ISO 14001:2015 UPDATE PART 2
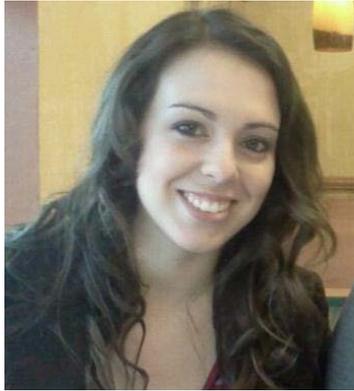
Austin Matthews
EHS Assistant Program Manager

- Welcome from PJR Headquarters:

  755 W. Big Beaver Rd, Suite 1340

  Troy, MI 48084

  Phone: 1-800-800-7910

  Email: PJR@PJR.com

- Audience for today's meeting

- Introduction of speaker

<u>**Agenda:**</u>
- About PJR

- Benefits and Drivers

- Status Update

- **Key changes - Part 2**

- Certification and Transition Requirements

- Questions

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PJR is a leading 14001 Registrar

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

- Countries where PJR has certified companies to ISO 14001:
  - Australia
  - Brazil
  - European Union
  - Japan
  - India
  - Malaysia
  - Mexico
  - Singapore
  - Thailand
  - United States
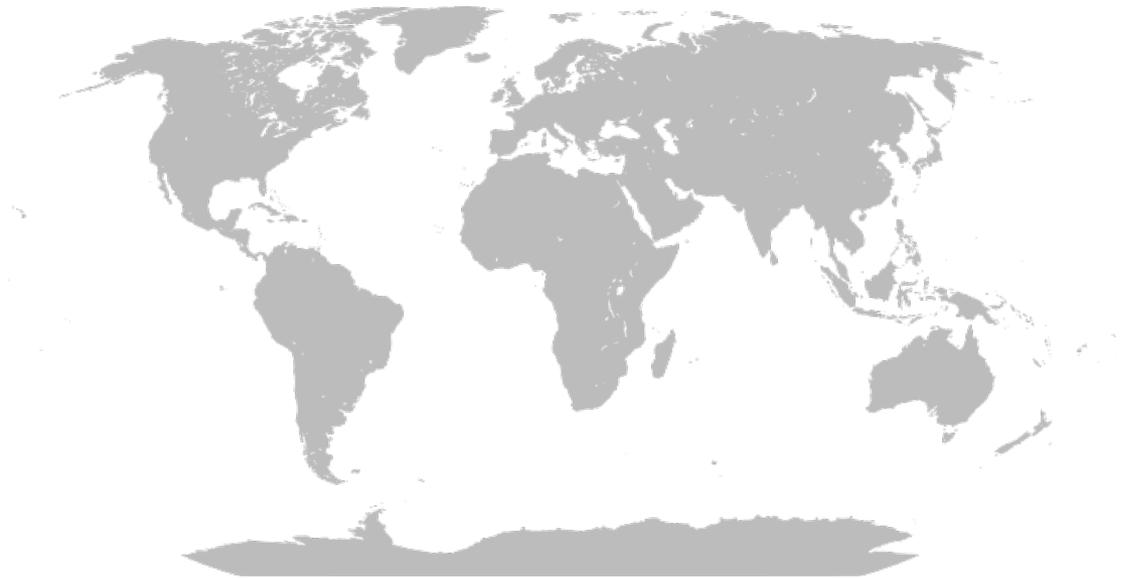
PJR is accredited to grant certification for :

- 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

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Benefits of Getting Certified

- Meeting legal requirements and improving the organization's environmental performance

- Management commitment and employee engagement

- Business management, notably for meeting stakeholder requirements, improving public image, achieving strategic objectives, and integrating with business management systems

- Supplier environmental performance

- Providing a competitive advantage

- Providing financial benefit

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ISO 14001 Drivers

- Commitment to environmental protection/conservation

- Reduction of risk of adverse environmental impact

- Business management drivers included customer requirements and public image

ISO 14001:2015 - Status Update

- The experts working on the revision of ISO 14001 completed the final draft (FDIS) of the standard on July 02, 2015.

- Voting terminated on September 02, 2015.

- Published on September 15, 2015.

- Copies available for purchase on the ISO website.

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ISO 14001:2015 – Why was the standard revised?

- To ensure that ISO 14001 continues to serve organizations and maintains its relevance in today's marketplace.

- The revision will not only address the change in environmental practices, but also ensure that the management system is future proof.

High Level Structure (HLS)

- The High Level Structure (HLS) is a new common framework for ISO management system standards, which incorporate identical core text, and common terms with core definitions.

- It is designed to benefit users implementing multiple ISO management system standards and be applicable to any management system standard.

- This allows compatibility across ISO management system standards while offering subject-specific flexibility.

Annex SL

- Framework for all new and revised ISO Management Systems Standards (MSS).

- Standardized structure format.

- Common text and requirements in many areas.

- Is being used for the ISO 9001 revision, and will be used for the ISO 45001 standard as well.

Annex SL - Structure

1. Scope
2. Normative References
3. Terms and Definitions
4. Context of the Organization
5. Leadership
6. Planning
7. Support
8. Operation
9. Performance Evaluation
10. Improvement

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Key Changes in the Proposed Standard

- The emphasis on leadership

- The focus on risk management

- Emphasis on objectives measurement and change

- Communication and awareness

- Fewer prescriptive requirements

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.

Terms related to support and operation

- **Competence—**ability to apply knowledge and skills to achieve intended results

- **Documented information—**information required to be controlled and maintained by an *organization* (3.1.4) and the medium on which it is contained
  - Note 1 to entry: Documented information can be in any format and media, and from any source.
  - Note 2 to entry: Documented information can refer to:
    - — the *environmental management system* (3.1.2), including related *processes* (3.3.5);
    - — information created in order for the organization to operate (can be referred to as documentation);
    - — evidence of results achieved (can be referred to as records).

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 support and operation

- **Outsource** (verb)—make an arrangement where an external *organization* (3.1.4) performs part of an organization's function or *process* (3.3.5)
  - Note 1 to entry: An external organization is outside the scope of the *management system* (3.1.1), although the outsourced function or process is within the scope.

- **Process**—set of interrelated or interacting activities which transforms inputs into outputs
  - Note 1 to entry: A process can be documented or not.

Terms related to performance evaluation and improvement

- **Continual improvement—**recurring activity to enhance *performance* (3.4.10)

    – Note 1 to entry: Enhancing performance relates to the use of the *environmental management system* (3.1.2) to enhance *environmental performance* (3.4.11) consistent with the *organization's* (3.1.4) *environmental policy* (3.1.3).

    – Note 2 to entry: The activity need not take place in all areas simultaneously, or without interruption.

- **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).

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7: SUPPORT

- Addresses the adequacy of resources, competence and awareness requirements, internal and external communication, and maintaining the necessary documented information

- Emphasis on competency vs. training

- Expands considerations for communication processes

- Decrease in required or prescriptive documentation

- Documentation formats and methods of controlling "documented information" expanded to reflect changes in technology and common uses

- Emphasis on processes vs. documented procedures

7.1 Resources

- The organization shall determine and provide the resources needed for the establishment, implementation, maintenance and continual improvement of the environmental management system.

7.2 Competence

- The organization shall:

  a) determine the necessary competence of person(s) doing work under its control that affects its environmental performance and its ability to fulfil its compliance obligations;

  b) ensure that these persons are competent on the basis of appropriate education, training or experience;

  c) determine training needs associated with its environmental aspects and its environmental management system;

7.2 Competence (continued)

d) where applicable, take actions to acquire the necessary competence, and evaluate the effectiveness of the actions taken.

- NOTE Applicable actions can include, for example, the provision of training to, the mentoring of, or the reassignment of currently employed persons; or the hiring or contracting of competent persons.

- The organization shall retain appropriate documented information as evidence of competence.

7.3 Awareness

- The organization shall ensure that persons doing work under the organization's control are aware of:

    a) the environmental policy;

    b) the significant environmental aspects and related actual or potential environmental impacts associated with their work;

    c) their contribution to the effectiveness of the environmental management system, including the benefits of enhanced environmental performance;

    d) the implications of not conforming with the environmental management system requirements, including not fulfilling the organization's compliance obligations.

7.4 Communication
7.4.1 General

- The organization shall establish, implement and maintain the processes needed for internal and external communications relevant to the environmental management system, including:

    a) on what it will communicate;

    b) when to communicate;

    c) with whom to communicate;

    d) how to communicate.

7.4 Communication
7.4.1 General (continued)

- When establishing its communication process(es), the organization shall:

   — take into account its compliance obligations;

   — ensure that environmental information communicated is consistent with information generated within the environmental management system, and is reliable.

- The organization shall respond to relevant communications on its environmental management system.

- The organization shall retain documented information as evidence of its communications, as appropriate.

7.4 Communication
7.4.2 Internal communication

- The organization shall:

    a) internally communicate information relevant to the environmental management system among the various levels and functions of the organization, including changes to the environmental management system, as appropriate;

    b) ensure its communication process(es) enable(s) persons doing work under the organization's control to contribute to continual improvement.

7.4 Communication
7.4.3 External communication

- The organization shall externally communicate information relevant to the environmental management system, as established by the organization's communication process(es) and as required by its compliance obligations.

7.5 Documented information
7.5.1 General

- The organization's environmental management system shall include:

a) documented information required by this International Standard;

b) documented information determined by the organization as being necessary for the effectiveness of the environmental management system.

- NOTE The extent of documented information for an environmental management system can differ from one organization to another due to:

— the size of organization and its type of activities, processes, products and services;

— the need to demonstrate fulfilment of its compliance obligations;

— the complexity of processes and their interactions;

— the competence of persons doing work under the organization's control.

7.5 Documented information
7.5.2 Creating and updating

- When creating and updating documented information, the organization shall ensure appropriate:

  a) identification and description (e.g. a title, date, author, or reference number);

  b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic);

  c) review and approval for suitability and adequacy.

7.5 Documented information
7.5.3 Control of documented information

- Documented information required by the environmental management system and by this International Standard shall be controlled to ensure:

    a) it is available and suitable for use, where and when it is needed;

    b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity).

- For the control of documented information, the organization shall address the following activities as applicable:

    — distribution, access, retrieval and use;

    — storage and preservation, including preservation of legibility;

    — control of changes (e.g. version control);

    — retention and disposition.

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7.5 Documented information
7.5.3 Control of documented information (continued)

- Documented information of external origin determined by the organization to be necessary for the planning and operation of the environmental management system shall be identified, as appropriate, and controlled.

- NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

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8: OPERATION

- Addresses the adequacy of operational controls, and emergency preparedness and response

- Emphasis on processes vs. documented procedures

- Allows for wide range of controls (including procedures) as the organization deems appropriate and as is effective in preventing deviations

- Increases required controls regarding outsourced processes and "life cycle perspective"

8.1 Operational planning and control

- The organization shall establish, implement, control and maintain the processes needed to meet environmental management system requirements, and to implement the actions identified in 6.1 and 6.2, by:

  — establishing operating criteria for the process(es);

  — implementing control of the process(es), in accordance with the operating criteria.

- NOTE Controls can include engineering controls and procedures. Controls can be implemented following a hierarchy (e.g. elimination, substitution, administrative) and can be used individually or in combination.

- The organization shall control planned changes and review the consequences of unintended changes, taking action to mitigate any adverse effects, as necessary.

8.1 Operational planning and control (continued)

- The organization shall ensure that (an) outsourced process(es) is (are) controlled or influenced. The type and extent of control or influence to be applied to the process(es) shall be defined within the environmental management system.

- Consistent with a life cycle perspective, the organization shall:

    a) establish controls, as appropriate, to ensure that its environmental requirement(s) is (are) addressed in the design and development process for the product or service, considering each stage of its life cycle;

    b) determine its environmental requirement(s) for the procurement of products and services, as appropriate;

8.1 Operational planning and control (continued)

c) communicate its relevant environmental requirement(s) to external providers, including contractors;

d) 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.

- The organization shall maintain documented information to the extent necessary to have confidence that the process(es) has (have) been carried out as planned.

8.2 Emergency preparedness and response

- The organization shall establish, implement and maintain the processes needed to prepare for and respond to potential emergency situations identified in 6.1.1.

- The organization shall:

     a) prepare to respond by planning actions to prevent or mitigate adverse environmental impacts from emergency situations;

     b) respond to actual emergency situations;

     c) take action to prevent or mitigate the consequences of emergency situations, appropriate to the magnitude of the emergency and the potential environmental impact;

     d) periodically test the planned response actions, where practicable;

     e) periodically review and revise the process(es) and planned response actions, in particular after the occurrence of emergency situations or tests;

     f) provide relevant information and training related to emergency preparedness and response, as appropriate, to relevant interested parties, including persons working under its control.

- The organization shall maintain documented information to the extent necessary to have confidence that the process(es) is (are) carried out as planned.

9: PERFORMANCE EVALUATION

- Addresses monitoring and measurement of environmental performance, evaluating compliance, internal audits and management review

- Emphasis on processes vs. documented procedures

- Emphasizes internal and external communication expectations for monitoring and measurement results/environmental performance

- Internal audit extends to include risks identified

- Management review inputs extend to include risks identified and internal and external context (with additional emphasis on relevant external communications, including complaints, and the environmental performance of the system)

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9.1 Monitoring, measurement, analysis and evaluation
9.1.1 General

- The organization shall monitor, measure, analyse and evaluate its environmental performance.

- The organization shall determine:

    a) what needs to be monitored and measured;

    b) the methods for monitoring, measurement, analysis and evaluation, as applicable, to ensure valid results;

    c) the criteria against which the organization will evaluate its environmental performance, and appropriate indicators;

    d) when the monitoring and measuring shall be performed;

    e) when the results from monitoring and measurement shall be analysed and evaluated.

9.1 Monitoring, measurement, analysis and evaluation
9.1.1 General (continued)

- The organization shall ensure that calibrated or verified monitoring and measurement equipment is used and maintained, as appropriate.

- The organization shall evaluate its environmental performance and the effectiveness of the environmental management system.

- The organization shall communicate relevant environmental performance information both internally and externally, as identified in its communication process(es) and as required by its compliance obligations.

- The organization shall retain appropriate documented information as evidence of the monitoring, measurement, analysis and evaluation results.

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9.1 Monitoring, measurement, analysis and evaluation
9.1.2 Evaluation of compliance

- The organization shall establish, implement and maintain the processes needed to evaluate fulfilment of its compliance obligations.

- The organization shall:

    a) determine the frequency that compliance will be evaluated;

    b) evaluate compliance and take action if needed;

    c) maintain knowledge and understanding of its compliance status.

- The organization shall retain documented information as evidence of the compliance evaluation result(s).

9.2 Internal audit
9.2.1 General

- The organization shall conduct internal audits at planned intervals to provide information on whether the environmental management system:

    a) conforms to:

    1) the organization's own requirements for its environmental management system;

    2) the requirements of this International Standard;

    b) is effectively implemented and maintained.

9.2 Internal audit
9.2.2 Internal audit programme

- The organization shall establish, implement and maintain an internal audit programme(s), including the frequency, methods, responsibilities, planning requirements and reporting of its internal audits.

- When establishing the internal audit programme, the organization shall take into consideration the environmental importance of the processes concerned, changes affecting the organization and the results of previous audits.

9.2 Internal audit
9.2.2 Internal audit programme (continued)

- The organization shall:

    a) define the audit criteria and scope for each audit;

    b) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;

    c) ensure that the results of the audits are reported to relevant management.

- The organization shall retain documented information as evidence of the implementation of the audit programme and the audit results.

9.3 Management review

- Top management shall review the organization's environmental management system, at planned intervals, to ensure its continuing suitability, adequacy and effectiveness.

- The management review shall include consideration of:

  a) the status of actions from previous management reviews;

  b) changes in:

    1) external and internal issues that are relevant to the environmental management system;

    2) the needs and expectations of interested parties, including compliance obligations;

    3) its significant environmental aspects;

    4) risks and opportunities;

9.3 Management review (continued)

c) the extent to which environmental objectives have been achieved;

d) information on the organization's environmental performance, including trends in:

1) nonconformities and corrective actions;

2) monitoring and measurement results;

3) fulfilment of its compliance obligations;

4) audit results;

e) adequacy of resources;

f) relevant communication(s) from interested parties, including complaints;

g) opportunities for continual improvement.

9.3 Management review (continued)

- The outputs of the management review shall include:

    — conclusions on the continuing suitability, adequacy and effectiveness of the environmental management system;

    — decisions related to continual improvement opportunities;

    — decisions related to any need for changes to the environmental management system, including resources;

    — actions, if needed, when environmental objectives have not been achieved;

    — opportunities to improve integration of the environmental management system with other business processes, if needed;

    — any implications for the strategic direction of the organization.

- The organization shall retain documented information as evidence of the results of management reviews.

10: IMPROVEMENT

- Addresses corrective action and continual improvement expectations

- Emphasis on processes vs. documented procedures

- Outlines expectations of actions to be considered and documented information to be maintained as evidence

- Graded approach

- Removes specific reference to Preventive Actions (intent captured in 4.1 and 6.1)

- Emphasis on improvement of the environmental performance of the management system (methods to be determined by the organization)

10.1 General

- The organization shall determine opportunities for improvement (see 9.1, 9.2 and 9.3) and implement necessary actions to achieve the intended outcomes of its environmental management system.

10.2 Nonconformity and corrective action

- When a nonconformity occurs, the organization shall:

    a) react to the nonconformity and, as applicable:

    1) take action to control and correct it;

    2) deal with the consequences, including mitigating adverse environmental impacts;

    b) evaluate the need for action to eliminate the causes of the nonconformity, in order that it does not recur or occur elsewhere, by:

    1) reviewing the nonconformity;

    2) determining the causes of the nonconformity;

    3) determining if similar nonconformities exist, or could potentially occur;

10.2 Nonconformity and corrective action (continued)

c) implement any action needed;

d) review the effectiveness of any corrective action taken;

e) make changes to the environmental management system, if necessary.

• Corrective actions shall be appropriate to the significance of the effects of the nonconformities encountered, including the environmental impact(s).

• The organization shall retain documented information as evidence of:

— the nature of the nonconformities and any subsequent actions taken;

— the results of any corrective action.

10.3 Continual improvement

- The organization shall continually improve the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance.

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 Stage 1 and Stage 2 audits
  - Address any nonconformities → ☺ Certification!

Transition Process

- Three years to transition from date of publication (September 15, 2015).

- 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

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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 Austin Matthews or Scott Jones:

Austin Matthews

EHS Assistant Program Manager

Perry Johnson Registrars, Inc.

Phone: (248) 358-3388

Email: amatthews@pjr.com

For a quote, please contact

the sales department at:

1-800-800-7910

Scott Jones

EHS Program Manager

Perry Johnson Registrars, Inc.

Phone: (248) 358-3388

Email: stjones@pjr.com

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