



# Update Webinar

ISO 9001:2015 & ISO 14001:2015

Thursday 21<sup>st</sup> July 2015  
11:00 BST

## Webinar team



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Good morning and welcome to this Batalas update webinar for ISO 9001 and ISO 14001. My name is Maria Jaeger and with me here today I have Anne Witter who will do the presentation for you. Her presentation will take around 25 minutes and should give you an overview of the changes in both standards. Following Anne's presentation, Richard Gravestock will answer any questions you have in the Q&A session at the end. We have allowed 15 minutes for this, but if there are many questions we will make sure everyone gets an answer via email.

## Disclaimer

The information given in this webinar represents the opinions of Batalas Ltd and are not endorsed by ISO or any other body.

The information is based on FDIS 9001 and FDIS 14001. Further changes are likely until the published version.

Any changes to existing management systems should be made with caution.

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## Your benefits



30 min  
presentation



15 min Q&A



Transcript



Slides



Recording

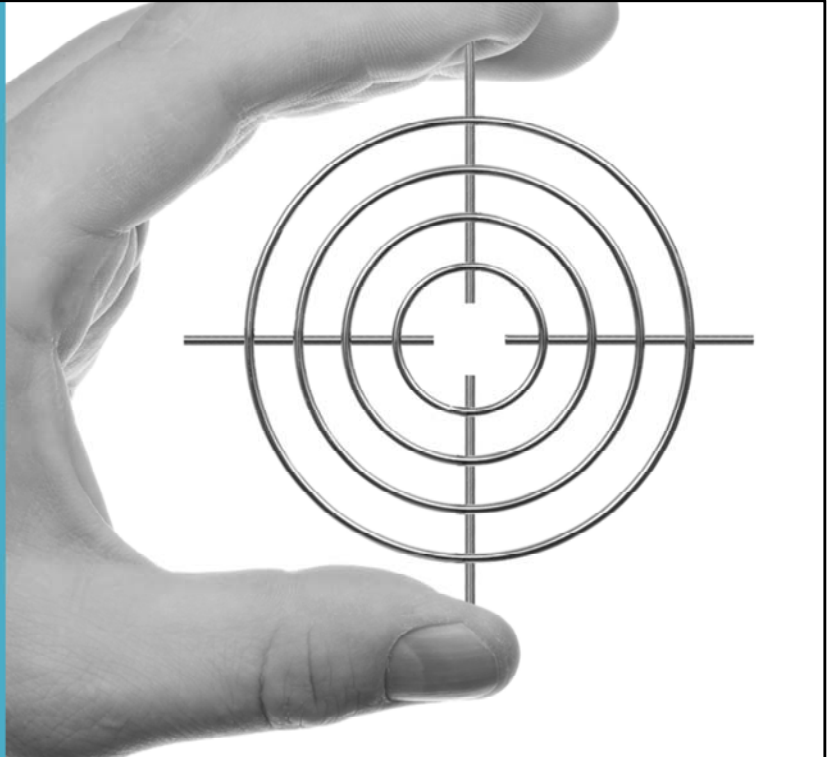
As well as a 30 minute presentation and the Q&A session, to make sure you get the most out of this webinar, we will provide you with a transcript of the narration and all the slides you see. We will also record this session so you can view it again at your own leisure. You'll receive all this via email after the webinar. So there is no need for you to take notes, just enjoy the presentation. We will keep your lines muted, but you can write in your questions to us throughout when they are still fresh in your mind. I will now hand you over to Anne.

## Purpose

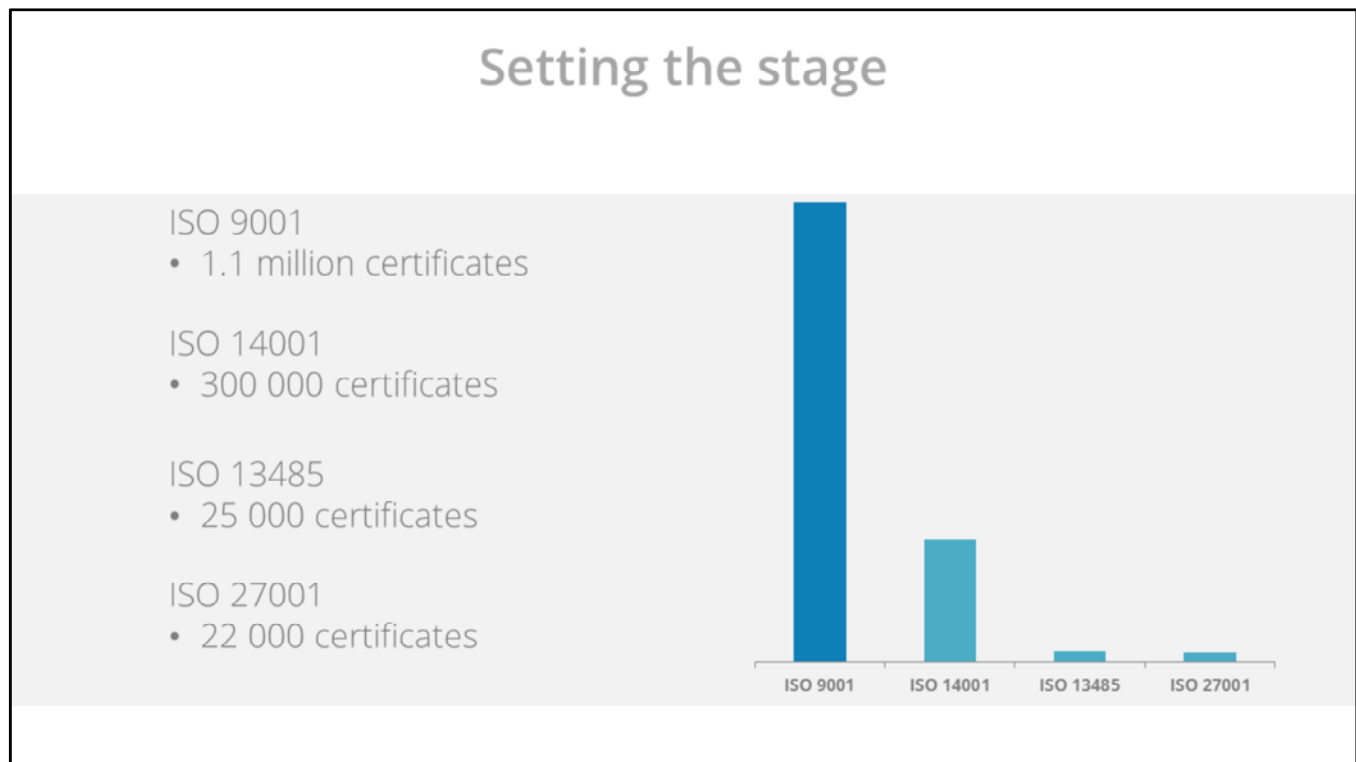
Reasons for change

Overview of FDIS

Implications



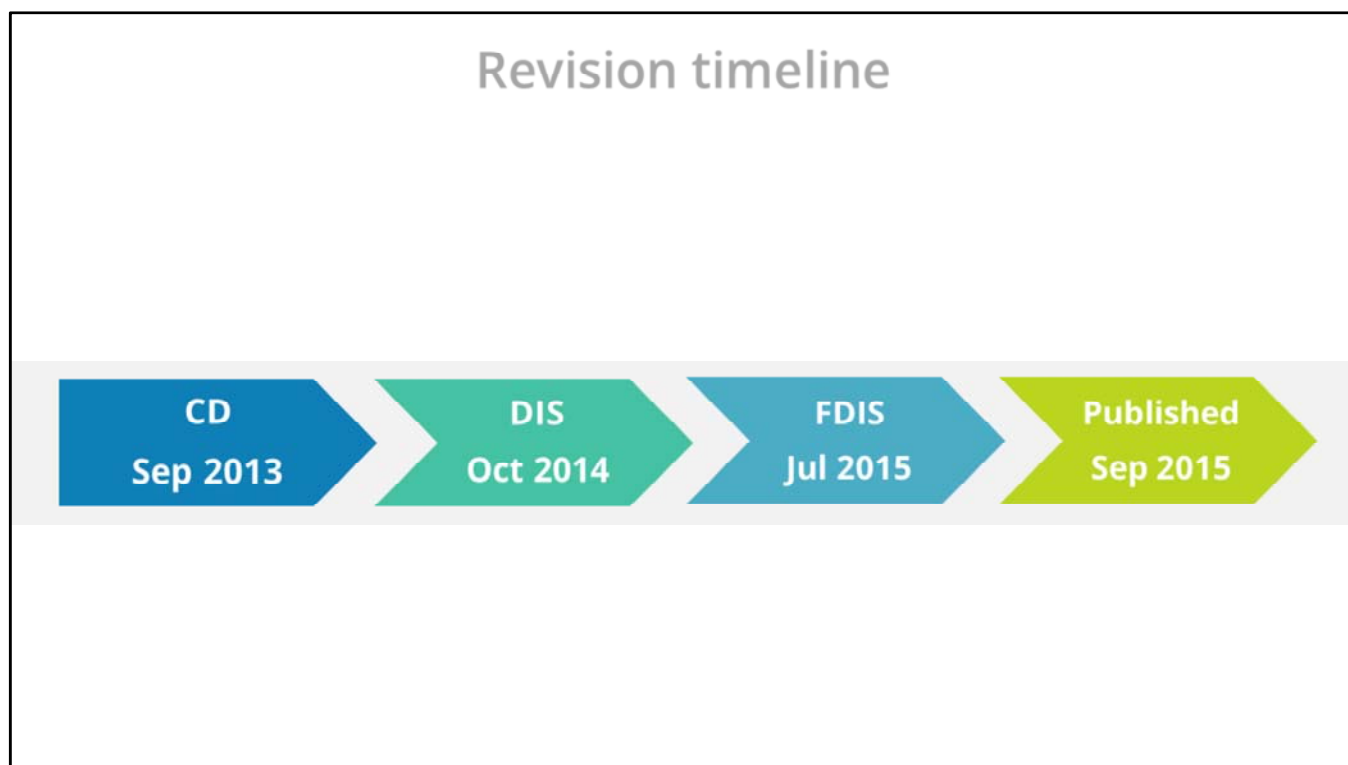
Thank you Maria and good morning and welcome. The purpose of today's webinar is three-fold. Firstly we'll have a look at the reasons why the standards are changing. Then I will provide you with an overview of the changes to ISO 9001 and ISO 14001, as we know them in the Final Draft International Standard, FDIS for short. And finally, I will give you an idea of the implications this will have for your organisation and for your auditors.



OK so let's begin by setting the stage for these 2 standards. ISO 9001 is the most adopted management system in the world and according to ISO; over 1.1 million certificates were held in 2013, while ISO 14001 had over 300 000 in the same year. In addition to this, consider the many organisations also working towards the standards without yet being certified. Let's compare these numbers to, let's say ISO 13485 Medical Devices and ISO 27001 Information Technology; would you be surprised to learn it's between 20 - 25 000 certificates? Let's not underestimate the impact of these 2 standards that we are dealing with today; any change made to these two standards will have a huge impact globally and we already know the proposed changes will be significant. This is arguably the biggest change in managements systems since the turn of the millennium.

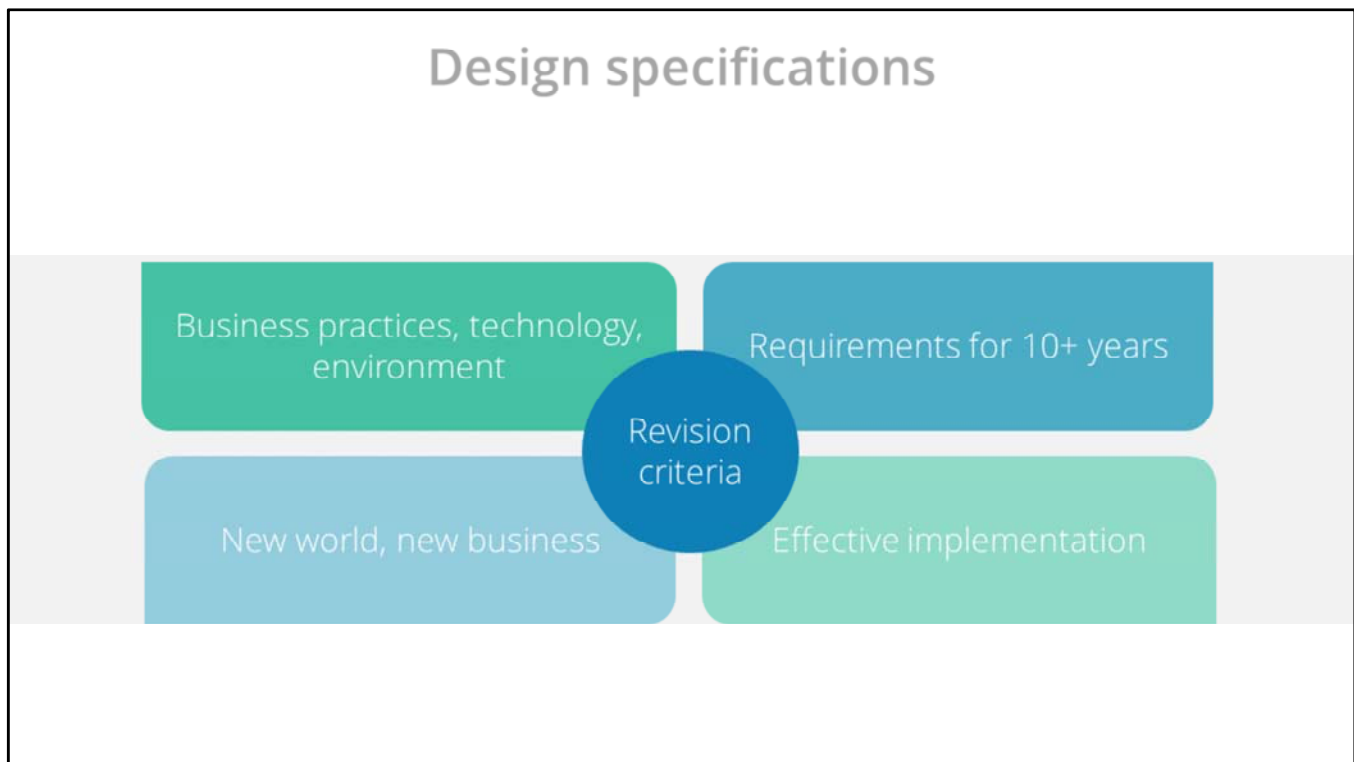


So why are the two standards changing? The first reason is simple; to make sure the standards fit the world they are meant to function in! So as the world evolves; the standards must follow. The second reason is the increase in management system standards available to us today. These new management system standards have been developed specifically to the sector they provide for and we are now finding many companies are certified to more than one ISO. So in order to allow these different management systems standards to talk the same language, they needed a common structure.... This will be the big thing happening in both ISO 9001 and 14001.

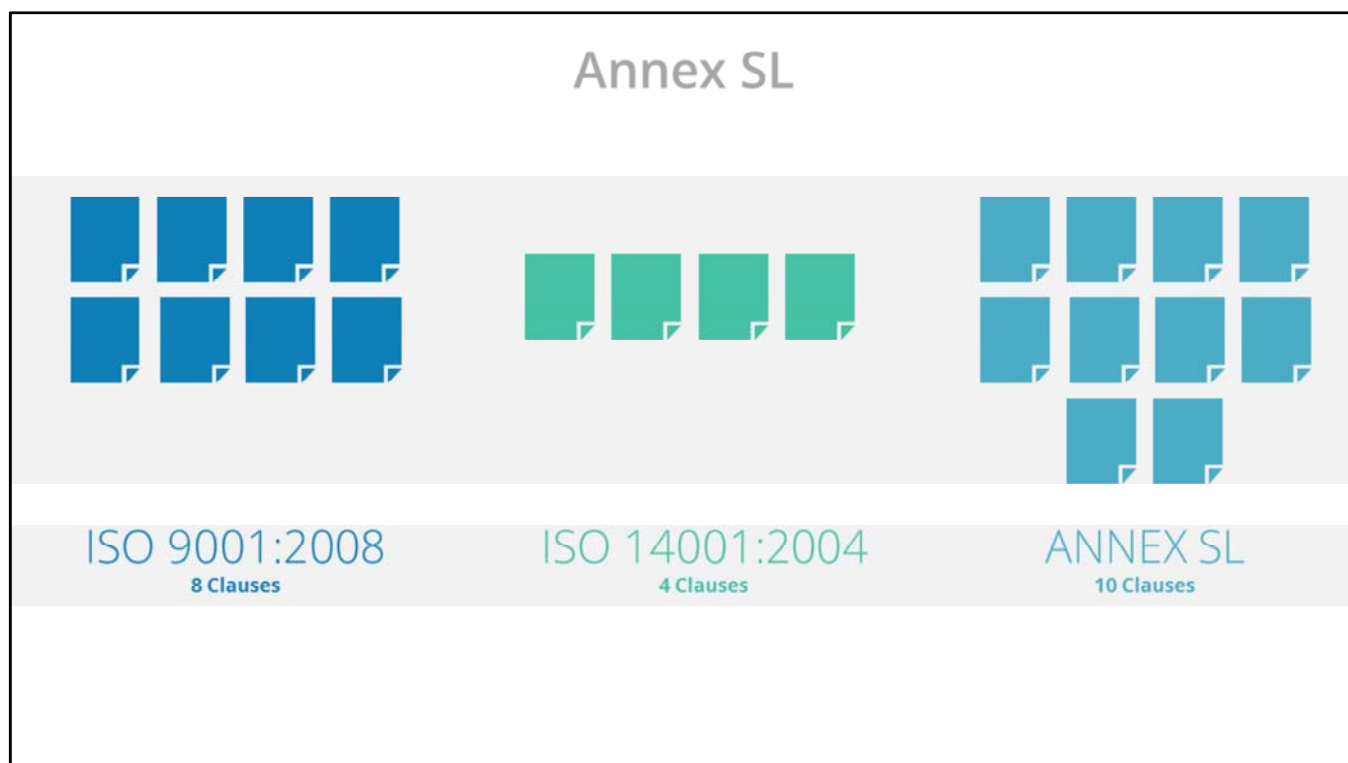


Ok so how long will this take? Well; reviewing a standard takes time due to the way standards are drafted. In each stage of the process the draft must go out to ISO members for comments and to be voted for. This means everyone is involved in the development, and only when there is a consensus, will the standard be published. Currently, we are at the Final Draft Stage and we're expecting the published versions in September.

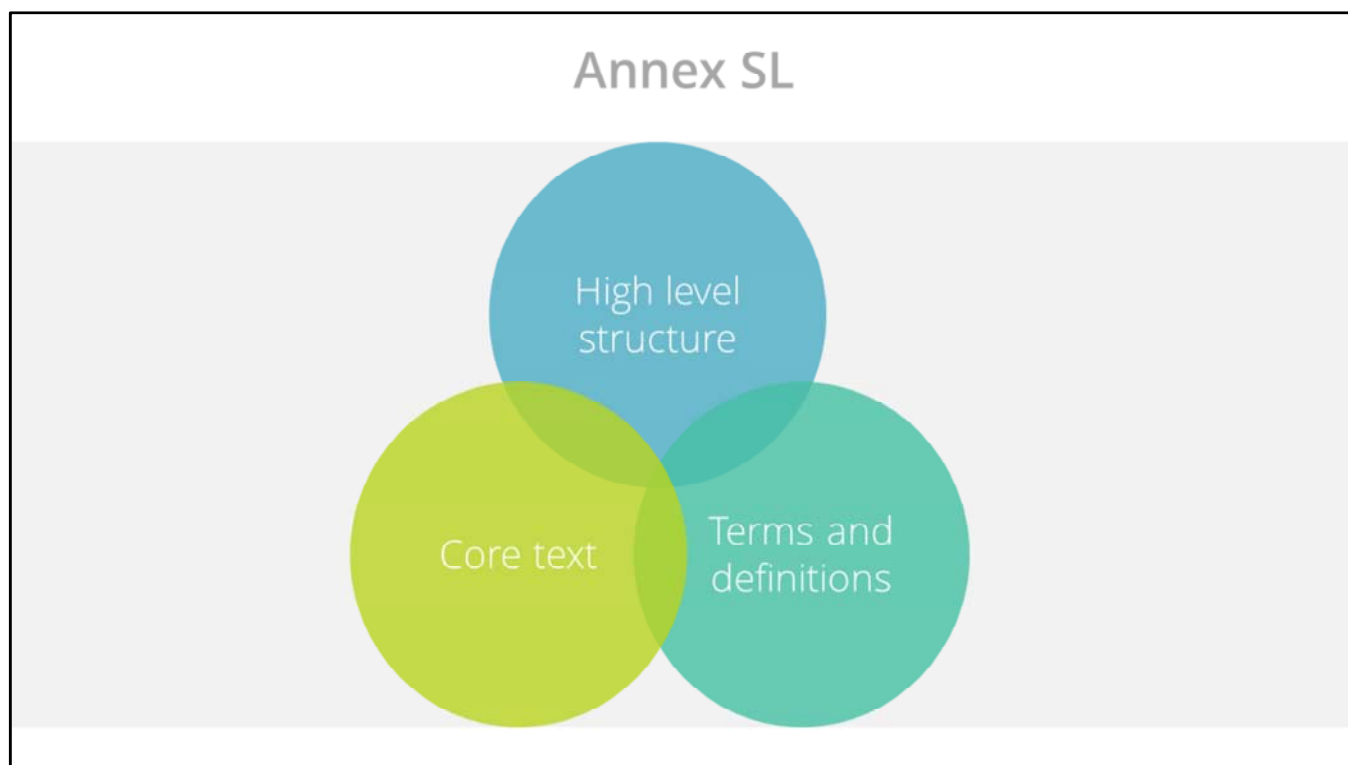




As we move on we'll be looking at what the major changes to ISO 9001 and 14001 are. For those who may have missed it please don't worry about taking lots of notes, all the materials will be sent to you after this presentation? Ok, when it was decided that we needed a new version of ISO 9001 and ISO 14001 there were some design specification or criteria that had to be fulfilled. One of the major points was that the revision had to cater for changes in business practises, technology and environmentally since the last revision. As I have already mentioned - The world changes, business change... The other is to provide a core set of requirements that will last for the next 10 years, therefore its essential that the new standard will be fitting for a number of years to come. Let's not forget those with more than one standard; there will be a need to facilitate a more effective implementation.



The biggest change is that there is now one high level structure for all new management system standards. Previously ISO 9001 had eight clauses and ISO 14001 had four. Now both will have ten clauses. Some of the old clauses have kept their content, but just simply changed titles. We also have a couple of new clauses along with some changes to existing ones. But first, let's have a look at the new structure: Annex SL. According to IRCA, it is "the most significant innovation in management system standards since the introduction of ISO 9001 itself".



There are 3 main points in Annex SL: Firstly the high level structure will be adopted for all management system standards. So now all management systems standards will have the same clause names and numbering, independent of which sector standard it is for. Secondly the core text will be identical, and thirdly there will be common terms and definitions across all standards.

## Annex SL

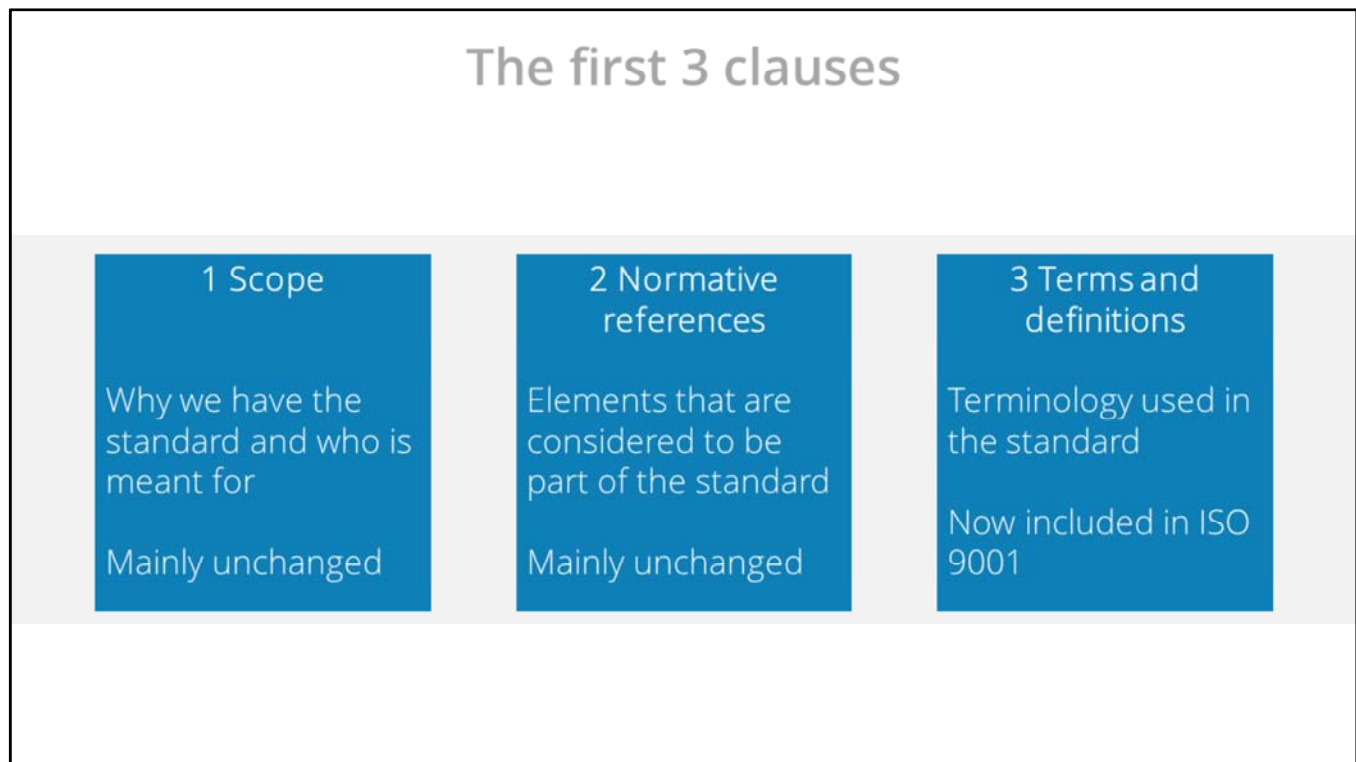
Improve consistency

Speak the same language

Same requirements



The purpose of having one structure is to improve the consistency between them, and to make it easier to run a system where you are used to more than one standard. Common terms and definitions allow them to speak the same language, the identical core text contains the same requirements for all standards. Also the sector specific definitions and text will be added, but nothing can be removed.



Ok, so we're now going to move into the changes clause by clause. Due to the time we have available today, this will only be an overview, for more details please come along to one of our training sessions.

The first three clauses have kept their names and number one is Scope. Scope gives us the reasons we have this standard and it is unchanged from the previous versions. ISO 9001 will still refer to ISO 9000, it is being updated as we speak and will be published this year.

In the 2008 version of ISO 9001 you will find that in Terms and Definitions there is a reference to ISO 9000. This will remain the same. In ISO 14001 the terms and definitions is included in the standard itself.

## 4 Context of the organisation

**organization** [ɔːrgənəzɪʃən]  
person or group that has its own  
functions with responsibilities,  
authorities and relationships to  
achieve its objectives

This is a new clause for both standards. The definition of an organisation is: “Person or group that has its own functions with responsibilities, authorities and relationships to achieve its objectives.” This is a wide definition and it includes anyone from sole traders to big global companies, whether they are profit or non-profit.



The clause establish the context of the management system for the organisation. The organisation must determine internal issues that could impact on the outcomes of its Management System. This could, for instance, be the skills of your workforce. But the organisation must also go beyond that and look at external issues, like customers changing needs, regulatory demand. These issues can have a great impact on the business and its outcomes.

## 4 Context of the organisation

### **relevant interested parties**

[rɛləvənt ɪntərəstəd partiz]

person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity

The relevant interested parties are to be included in the context of the organisation. The definition of a relevant interested party is: “person or organisation that can affect, be affected by, or perceive themselves to be affected by a decision or activity.” This definition could include anyone.



## 4 Context of the organisation

Parties

Interested

Relevant

Requirements

People  
Organizations

But let's take a closer look at what is meant. Let start with all parties. This is anyone and everyone. We then narrow that down to only those categorised as an interested party. They are the ones interested in your management system. Further you can narrow this group down by adding the relevant into the mix. And lastly you take the relevant interested parties and see who has requirements that affect your management system. We are now left with the people and organisations you need to include in your management system. And it is you who determine who these parties are. It could mean owners, shareholders, suppliers and society, but it is up to you to decide! Then it is your job to monitor and review this information.

## 4 Context of the organisation



Another big change is the process approach. While it was promoted in the previous version of the standards, it has now been made mandatory. You have to use it, it's simple as that!

## 4 Context of the organisation



Also your documentation requirements are changing. We no longer have to keep as much documentation as before.

## 4 Context of the organisation

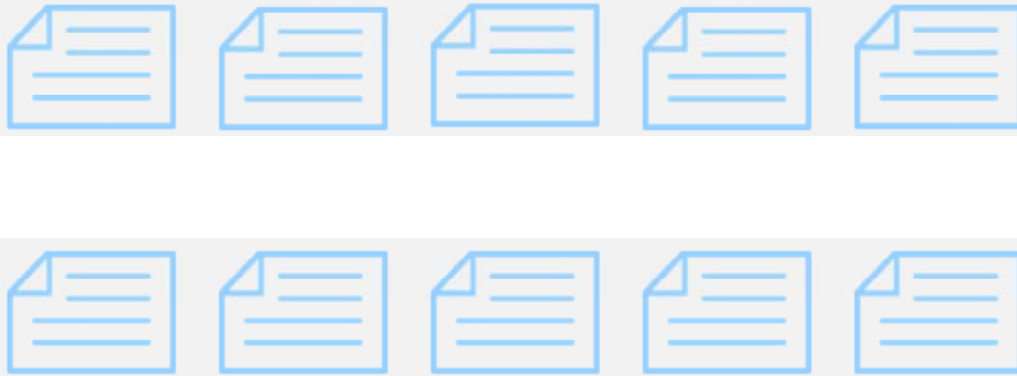
### **documented information**

[dɒkjəməntəd ɪnfərməʃən]

information required to be controlled and maintained by an organization and the medium on which it is contained

The definition of documented information is: “Information required to be controlled and maintained by an organization and the medium on which it is contained.”

## 4 Context of the organisation



The new standards state that you no longer need a policy manual, nor do you have mandatory procedures or records to keep. Organizations now have greater freedom to determine their own documentation needs. If your organization wants to continue using a policy manual, that's ok, it's up to you. The requirement for evidence controls has not been removed. But the extent and format of the documented information is a decision for the organisation itself. Please be aware that some auditors will find the absence of a policy manual and written procedures a real challenge. They will face in future be confronted by different types of evidence gathering in different formats. Finding your way through an organization's management system could be much more thought-provoking.

## 5 Leadership



This is one of the really big switches in the new standard. We no longer refer to management, but to leadership. So what is the difference? Well, a manager and a leader will be different in the way they motivate people. Whilst managers have subordinates, leaders will have followers. Managers are authoritarian, results driven and task focused, whereas leaders are those that give direction, guidance and vision... Think of it as you manage things, but you lead people.

## 5 Leadership

### top management

[tɒp mænədʒmənt]

person or group of people who directs and controls an organization at the highest level

So how does this affect a management system? Clause 5 will place requirements on top management. So, what do we mean by Top Management? The definition is: “person or group of people who directs and controls an organization at the highest level”. This is where your scope comes into play. If your scope covers the whole organisation then ‘top management’ is the CEO and the board, not the quality and environmental manager or the management representative. If your scope covers an individual office or location within a group, then top management will be the Directors or Managers of that office or location.



So what are the implications with this switch? For starters the audit programme will include audits of the CEO or the Director. For the implementers it means they will need to assist top management in providing objective evidence of conformity and creating or updating communication channels and methods in order to allow top management to carry out their new requirements. The quality or environmental manager will need to make top management aware of their responsibilities, there are requirements they no longer can delegate. Finally auditors will have to audit someone on the highest level in their organization.



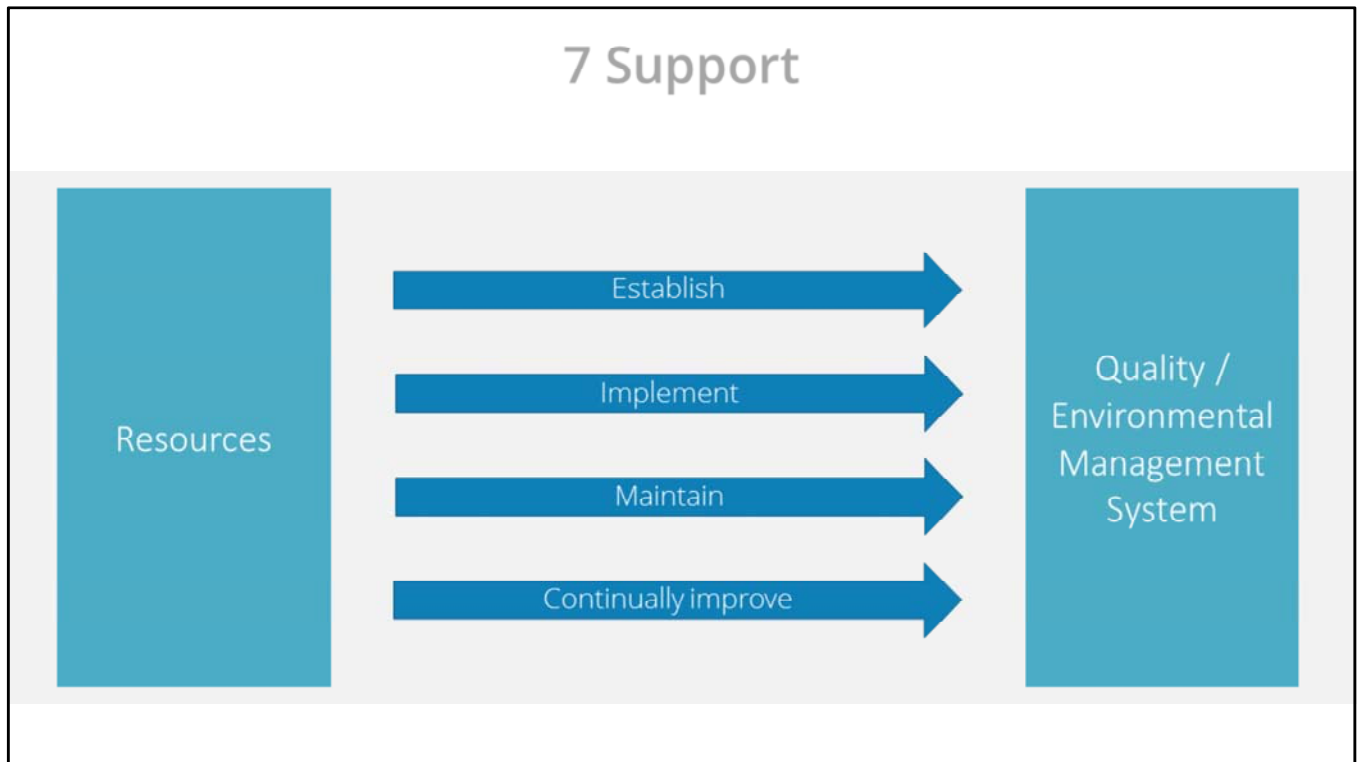


So let me give you a few examples of the new requirements for top management. Top Management will need to promote the process approach and take accountability for the management system. It will be Top Management's job to address the risks and opportunities that can affect it. They will need to make the system policy available to all the relevant interested parties. And as we noted above, there could be a lot more parties involved in the future. For some in top management this will be what they already do. They may already be playing a significant and active role and for them this will be straightforward. But for those of you who have delegated all the management system work to their management representative it will be a challenge in time to adapt to the new requirements. Please note there is no longer a requirement for a Management Rep. But if you want one, you can have one.

## 6 Planning



Firstly we no longer talk about preventive action. The focus in clause 6 is on the planning process where risks and opportunities are addressed. I guess many will assume risk is something negative, but in this context it is something positive as well. Most organisations will already be used to determining the negative risks that they face, but determining the opportunities might be new. When risks and opportunities have been determined, the organization must make plans for what actions they need to take in order to address them. The actions need to be proportionate to the potential impacts that the risks and opportunities could have.

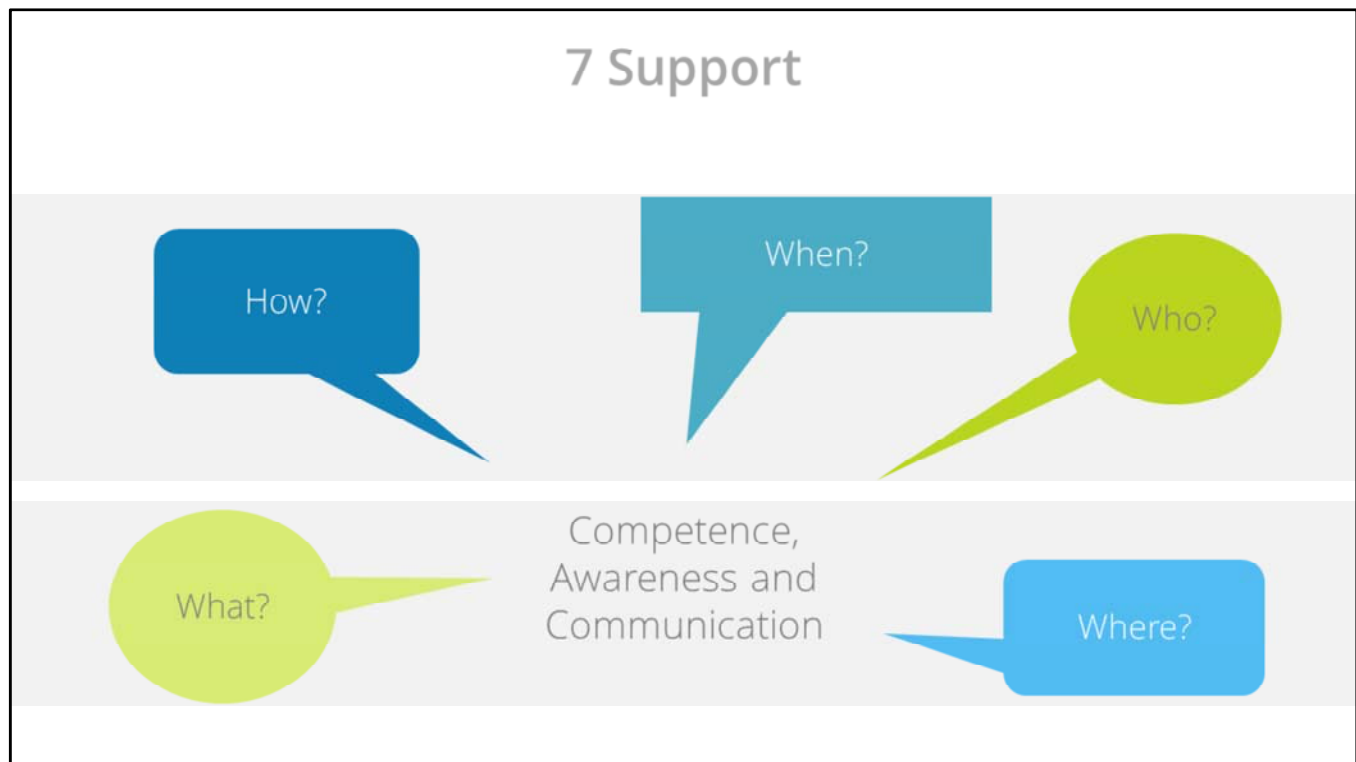


In short clause 7 requirements state that the organization shall determine and provide resources to establish, implement, maintain and continually improve the management system.

## 7 Support



There is also a sub clause which if focusing on people. The clause on work environment has been broadened to include social and psychological factors. How people feel at work is now just as important as the lighting and air quality they work in.



There are also requirements for competence, awareness and communication. Communication covers internal and external communications. Let's put these into steps to make it easier. We must first determine which management system related matters should be communicated. Step 2: what would be their method of delivery? Step 3: consider the timelines that it will be needed for and finally the target audience can now be specified? This may sound difficult, but the Who, What, Where, When and How, are the key questions to get this right.

## 7 Support



The last part is about documented information. The documented information needs to be protected from loss of confidentiality and improper use. You can see the relevance of this with electronic data being the norm in many businesses now. And I'm sure you'll agree an interesting and much needed change.



It is primarily clause 8 that distinguishes one Annex SL based management system from another. Here you'll find the discipline specific requirements. For ISO 14001 this relates to emergency preparedness and response. The organisation must give serious consideration into the actual and potential environmental impacts that it could have; and how these can be controlled. For ISO 9001 it's about meeting customer requirements and the design of the products and services. In the 2008 version of 9001 you could make exclusions from clause 7 Product realization if the requirements didn't fit. Now there are no such exclusions permitted.

## 8 Operations

**Hotel search**

Destination, hotel, landmark or address

**Check in**      **Check out**

19/07/2015      20/07/2015

Sunday      Monday      **1** Night

**Rooms**

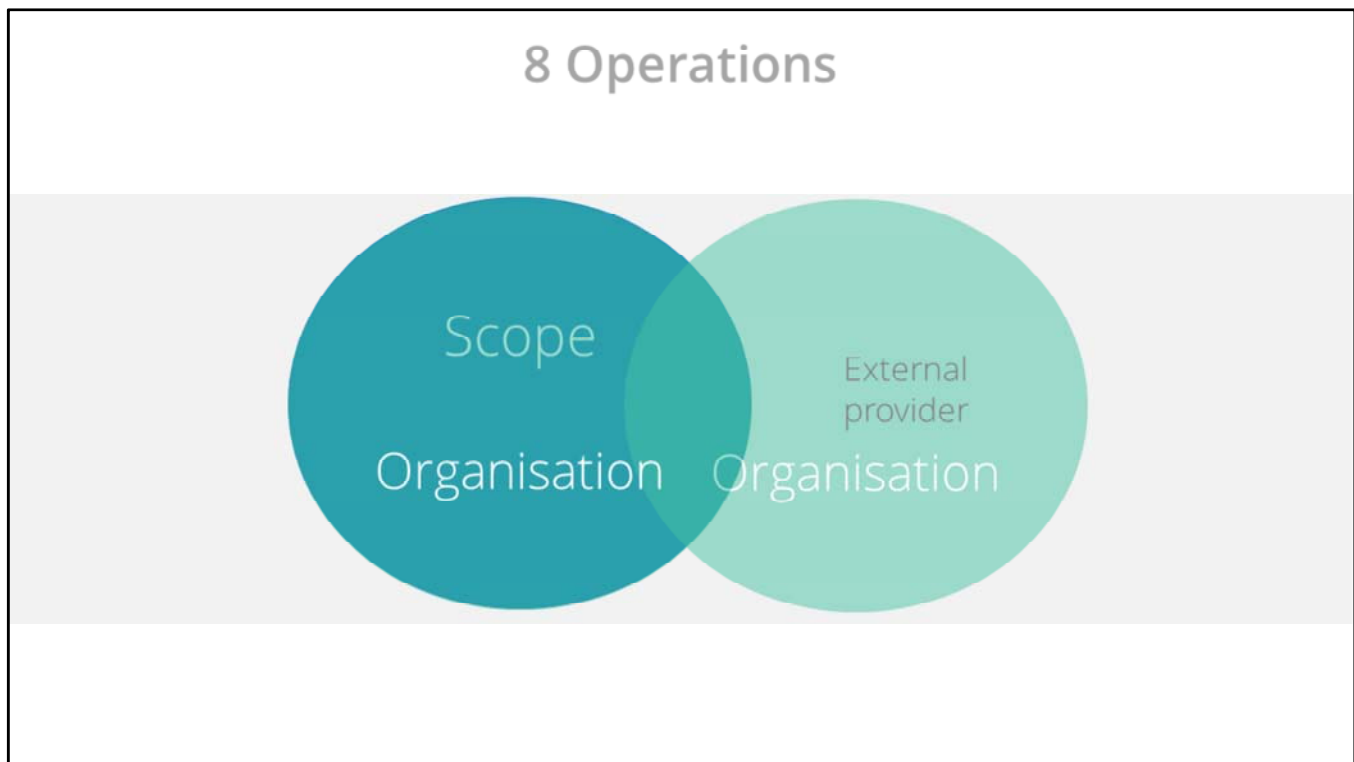
1 room, 2 adults

**Search**



Also worth noting for ISO 9001 is that it puts communications before determination of customer requirements, this is how we arrange for a product or a service today. Let's take booking a hotel for an example. You will look up online what you want and the relevant rooms available will show. It's unlikely that you would call a hotel and tell them what you want, you choose from what they already have communicated to you on the website and what they have to offer.





Purchasing has been replaced by externally provided products and services. By this they mean providers external to the scope of the management system. So if your scope encompasses the whole organization, then external is someone from outside the organization. If the scope is only for your part of a larger business, then external could be from the business but outside the scope of the management system. So we no longer talk about suppliers but externally provided products and services.

## 9 Performance evaluation

4.5 'Checking'

8. 'Monitoring, evaluation  
and improvement'

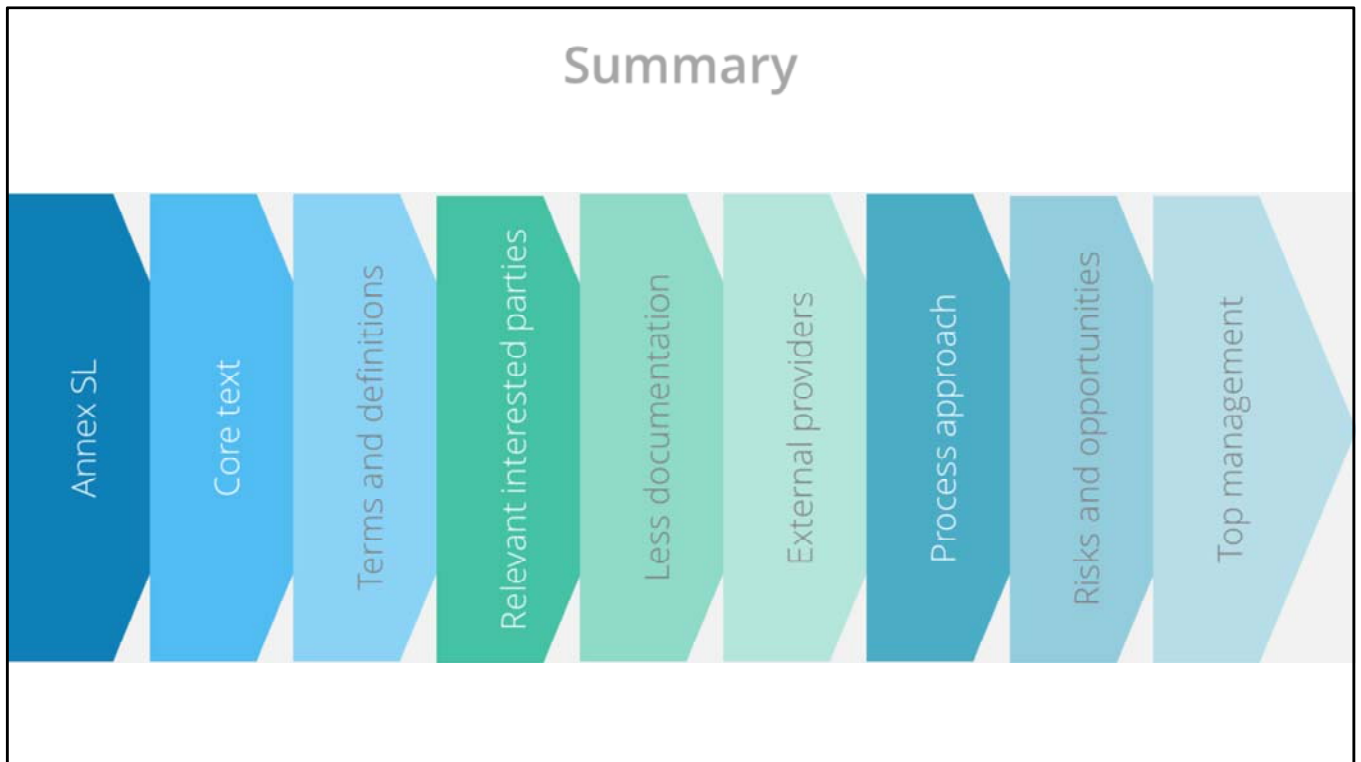
This is clause 4.5 'Checking' in ISO 14001 and 8. 'Monitoring, evaluation and improvement' in ISO 9001. And the content is much the same as previously. The organization must decide what needs to be monitored and measured, what methods to use and how often this is done. There are no requirements for an internal audit procedure any more, but they still have to be conducted at planned intervals.

## 10 Improvement

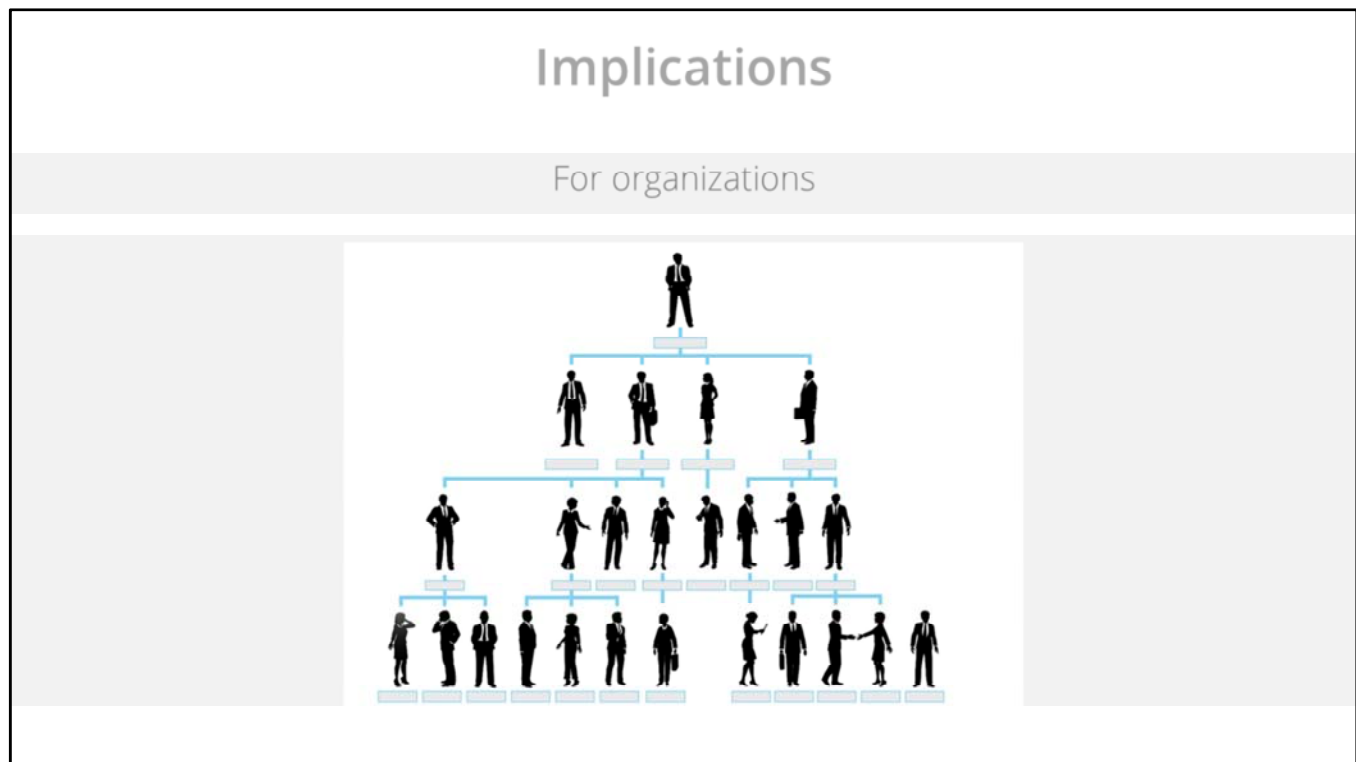
- ~~Preventive action~~
- Corrective action
- Control non conformity
- Consequences
- Similar non conformity
- Corrective action across organization



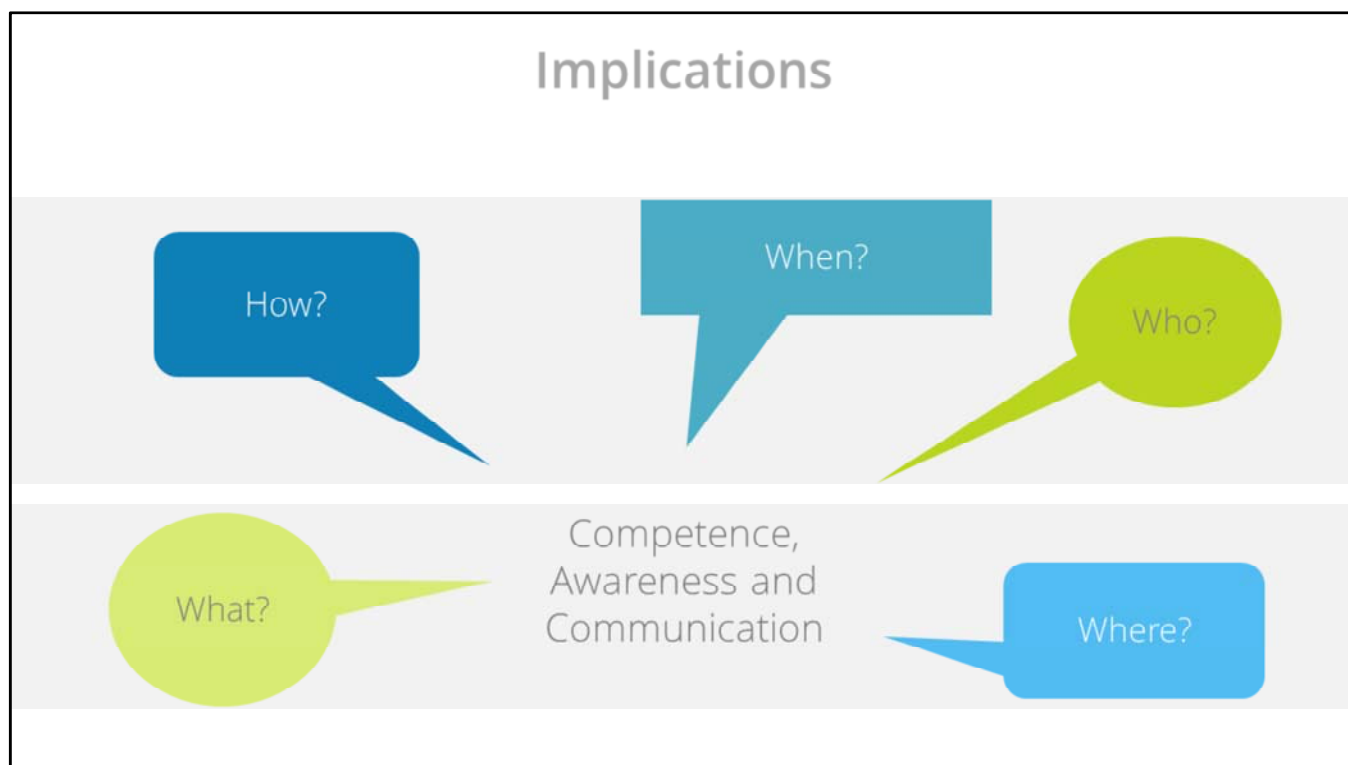
Although Improvement has been present in both standards previously, there is now a change in the content. All references to preventive action have been removed. That's right, as I talked about earlier it has been superseded by risk or, risk based thinking. But there are some new detailed corrective action requirements worth taking a look at. The organization has to react to and take action to control the nonconformity and deal with the consequences of it. Following that they need to determine whether similar nonconformities exist or could occur. This could lead to corrective action across the organization. So improvement doesn't always take place on a continual basis. Sometimes it occurs as a result of corrective action. Other times it happens through innovation or as a result of re-organisation.



Well... I think you'll agree that was quite a lot of information. I hope you are all still with me and please keep those questions coming in. Ok so let me summarize the changes for you. Annex SL has been adopted as the high level structure. We now have a common core text and common terms and definitions for all management system standards. Further you need to consider relevant interested parties. And you don't have to have all the documentation requirements you used to have. You must find out who your external providers are and you have to adopt the process approach. You need to determine the risk and opportunities to your management system and top management will be directly involved and audited.



So let's have a look at the implications for you and your organisation. You need define not only the organisational context, but also define relevant interested parties and their requirements. It should now be easier for you to integrate more than one management system. It's also essential you review application to products, services, compliance and environmental impacts. And let's not forget current exclusions I mentioned earlier that need to be re-considered. You will need to evaluate not only your current process controls but also the associated risks. You will need to ensure that you have adopted the process approach which is now mandatory. You must also consider external providers beyond just suppliers and you need to review the scope of current preventive actions. Consider the challenge facing you in the reduction of Management Systems documentation, how will you identify the needs?

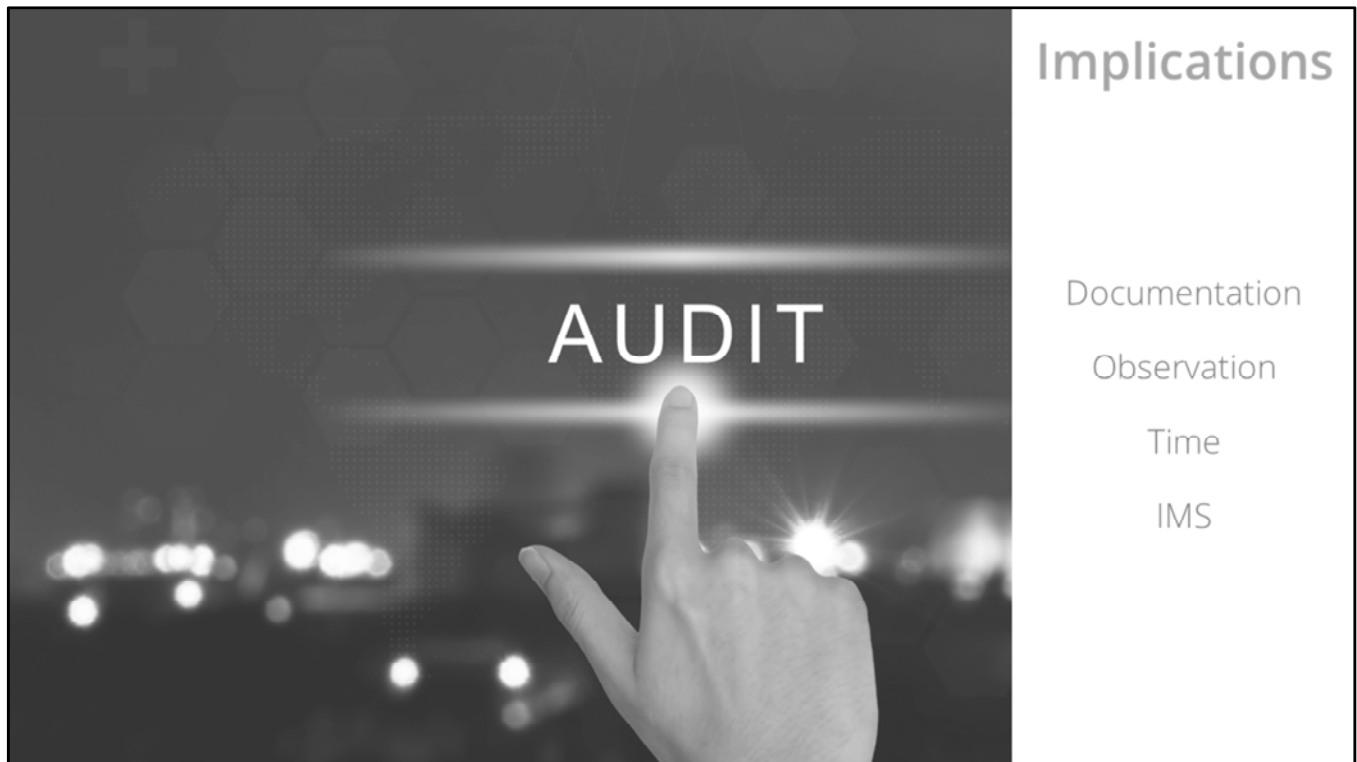


So, training and awareness of staff – remember the Who, What, Where, When and How I talked about earlier. Who will require training and what type of training do they need? Where and when will training take place, and how will you approach this.

## Implications



And I'm guessing the elephant in the room is how you are going to get Top management involved.



Ok auditors, let's look at the implication for you. Less MS documentation which means it will be more demanding for you to understand the MS. The document reviews are more important but less effective, due to the changes and more 'observations' are likely. You will need to allow more time not only to prepare, but also to conduct audits. You will gain a much wider understanding of organisational context and issues. To date you may have only audited against one standard but now there is a high probability of encountering integrated systems. Start communicating your needs for the re-training, many will want to be among the first, so make a commitment now by scheduling your training.



## Transition

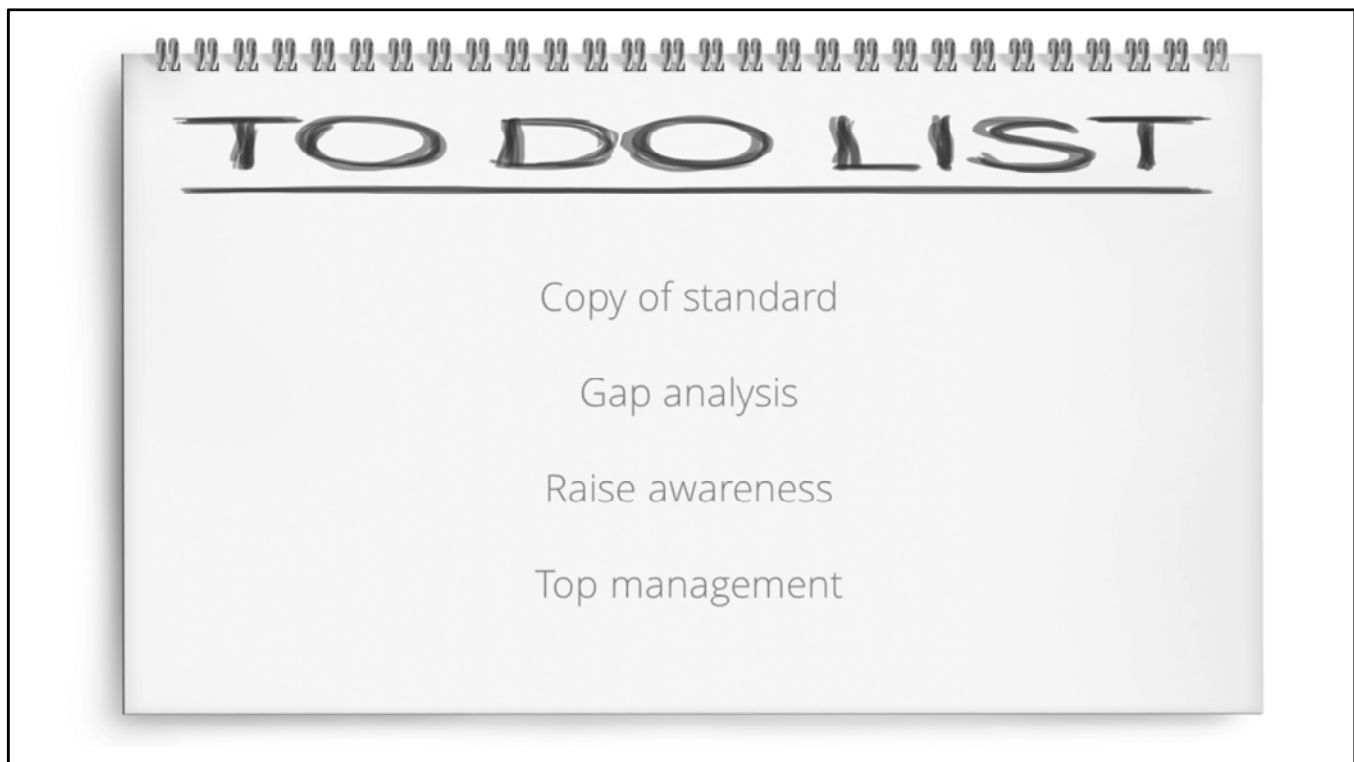
Publish September 2015

BUT

3 years transition window




So, what do you need to do next? Well I know being left with all these changes can be quite daunting, the great thing is that you have already taken the first step by joining our webinar today. So well done! Let's be clear about one thing: Although the new standard will be published in September, it does not mean you have to start using it then. The 9001:2008 and 14001:2004 versions will still be up and running for another 3 years. So you and your organisation will have 3 years to make the transition.



But let me make a few suggestions on what you can do now:

Firstly, get your copy of the new standard when it is out. Why not do a gap analysis for your management system. And start raising the awareness of these changes in your organisation. And why not speak to top management, let them know about the vast changes, along with their involvement and responsibilities within the new standard. And be there for Top Management. Help prepare them for the time and effort it is going to take to complete the transition.

## Training needed




Awareness  
training

[www.batalas.co.uk](http://www.batalas.co.uk)

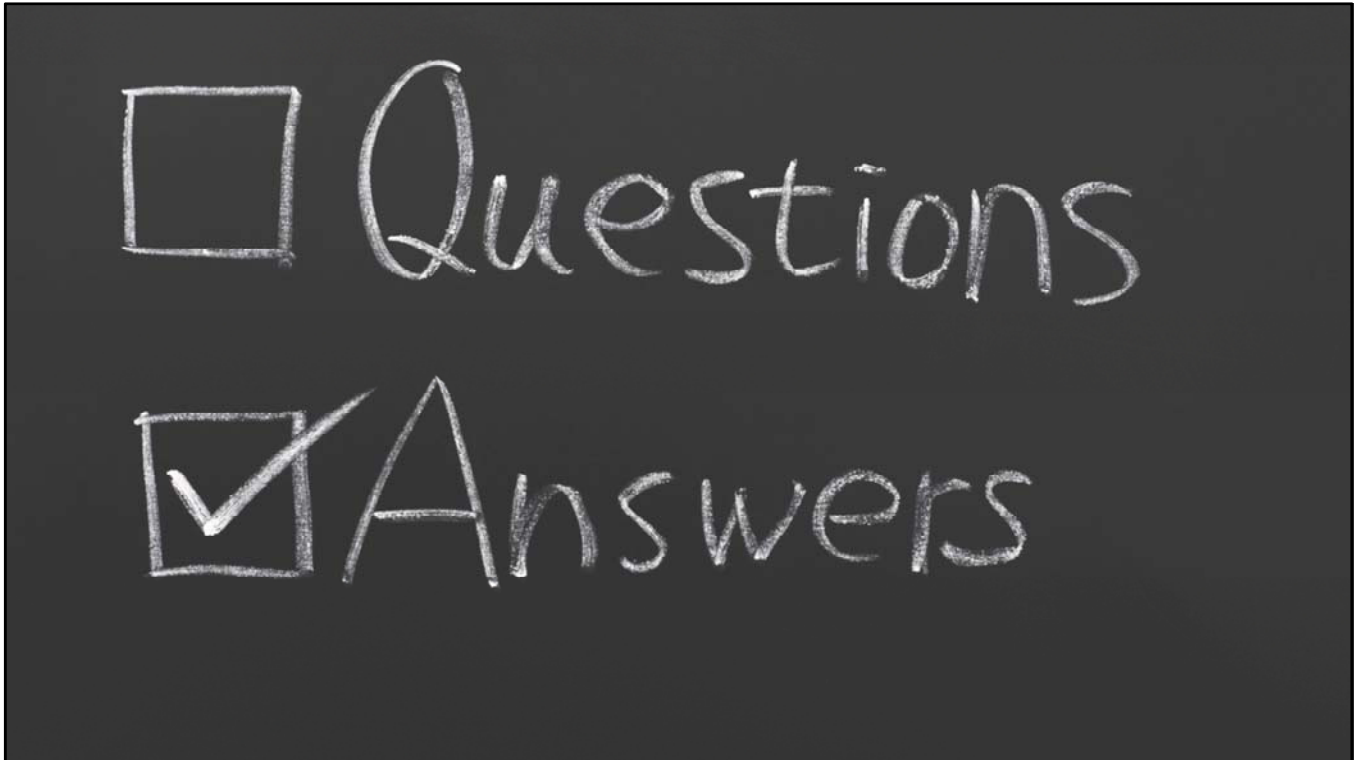
newsletter

social media



Transition  
training

And just remember you are not alone, let's look at training briefly. You will need to consider is awareness training for leaders and all staff. And let's not forget our lovely auditors and implementers, they will need transition training. Let's not be under any illusion! The new ISO standards will involve a lot of hard work and effort in order to bring your own Management System up to the new standard. You need to be talking to your management team on how to secure the budget for all of these changes; both financially and in terms of time. If you would like to schedule a call to discuss your training needs please give us a quick call or drop me an email, my details will follow and I will be happy to get that arranged for you. Further information about transition training courses can be found on our website, we will also keep you up to date with information in newsletter and on our social media channels. Just before I hand back to Maria and the team, for those who are health and safety 18001 certified: Sometime next year there will be a brand new ISO 45001. Ok that's it from me, I hope you enjoyed today's presentation, once again thank you for joining me today, it was great to see such a great response, and back over to my colleagues for your questions.



Many thanks Anne that was a great presentation of the changes in 9001 and 14001. We have received a lot of questions. And with me is one of our technical expert, Richard Gravestock, who will answer the once we have time for on air today. We will make sure everyone gets their question answered via email following this session. And it's over to you Richard.



# Thank you

Any questions or comments?



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