
1. Introduction


1.2 Resolution 2014-12 was passed by the IAF General Assembly in Vancouver on 15 October 2014 endorsing a 2 year transition period for the implementation of ISO/IEC 17021-1:2015. This means that all Management Systems Certification Bodies will need to have successfully transferred to the new standard within 2 years from the publication date, i.e. 14th June 2017.

1.3 This document describes the transitional requirements concerning the assessments against the ISO/IEC 17021-1:2015. It details how accreditation will be done in line with the new standard and the transition of the already accredited Management Systems Certification Bodies to this new standard. These will result in the need for Certification Bodies (CBs) to implement changes within their management systems and processes in order to maintain KENAS accreditation in the future.

1.4 KENAS will be ready to carry out assessments as per ISO/IEC 17021-1:2015 by 31st December 2015.
2. **General Requirements**

KENAS assessments against the new standard will be performed as much from 1st January 2016 within the planned Surveillance Assessment. KENAS has provided the transitional provisions for the implementation of ISO/IEC 17021-1:2015 as follows:

2.1 **New applications for accreditation:**

2.1.1 All new applicants received from 1st January 2016 shall be against the new standard ISO/IEC 17021-1:2015

2.1.2 KENAS does not have any pending applicants to date.

2.2 **Existing accreditations:**

For the existing accreditation KENAS shall apply the following transitional provision for the effective implementation of ISO/IEC 17021-1:2015:

2.2.1 Transitional assessments shall consist of at least an evaluation of the Certification Body's (CB) documented system in line with the new ISO/IEC 17021-1:2015.

2.2.2 These transitional assessments will be performed as far as possible within the planned Surveillance Assessments in order to avoid extra costs for the CB.

2.2.3 Any extension to scope after 1st January 2016 shall be applied against the new standard ISO/IEC 17021-1:2015

2.2.4 All surveillance and Reaccreditation Assessment scheduled to take place after 1st January 2016 shall be against the new standard ISO/IEC 17021-1:2015 in addition to normal surveillance using the old standard ISO/IEC 17021:2011.

3. **Preparation time**

3.1 All accredited and applicant CBs shall provide KENAS with revised management system documentation addressing all new requirements of ISO/IEC Standard 17021-1:2015 and Cross reference matrix of internal documents against the Normative standard, prior to their next assessment.

3.2 All accredited certification bodies shall submit their transition action plan to KENAS by no later than 31st January 2016. The action plan must demonstrate how the CB has
analysed the new standard and its implications to their management system and operations. The action plan shall also indicate how the CB will effectively implement all the changes needed to comply before the transition date.

3.3 As a minimum the plan should include:
   i) All specific actions to be taken to implement the changes;
   ii) The timelines for completion of actions;
   iii) The persons responsible for the actions;
   iv) Ways to measure progress, implementation, effectiveness and completion of the actions.

3.4 All records and documented changes in line with the new standard will be assessed during the scheduled surveillance visits and records shall demonstrate the following as a minimum:
   i) The internal audit and management review findings are aimed at ensuring effective implementation of ISO/IEC 17021-1:2015;
   ii) The actions in the CB’s established transition plan are adhered to and monitored to ensure timely transition;
   iii) The necessary changes made to documentation are implemented; and
   iv) All changes are implemented in all fixed-office locations/branches, where applicable.

4 Implementation

4.1 After 15th June, 2017, all management system documentation must demonstrate compliance with the new 2015 standard in order to maintain KENAS accreditation.

4.2 By 15th June, 2017 the CBs that have not demonstrated full compliance with ISO/IEC Standard 17021-1:2015 their accreditation will be suspended

4.3 By 15th June, 2017 all current KENAS accreditation certificates based on ISO/IEC Standard 17021: 2011 will be deemed to have expired

4.4 CBs demonstrating full compliance with the requirements of ISO/IEC Standard 17021-1:2015 will be issued a certificate listing accreditation to the new standard.
4.5 As for the ISO 9001:2015 and ISO 14001:2015 transitions, KENAS intends to conduct transitional assessments at the same time of the CB’s annual surveillance or re-assessment visit. It is therefore important to incorporate transition arrangements for these standards in the transition action plan as required above.

5.0 Visit by KENAS

5.1 Witnessing activities will form part of the transition process and these will take place within the planned assessment. Auditors witnessed will be expected to demonstrate the necessary changes made to the CB’s management system and processes. As for the ISO 9001:2015 and ISO 14001:2015 transitions, witnessing activities will confirm whether CB’s clients are implementing the requirements of these new standards.

5.2 Once the CB has demonstrated successful transition and effective implementation of ISO 9001:2015 and ISO 14001:2015 and the decision by KENAS Accreditation Committee is for the surveillance and reaccreditation, the Schedule of Accreditation will be adapted to reflect authorization to certify to ISO 9001:2015 and ISO 14001:2015.

6.0 Non Conformities

6.1 All Findings (CARs and comments) raised against the 2011 standard requirements during assessments conducted during the transition period shall require a response to KENAS within 30 days of the assessment.

6.2 All findings raised against ISO/IEC 17021-1:2015 during the two (2) year transitional period prior to the 15th June 2016 shall be handled as detailed observations, where submission of corrective actions to KENAS will not be required;

6.3 All findings raised against ISO/IEC 17021-1:2015 for the transitional period between 15th June 2016 and 15th June 2017 shall be handled as non-conformances, where the submission of corrective actions to KENAS will be required;

6.4 Any nonconformities, which would not have been nonconformities against the ISO/IEC 17021:2011, identified during assessments in the period from 1 January 2016 until 1 October 2015 will be categorised as Observation.

6.5 Annex A of this document specifies against which requirements an observation can be made. The certification body has the opportunity to introduce corrective actions prior to 1
January 2017, and report this to KENAS. KENAS will conduct the follow-up assessment to verify these actions and the assessment team will advise KENAS Accreditation Committee at the latest on 1st May 2017. The KENAS Accreditation Committee will take a decision of granting accreditation for ISO/IEC 17021-1:2015 before 15th June 2017.

6.6 If KENAS has not been able to take a positive decision regarding granting accreditation for ISO/IEC 17021-1:2015, as a result of non-closure of nonconformities, the accreditation against ISO/IEC 17021:2011 will be withdrawn at 15th June 2017.

7.0 End of Transition and Accreditation Certificate issue

7.1 Once the CB has demonstrated successful transition and effective implementation of ISO/IEC 17021-1:2015 and the decision by KENAS Accreditation Committee is for the continuation /maintenance / renewal of accreditation, the Certificate and Schedule of Accreditation will be adapted to reflect accreditation to ISO/IEC 17021-1:2015.

7.2 Once the CB has demonstrated successful transition and effective implementation of ISO 9001:2015 and ISO 14001:2015 and the decision by KENAS Accreditation Committee is for the continuation / maintenance / renewal of accreditation, the Schedule of Accreditation will be adapted to reflect authorisation to certify to ISO 9001:2015 and ISO 14001:2015.

7.3 The effective date on the certificate will be the date of the KENAS Accreditation Committee’s decision to grant accreditation to the new standard.

7.4 The granting of accreditation (including the scope annex) will be adjusted to make accreditation against ISO/IEC 17021-1:2015 visible, after an assessment against the new standard has been completed successfully and a decision on accreditation has been taken. The accreditation number for existing accreditations will remain unchanged.

7.5 The date of the declaration of accreditation will be the date of the decision on accreditation to the new standard.

7.6 The date of the first accreditation for the granted accreditation(s) against a previous version of the ISO/IEC 17021-1:2015 will also be mentioned on the new accreditation certificates. The expiration date for the new accreditation will be copied from the previous declaration of accreditation.
7.7 If an existing declaration of accreditation or scope annex need to be replaced during the transition period, but no positive decision has been taken on granting accreditation against ISO/IEC 17021-1:2015, the new declaration or scope annex shall include an expiration date not later than the end date of the transition period.

7.8 It is important to note that the three (3) year assessment cycle will remain unchanged, i.e. a 3 year cycle will not automatically commence on the date of accreditation to ISO/IEC 17021-1:2015. This will only happen in the case of initial and reassessments.

8.0 Changes compared to the previous version

8.1 Appendix A of ISO/IEC/17021-1:2015 contains a summary of significant changes in ISO/IEC 17021-1:2015 as compared to the 2011 standard. This list can however not be considered a complete list of changes because some clauses are not new but have significantly changed in wording. It remains the responsibility of each CB to investigate which changes in the standard are relevant and include these in their transition plan.

8.2 Appendix B of ISO/IEC/17021-1:2015 contains a summary of significant changes in IAF MD5:2015 compared to the 2013 version. This list can however not be considered a complete list of changes because some clauses are not new but have significantly changed in wording. It remains the responsibility of each CB to investigate which changes in the new version are relevant and include these in their audit duration calculations.

8.3 Certification Bodies are expected to carry out their own gap analysis of the current ISO 9001:2008 and ISO 14001:2004 in comparison to ISO 9001:2015 and ISO 14001:2015 upon publication.

Sammy K Milgo
CEO - Kenya Accreditation Service