International Organization for Standardization

International Accreditation Forum

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# *Accreditation Auditing Practices Group*
# *Guidance on:*

## Good Practices for AB's and CAB's in the Transition to ISO 9001:2015

Each CAB has to demonstrate the ability to deliver effective certification against the requirements of ISO 9001:2015 with the intent to improve the credibility of accredited certification.

This paper defines possible evidence to be obtained by the AB prior to accrediting the CAB to deliver certification to the new standard as well as expectations of the AB throughout the transition process.

The following items should be considered by the AB when transitioning a CAB:

- Where needed, amended internal procedures and documents of the CAB, which reflect the changed requirements of the standard;

- Demonstration of appropriate skills and knowledge, as identified by the CAB, based on the requirements of ISO 9001:2015, including evaluation of achieved competence.  Skills and knowledge should be tailored and delivered to all relevant functions of the CAB;

- Ability to audit the application of risk based thinking by the certified client.  Understanding of risk analysis techniques (SWOT, FMEA etc.) will be necessary where required by the industry;

- Ability to verify the identified risks and opportunities, as well as actions to mitigate risks;

- The style of reporting and the information submitted to decision making;

- Ensuring consistent application of a process based approach among its audit teams;

- Ability to analyze whether a management system reflects the "context of the organization";

- Ability to plan audits based on the "context of the organization", with more emphasis on stage 1 audit, during initial certification audits and recertification audits (when applicable), which is used to understand organisational context;

- Alignment of its audit programme to reflect the requirements of the new standard;

- Understanding by auditors of internal and external factors, as well as on the needs and expectations of related interested parties;

- Recognition of organisational boundaries;

- Time interval between stage 1 and stage 2 audits, during initial certification audits and recertification audits (when applicable).

When witnessed audits are completed to ISO 9001:2015, the following should be specifically considered:

- Evidence of a process approach being used, e.g. auditing starts from the system up to the standard;

- Instead of focussing on documentation, the focus should be on good techniques for interviewing and understanding the method of auditing an organization, without a documented system or with a limited documented system;

- The planning and organisation of the audit (these are essential).

- Risks are identified throughout the processes and in the "context of the organization";

- Selection of relevant interviewees to evaluate the requirements on "leadership";

- Understanding the implications of the new terminologies in the standard;

- The interaction between audit team members (this is vital).


In working with the IAF Informative Document 9, AB's may have differing transition approaches; however, AB's are expected to:

- consider the history of other transitions when developing its transition process;
- have competent resources for the new standard in order to fulfil its transition process;
- have the necessary resources to support CAB's when ready for transition without causing undue delay;
- consider the history of the CAB when transitioning a given CAB;
- cooperate with other AB's for a CAB's transition, when requested and appropriate.

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For further information on the Accreditation Auditing Practices Group, please refer to the paper: *Introduction to the Accreditation Auditing Practices Group*

Feedback from users will be used by the *Accreditation Auditing Practices Group* to determine whether additional guidance documents should be developed, or if these current ones should be revised.

Comments on the papers or presentations can be sent to the following email address: charles.corrie@bsigroup.com.

The other papers and presentations may be downloaded from the web site:

**www.iso.org/tc176/AccrediationAuditingPracticesGroup**

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