ISO 14001:2015 and its Impact on R2 Companies

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- Welcome From PJR Headquarters:
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- Audience for today's meeting
- Introduction of speaker

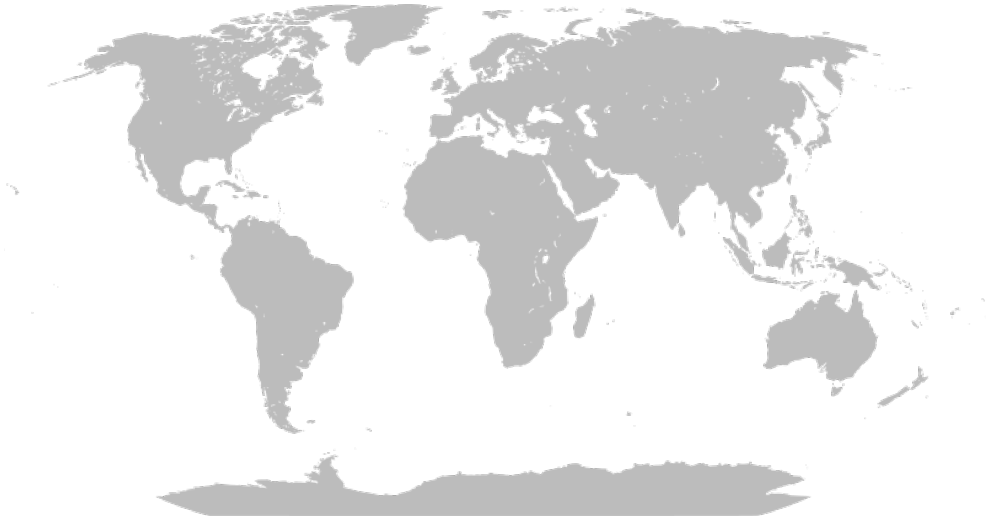
Agenda:

- About PJR
- Benefits and Drivers
- Status Update
- Key changes
- Certification Requirements
- Transition requirements
- Questions

PJR is a leading R2 Registrar

- PJR is one of the leading ISO 14001 and R2 registrars in the world.

- Countries where PJR has certified companies to ISO 14001 and/or R2:
  - Australia
  - Brazil
  - European Union
  - Japan
  - India
  - Malaysia
  - Mexico
  - Singapore
  - Thailand
  - United States



PJR is accredited to grant certification for :

- ISO 9001
- ISO 14001
- AS 9100, 9110 & 9120
- ISO/TS 16949
- Responsible Recycling-R2
- RIOS
- ISO 13485
- SQF
- TL 9000
- OHSAS 18001
- ISO 27001
- RCMS® AND RC14001
- ISO 22000
- HAACP Compliance
- FSSC 22000
- e-Stewards

PJR PERRY JOHNSON REGISTRARS

ISO 14001 Benefits of Getting Certified

- Meeting legal requirements and improving the organization's environmental performance.
- Management commitment and employee engagement.
- Supplier environmental performance.
- Providing a competitive advantage.
- Providing financial benefit.

ISO 14001 Benefits of Getting Certified

- Promotes safe and effective recovery and reuse of electronic equipment.
- Guards downstream control of the recycling chain.
- Minimizes environmental and public health risks.
- Demonstrates compliance with domestic and international laws.
- Assists original equipment manufacturers (OEM's) with due diligence for their end-of-life electronics.
- Instills public confidence through certified third party review.

ISO 14001:2015 - Status Update

- ISO 14001:2015 was published on September 15, 2015.
- There will be a three year transition period, based on the publication date of the standards.
  - This means the transition period will end on September 14, 2018.

ISO 14001:2015 – Transition Process

- A client can transition at any time during this three-year period.
  - ISO 14001:2004 will remain valid until their obsolescence dates/end of transition period.
  - Certification to ISO 14001:2004 is equivalent to certification to the 2015 version of the standards during the transition period.

ISO 14001:2015 – Transition Process

- In order to ensure that all clients transition on time, clients will be required to have their transition audits by 1 May 2018.
  - This ensures sufficient time for corrective action response by the client and certification review and decision activities by the CB.
  - As an example, a client with an anniversary date in July would need to transition in July 2017, or take their 2018 audit early.

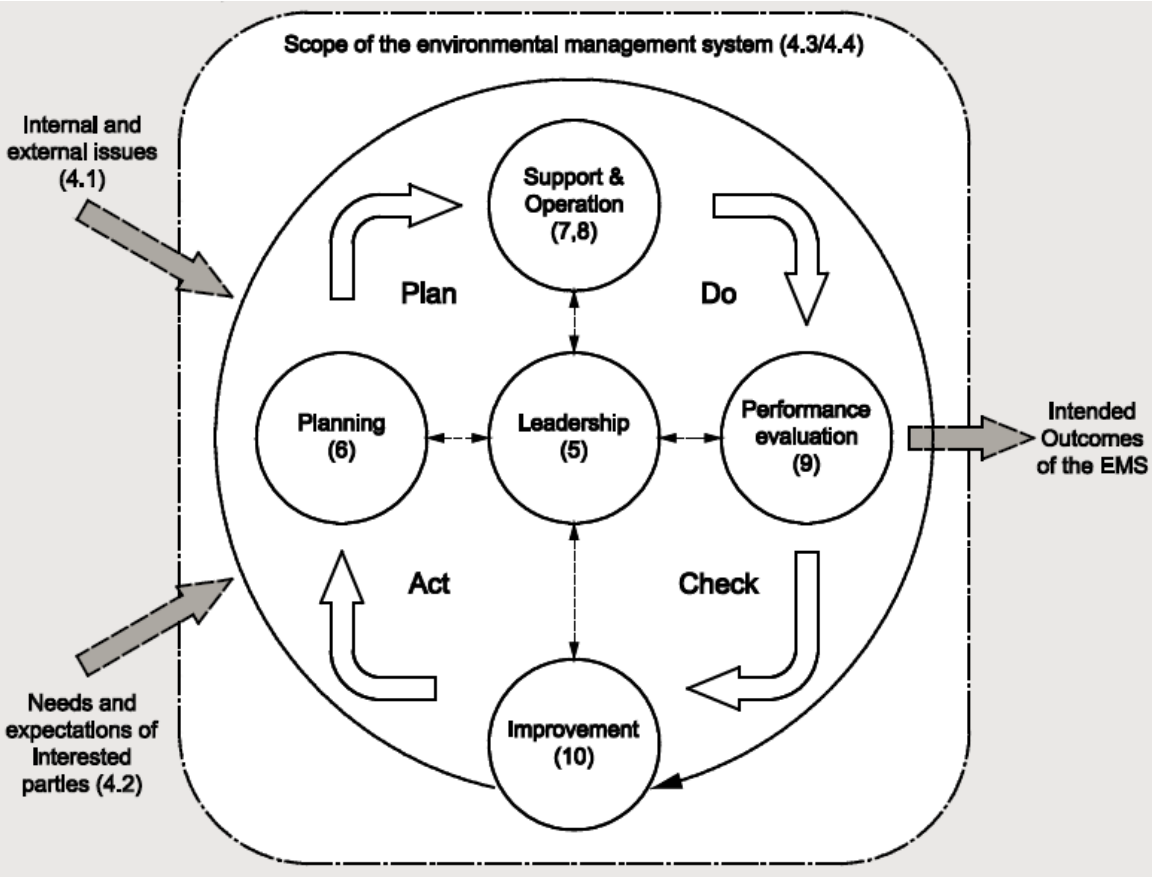
Annex SL - Structure

- Scope
- Normative References
- Terms and Definitions
- Context of the Organization
- Leadership
- Planning
- Support
- Operation
- Performance Evaluation
- Improvement

Annex SL common terms

organization
interested party (preferred term)
stakeholder (admitted term)
requirement
management system
top management
effectiveness
policy
objective
risk
competence
documented information
process
performance
outsource (verb)
monitoring
measurement
audit
conformity
nonconformity
correction
corrective action
continual improvement

DIS ISO 14001 PDCA model



Key Changes in the New Standard

- The emphasis on leadership
- The focus on risk management

- Emphasis on objectives measurement and change
- Communication and awareness
- Fewer prescriptive requirements

Terms related to support and operation

Risk

- Effect of uncertainty
  - **Note 1** to entry: An effect is a deviation from the expected — positive or negative.

Risks and opportunities

- Potential adverse effects (threats) and potential beneficial effects (opportunities).

Terms related to support and operation

Life cycle

- consecutive and interlinked stages of a product (or service) system, from raw material acquisition, or
- generation from natural resources to final disposal.
  - Note 1 to entry: The life cycle stages include acquisition of raw materials, design, production, transportation / delivery, use, end-of-life treatment and final disposal.
  - [SOURCE: ISO 14044:2006, 3.1, modified — The words “(or service)” have been added to the definition and Note 1 to entry has been added.]

Terms related to performance evaluation and improvement

Environmental performance

- Performance (3.4.10) related to the management of environmental aspects (3.2.2).
  - Note 1 to entry: For an environmental management system (3.1.2), results can be measured against the organization's (3.1.4) environmental policy (3.1.3), environmental objectives (3.2.6) or other criteria, using indicators (3.4.7).

Changes to ISO 14001:2015

- **Strategic Environmental Management** - There is an increased prominence of environmental management within the organization's strategic planning processes.

- **Leadership** - To ensure the success of the system, a new clause has been added that assigns specific responsibilities for those in leadership roles to promote environmental management within the organization.

Changes to ISO 14001:2015

- **Protecting the environment** - The expectation on organizations has been expanded to commit to proactive initiatives to protect the environment from harm and degradation, consistent with the context of the organization. The revised text does not define ‘protect the environment’ but it notes that it can include:
  - prevention of pollution,
  - sustainable resource use,
  - climate change mitigation and adaptation,
  - protection of biodiversity and ecosystems.

Changes to ISO 14001:2015

- **Environmental performance** – There is a shift in emphasis with regard to continual improvement, from improving the management system to improving environmental performance.

- **Lifecycle thinking** – In addition to the current requirement to manage environmental aspects associated with procured goods and service, organizations will need to extend its control and influence to the environmental impacts associated with product use and end-of-life treatment or disposal.

Changes to ISO 14001:2015

- **Communication** – The development of a communications strategy with equal emphasis on external and internal communications has been added.

- **Documentation** – Reflecting the evolution of computer and cloud based systems for running management systems, the revision incorporates the term 'documented information', instead of 'documents' and 'records'. To align with ISO 9001, the organization will retain the flexibility to determine when 'procedures' are needed to ensure effective process control.

ISO 14001:2015 Standard changes by chapter

Chapter 4 “Context of the Organization“

- This chapter addresses:
  - The objective of companies giving more consideration to external issues and impacts in their environmental management system.
  - The needs and expectations of “interested parties” are to be better understood and evaluated as to whether they give rise to specific requirements.

Impact on R2

- Provision 1
  - This requires R2 companies to look beyond their own operation to those who could be impacted by their operations or whose operations could impact the R2 company.

ISO 14001:2015 Standard changes by chapter

Chapter 5 “Leadership“

- Top management should, among other things, take on more responsibility for the effectiveness of the management system and the integration of environmental management into business processes.
- The environmental policy should include a commitment to protect the environment beyond the corporate boundaries.
- A management representative is no longer being explicitly requested, but adequate responsibilities and authorities must be ensured within the organization.

Impact on R2

- Provision 1
  - All Management must be aware of how their responsibilities and actions impact the management system.
  - Companies shall ensure their environmental impact throughout the recycling chain is minimized.

ISO 14001:2015 Standard changes by chapter

Chapter 6 “Planning“

- The entire planning process in environmental management has been restructured and should consider the (positive and negative)
  - environmental impacts of activities,
  - products and services into account more strongly “from a life cycle perspective” in the future.
- Although the environmental assessment does not need to explicitly include a life cycle assessment of products and processes for example, it should nevertheless examine the significant environmental aspects and all required commitments (legal, customer-specific, etc.), as well as any risks associated with possible hazards and opportunities.

Impact on R2

- Provision 2
  - Shall consider the type of processing conducted on-site.
  - Shall consider the type of downstream processing conducted

6.1 Actions to address risks and opportunities

6.1.1 General

- and determine the risks and opportunities, related to its:
  - environmental aspects (see 6.1.2);
  - compliance obligations (see 6.1.3);
  - other issues and requirements, identified in 4.1 and 4.2;
- that need to be addressed to:
  - prevent, or reduce, undesired effects, including the potential for external environmental conditions to affect the organization;

Impact on R2 – for both on-site and downstream

- Provision 3 and 4
  - Risks = reduce identified environmental concerns.
  - Opportunities = areas of improvement

6.2 Environmental objectives and planning to achieve them

6.2.1 Environmental objectives

- Environmental objectives shall:
  - take into account the organization's significant environmental aspects and associated compliance obligations;
  - consider its risks and opportunities.

Impact on R2

- Provision 1
  - No additional requirements.

ISO 14001:2015 Standard changes by chapter

Chapter 7 “Support”

- The commitments to environmental protection are to be given more consideration in terms of communications as well. External representation and reporting must be regulated.
- With respect to documents and records, only the term “documented information” shall be used in the future, thus taking account the use of modern recording media.

Impact on R2

- No additional requirements.

ISO 14001:2015 Standard changes by chapter

Chapter 8 “Operation“

- Operational scheduling and control should pay closer attention to upstream and downstream and, in particular, outsourced processes. This also includes the environmental impacts of products and services right

Impact on R2

- Provision 3, 4, 5, 6, 8
  - Operational controls should take into account all potential impacts to external and interested parties.
    - Transportation
    - Noise
    - Air contamination
    - Types of downstream processing and their effects on the environment
- through to the end of their utilization.

8.1 Operational planning and control

- Consistent with a life cycle perspective, the organization shall:
  - establish controls to ensure that its environmental requirements are addressed in the design and development process for the product or service, considering each stage of its life cycle;
  - determine its environmental requirements for the procurement of products and services, as appropriate;
  - communicate its relevant environmental requirements to external providers, including contractors;
  - consider the need to provide information about potential significant environmental impacts associated with the transportation or delivery, use, end-of-life treatment and final disposal of its products and services.

ISO 14001:2015 Standard changes by chapter

Chapter 9 “Performance evaluation“

- Based on the extended environmental assessment, expectations for environmental performance evaluations are now also being raised.
  - Includes performance of environmental objectives.
  - Monitoring and measuring will also include all other corporate commitments and risks in relation to environmental performance.

Impact on R2

- Provision 1, 3, 4, 5
  - Measurable objectives will need to be put in place to show continual improvement of its environmental performance.
  - Other monitoring methods need to be put in place to show continual improvement.
    - Periodic inspections
    - Environmental monitoring

ISO 14001:2015 Standard changes by chapter

Chapter 10 – Improvement

- The correction of nonconformities as well as the continual improvement process will now be focusing more on the organization's surroundings and the improvement of environmental performance.

Guidance References

- Annex A – Guidance on the use of this International Standard
- Annex B – Correspondence between ISO 14001:2015 and ISO 14001:2004
- Bibliography

Certification Steps

- Establish Documentation to meet 14001 requirements
- Training to 14001 requirements
- Implement 14001 requirements
  - Conduct internal audits of system
  - Conduct compliance evaluation
  - Conduct review of system based on input from internal audit
- Contract with a certification body
- Complete S1 and S2 audits
  - Address any nonconformities → ☺ Certification!

Transition Process

- Three years to transition from date of publication.
- Companies can continue to get certified to ISO 14001:2004 for 18 months following publication of ISO 14001:2015.
- After 18 months from the publication date, companies can only conduct initial certifications to ISO 14001:2015.

Certification Process

- PJR conducts a cursory review of documents in house prior to Stage 1

- The registration audit consists of two stages:
- Stage 1:
  - On-site document review of your EMS
  - Evaluates the readiness of your organization to move to stage 2.

- Stage 2:
  - Scheduled 30 to 45 days after the stage 1 audit.
  - On-site audit of your entire EMS.
  - Nonconformities will need to be resolved prior to issuing
  - of the certificate.

Certification Requirements

- Surveillance audits
  - Scheduled at either six or twelve month
  - intervals depending on the contract.
  - Partial system audit.

- Re-certification audit
  - On-site audit conducted prior to the third anniversary of the initial certification
  - Surveillance visits will then continue, as before, on a 3-year cycle.

Please type any questions you may have.

For additional technical information, please contact Scott Jones

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