assessed in the Transition Audit. This will help us to determine the duration needed for the Transition Audits. You will be contacted in this regard in the near future.

## 2.3 Guidance for certified organizations

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. An impact analysis/gap assessment is strongly recommended in order to identify realistic resource and time implications.

Organizations using ISO 9001:2008 are recommended to take the following actions:

- i. Identify organizational gaps which need to be addressed to meet new requirements.
- ii. Develop an implementation plan.
- iii. Provide appropriate training and awareness for all parties that have an impact on the effectiveness of the organization.
- iv. Update the existing quality management system (QMS) to meet the revised requirements and provide verification of effectiveness.

## 2.4 Frequently Asked Questions

### 1 Why has the ISO 9001 standard been revised?

ISO standards are reviewed every five years and revised if needed. This helps ensure they remain useful tools for the marketplace. The challenges faced by business and organizations today are very different from a few decades ago and ISO 9001 has been updated to take this new environment into account. For example, increased globalization has changed the way we do business and organizations often operate more complex supply chains than they did in the past. In addition, there are increased expectations from customers and other interested parties and, with more access to information, today's wider society has a stronger voice than ever before. ISO 9001 needs to reflect these changes in order to remain relevant.

### 2 Is a Pre-Assessment Audit, conducted by TTBS, required before the Transition Audit?

No. Pre-Assessment Audits can be conducted if desired but are not mandatory. TTBS can begin conducting Pre-Assessment audits from 2016-Feb-01.

Organizations are reminded that audits are based on a sampling process and that while they are a useful tool in appraising the level of readiness for transition, a successful Pre-Assessment does not guarantee a successful Transition. Organizations are also reminded that TTBS cannot engage in consultancy services for our certified clients.

### 3 My audits are normally due in August, and the transition period ends in September. Why can't my company have its transition audit in August?

If any nonconformities are discovered during the audit, they must be addressed with corrective action, and TTBS must review and approve the audit package by the transition deadline.

An audit in August does not provide enough time for this to happen. Thus, your organization could transition in 2017 or chose to have an audit early in 2018 to allow adequate time for completion of the post-audit process.

Thus, all transition audits must be completed by 2018-05-15.

**4 My organization is not yet certified. We have been working towards ISO 9001:2008, Can we still seek certification and transition at a later date?**

We will allow certifications to the 2008 version of the standard until 2017-09-15. Keep in mind that ISO 9001:2008 certifications will not be valid after 2018-09-14 and that all certificates to ISO 9001:2008 will expire on that date. An organization will need to transition to the new version of the standard in order to maintain continued certification.

**5 What if we have a Recertification audit in early 2016, should we just plan on performing that audit to ISO 9001:2015?**

This will be a strategic decision that each company makes on its own. If you have had a chance to examine your quality system against the revised requirements and feel that you are ready, you can certainly request that a transition audit be performed, however this is not mandatory.

**6 Is transitioning earlier better?**

There is no difference if you transition in 2016, 2017 or 2018. An ISO 9001:2008 certificate is still valid until the end of the transition period. An ISO 9001:2015 certificate should not be perceived as better than an ISO 9001:2008 certificate until the obsolescence date of that standard.

Organizations are however advised that our capacity to schedule audits is based on limited resources. We would therefore advise our clients to schedule their Transition Audits as soon as you feel that you are ready instead of waiting until the end of the Transition Period.

**7 What happens if my organization doesn't transition on time?**

You will no longer be certified as of the end of the transition period. In order to become certified to ISO 9001:2015, you will need to start over with an Initial Certification Audit (Stage 1 and Stage 2).

If your organization has undertaken the audit but post audit activities (including assessments of corrective action and evaluation of the audit package for a decision on certification) are not completed prior to the end of the transition period, then an ISO

9001:2015 certificate will be issued as soon as the post audit activities are completed. This means that there will be a lapse in your certification status.

## **8 What is Annex SL?**

Annex SL is a portion of the “ISO/IEC Directives Part 1 – Consolidated ISO Supplement – Procedures Specific to ISO” document. This standard regulates and controls the process of developing, updating, and issuing ISO published standard. The full text of Directives Part 1, including the Annex SL text can be found here:

[http://www.iso.org/sites/directives/directives.html#toc\\_marker-76](http://www.iso.org/sites/directives/directives.html#toc_marker-76).

Annex SL can be thought of as a ten section blueprint to be used for all ISO standards. It promotes (among other things) common terms and core definitions for many of the terms used in the ISO family of standards. It is through the mandatory structure of Annex SL that organizations will be better enabled to achieve multiple certifications such as ISO 9001, ISO 14001, and OHSAS 18001, because each of these standards will have the same 10 sections and the same core terms and definitions.

## **9 Do we have to change our existing procedures?**

The level of change needed will depend on the maturity of the current management system and its associated documents. Existing procedures should be reviewed against the new requirements, it is anticipated that changes would be minimal and manageable. One major contributor to changes may be the issue of a strategic approach to managing risk.

## **10 What are we already doing that would be viewed favorably under the Risk Management requirement?**

- 5.6 Management Review (an assessment of your overall quality system leading to targeted improvement efforts),
- 7.2.2 Review of Requirements related to the Product (an assessment of customer expectations against your current capabilities with steps taken to resolve discrepancies),
- 8.5.3 Preventive Action (an assessment of potential problems with actions taken to avoid those issues in the first place), and
- 6.2.2 Training (an assessment of competency needs with steps taken to ensure that personnel are fully qualified and competent).



## **11 Will our staff have to complete transition training?**

Generally Yes - you will be expected to provide some form of awareness and transition training to your staff, especially internal auditors. TTBS would also expect that training be provided where applicable based on an assessment of the new standard's impact on the various processes and personnel.