



EAGLE Certification Group
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EAGLE Transition Training ISO 14001:2015

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ISO 14001:2015 Timeline

- Standard published on September 15, 2015
- EAGLE has submitted the ANAB Application
- EAGLE 14001 Auditors become 2015 approved by January 31, 2016 (or prior to first 2015 audit)
- Transfers to 2004 will not be accepted after January 1, 2018, unless operations approved
- Transitions audits must occur no later than June 1, 2018



Certificates

- No new certificates to 2004 after January 1, 2017
- ISO 14001:2004 certificates will become **obsolete** September 15, 2018
- EAGLE 14001:2004 certificates printed after September 15, 2015 will have an expiration date, no later than September 15, 2018



Existing Clients

- Discuss with Certification Manager timing for when they want their transition audit
- Complete the **Transition Questionnaire**
- EAGLE office to help determine additional time needed for the transition based on the Questionnaire
- Audit Plans will include a Change/Follow-up note
- **Client must complete before transition audit:**
 - Internal Audit to ISO 14001:2015 or incorporated changes
 - Management Review covering implementation status of ISO 14001:2015



Training

EAGLE Auditors and Clients

- On-line Transition Training (IAAR/Exemplar)
 - Focuses only on the changes in the standard
 - Training Link: www.iaar-training.org
- On-line EAGLE Training (this session)
 - Focuses on EAGLE process
 - Recording to post on EAGLE website November 6, 2015
 - Same session for both auditors, clients and staff



Transition Audit Time –No major Changes

If a Gap Assessment to ISO 14001:2015 is completed and the current system is maintain without major changes:

➤ Off-Site

- Add .25 day review to include the Gap Assessment results and risk documentation

➤ On-Site

- At RE no additional time added
- At SA additional .5 day added
- Standalone = 1 day minimal



Transition Audit Time –Major Changes

If major changes to documentation or system, rewrite to new format:

➤ Off-Site

- Add .5 day review of documentation and changes

➤ On-Site

- At RE or SA an additional .5-1 day will be added
- If standalone an 1-2 days



New ISO 14001:2015 Clients

- Audit time will be calculated the same as a 14001:2004 new client
- All new clients will be audited to 2015 as of January 1, 2017



Gap Assessments

- Gap Assessments are available for clients uncertain about their readiness
- May be done separately or concurrent with their scheduled assessments with additional time allocated
- Need to contact their Certification Manager if a client desires to schedule a Gap Assessment
- Minimal of 1 day on-site



Templates Changes

- Minimal changes to the templates
 - Update Registration Plan and On-going SA plan
 - Adding Risk Box to Note Pages
 - Adding Note to Audit Plans
 - Transition Checklist Addendum





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ISO 14001:2015

Key Changes

Our Process

- When you work with a standard as long as 14001:2004 has been around change can raise some anxieties.
- If you do a simple comparison of 14001:2015 to 14001:2004 you will see that there isn't that much of a change
- Our process will be to simply go through the elements and where applicable compare 14001:2015 to 14001:2004.
- When complete you will have a relative short list as to changes to a strong EMS conforming to 14001:2015.



Why is ISO 14001 Being Revised?

- Respond to an increased prominence of environmental management within the organization's strategic planning processes;
- Ensure that leadership promotes environmental management within the organization;
- Commit to proactive environmental protection initiatives;
- To ensure continual improvement process takes into account the entire management system, and environmental performance;
- Not only look at aspects from goods and service but to add a life cycle perspective (Cradle to Grave);
- Make the documentation process more reasonable;
- Integrate with other management systems (Annex SL).



4 Context of the Organization

4.1 Understanding the Organization and its Context

The organization shall determine external and internal issues that are relevant to its purpose and that affect its ability to achieve the intended outcomes of its environmental management system. Such issues shall include environmental conditions being affected by or capable of affecting the organization.



4 Context of the Organization

4.2 Understanding the Needs and Expectations of Interested Parties

The organization shall determine:

- a) the interested parties that are relevant to the environmental management system;
- b) the relevant needs and expectations (i.e. requirements) of these interested parties;
- c) which of these needs and expectations become its compliance obligations.



4 Context of the Organization

4.3 Determining the Scope of the Environmental Management System

The organization shall determine the boundaries and applicability of the environmental management system to establish its scope.

When determining this scope, the organization shall consider:

- a) the external and internal issues referred to in 4.1;
- b) the compliance obligations referred to in 4.2;
- c) its organizational unit(s), function(s), and physical boundaries;
- d) its activities, products and services;
- e) its authority and ability to exercise control and influence.

➤ **Comparable 14001:2004 reference 4.1 General Requirements**



4 Context of the Organization

4.3 Determining the Scope of the Environmental Management System *(continued)*

- Once the scope is defined, all activities, products and services of the organization within that scope need to be included in the environmental management system.
- The scope shall be maintained as documented information and be available to interested parties.
 - **Comparable 14001:2004 reference 4.1 General Requirements**



4 Context of the Organization

4.4 Environmental Management System

- To achieve the intended outcomes, including enhancing its environmental performance, the organization shall establish, implement, maintain and continually improve an environmental management system,
 - including the processes needed and their interactions, in accordance with the requirements of this International Standard.
 - The organization shall consider the knowledge gained in 4.1 and 4.2 when establishing and maintaining the environmental management system.
- **Comparable 14001:2004 reference 4.1 General Requirements**



5 Leadership

5.1 Leadership and Commitment

Top management shall demonstrate leadership and commitment with respect to the EMS by:

- a) taking accountability for effectiveness of the EMS;
- b) environmental policy and environmental objectives are established
- c) ensuring the integration of the EMS;
- d) ensuring that the resources needed are available;
- e) communicating the importance of effective environmental management and conforming



5 Leadership

5.1 Leadership and Commitment (continued)

- f) ensuring that the EMS achieves its intended outcomes;
- g) directing and supporting persons to contribute to effectiveness;
- h) promoting continual improvement;
- i) supporting other relevant management roles to demonstrate their leadership

➤ NOTE: Reference to “business” in this International Standard can be interpreted broadly to mean those activities that are core to the purposes of the organization’s existence.



5 Leadership

5.2 Environmental Policy

Part 1

- Top management shall establish, implement and maintain an environmental policy

Part 2

- The environmental policy shall:
 - be maintained as documented information;
 - be communicated within the organization;
 - be available to interested parties.
- **Comparable 14001:2004 reference 4.2 Policy**



5 Leadership

5.3 Organizational Roles, Responsibilities and Authorities

- Top management shall ensure that the responsibilities and authorities for relevant roles are assigned and communicated within the organization.
- Top management shall assign the responsibility and authority for:
 - ensuring that the environmental management system conforms to the requirements of this International Standard;
 - reporting on the performance of the environmental management system, including environmental performance, to top management.
- **Comparable 14001:2004 reference 4.4.1 Resources, Roles...**



6 Planning

- 6.1 Actions to Address Risks and Opportunities
 - 6.1.1 General
 - 6.1.2 Environmental Aspects



6 Planning

6.1.3 Compliance Obligations

- The organization shall:
 - a) determine and have access ...
 - b) determine how these compliance obligations apply ...
 - c) take these compliance obligations into account ...
 - d) continually improving its environmental management system.
- The organization shall maintain documented information of its compliance obligations.
 - **Comparable 14001:2004 reference 4.3.2 Legal and Other**



6 Planning

6.1.4 Planning Action

- The organization shall plan:
 - to take actions to address its:
 - significant environmental aspects;
 - compliance obligations;
 - risks and opportunities identified in 6.1.1



6 Planning

6.2 Environmental Objectives and Planning to Achieve Them

- 6.2.1 Environmental Objectives
- 6.2.2 Planning Actions to Achieve Environmental Objectives
- The organization shall maintain documented information on the environmental objectives.
 - **Comparable 14001:2004 reference 4.3.3 OTPs**



7 Support

7.1 Resources

Resources were part of clause 4.4.1 Resources, Roles, Responsibility, and Authority in ISO 14001:2004. However, the new version of the standard has a separate clause for resources.

- Comparable 14001:2004 reference 4.4.1 Resources, Roles...



7 Support

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



7 Support

7.2 Competence *(continued)*

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.
 - Comparable 14001:2004 reference 4.4.2 Competence, training ...



7 Support

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.

➤ **Comparable 14001:2004 reference 4.4.2 Competence, training ...**



7 Support

7.4 Communication

- 7.4.1 General
 - 7.4.2 Internal 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(s) and as required by its compliance obligations.
 - 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.
- **Comparable 14001:2004 reference 4.4.3 Communications**



7 Support

7.5 Documented Information

- 7.5.1 General
- 7.5.2 Creating and updating
- 7.5.3 Control of documented information
 - Comparable 14001:2004 reference 4.4.4./4.4.5
Documentation and Control of Documents



8 Operation

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(s);
 - implementing control of the process(s), in accordance with the operating criteria.
- The organization shall maintain documented information to the extent necessary to have confidence that the processes have been carried out as planned.
 - **Comparable 14001:2004 reference 4.4.6 Operational Controls**



8 Operation

8.2 Emergency Preparedness and Response

- The organization shall establish, implement and maintain the process(es) needed to prepare for and respond to potential emergency situations identified in 6.1.1.
- The organization shall maintain documented information to the extent necessary to have confidence that the processes are carried out as planned.
 - **Comparable 14001:2004 reference 4.4.7 Emergency Preparedness and Response**



9 Performance Evaluation

9.1 Monitoring, Measurement, Analysis and Evaluation

■ 9.1.1 General

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

➤ **Comparable 14001:2004 reference 4.5.1
Monitoring and Measurement**



9 Performance Evaluation

9.1.2 Evaluation of Compliance

- The organization shall establish, implement and maintain the process(es) needed to evaluate fulfilment of its compliance obligations.
- The organization shall retain documented information as evidence of the compliance evaluation results.
 - **Comparable 14001:2004 reference 4.5.2 Evaluation of Compliance**



9 Performance Evaluation

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:

■ 9.2.2 Internal Audit Program

- The organization shall establish, implement and maintain an internal audit program, including the frequency, methods, responsibilities, planning requirements and reporting of its internal audits.
- When establishing the internal audit program, the organization shall take into consideration the environmental importance of the processes concerned, changes affecting the organization and the results of previous audits.



9 Performance Evaluation

9.2 Internal Audit *(continued)*

- The organization shall retain documented information as evidence of the implementation of the audit program and the audit results.
 - **Comparable 14001:2004 reference 4.5.5 Internal Audits**



9 Performance Evaluation

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 organization shall retain documented information as evidence of the results of management reviews.
 - **Comparable 14001:2004 reference 4.6 Management Review**



10 Improvement

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

- Documenting the nonconformities and the actions that are taken

- **Comparable 14001:2004 reference 4.5.3
Nonconformity, corrective action and preventive action**



10 Improvement

10.3 Continual Improvement

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



Summary of Changes

- **Strategic Environmental Management**
 - Increased prominence within strategic planning processes
 - New requirement to understand the organization's context
 - Aim to identify and leverage opportunities for the benefit of both the organization and the environment
 - Issues or changing circumstances related to the needs and expectations of interested parties and local, regional or global environmental conditions that can affect, or be affected by, the organization
 - If identified as a priority, actions to mitigate adverse risk or exploit beneficial opportunities are integrated in the operational planning of EMS



Summary of Changes

■ Leadership

- A new clause that assigns specific responsibilities for those in leadership roles to promote environmental management within the organization.

■ Protecting the Environment

- 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 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, etc.



Summary of Changes

■ Environmental Performance

- Emphasis with regard to continual improvement now improving environmental performance
 - *Note: To be consistent with the organization's policy commitments*

■ Lifecycle Thinking

- Organizations needs to extend its control and influence to the environmental impacts associated with product use and end-of-life treatment or disposal.
 - *Note: This does not imply a requirement to do a life cycle assessment*



Summary of Changes

■ Communication

- Development of communications strategy with equal emphasis on external and internal communication
- Requirement on communicating consistent and reliable information
- Establishing mechanisms for persons working under the organization's control to make suggestions on improving the EMS
 - *Note: The decision to communicate externally is for the organization but it needs to take into account information reporting required by regulatory agencies and the expectations of other interested parties*



Summary of Changes

■ Documentation

- Term 'documented information' instead of 'documents' and 'records' is used.
- Align with ISO 9001 retain the flexibility to determine when 'procedures' are needed to ensure effective process control



14001:2015 vs. 14001:2004

DIS version of ISO 14001		ISO 14001:2004	
Context of the organization (title only)	4		
Understanding the organization and its context	4.1		
Understanding the needs and expectations of interested parties	4.2		
Determining the scope of the environmental management system	4.3	4.1	General requirements
Environmental management system	4.4	4.1	General requirements
Leadership (title only)	5		
Leadership and commitment	5.1		
Environmental policy	5.2	4.2	Environmental policy
Organizational roles, responsibilities and authorities	5.3	4.4.1	Resources, roles, responsibility and authority
Planning (title only)	6	4.3	Planning (title only)
Actions to address risks and opportunities (title only)	6.1		
General	6.1.1		
Significant environmental aspects	6.1.2	4.3.1	Environmental aspects
Compliance obligations	6.1.3	4.3.2	Legal and other requirements
Risks and opportunities	6.1.4		
Planning to take action	6.1.5		
Environmental objectives and planning to achieve them (title only)	6.2	4.3.3	Objectives, targets and programme(s)
Environmental objectives	6.2.1	4.3.3	Objectives, targets and programme(s)
Planning actions to achieve environmental objectives	6.2.2	4.3.3	Objectives, targets and programme(s)



14001:2015 vs. 14001:2004

DIS version of ISO 14001		ISO 14001:2004	
Support (title only)	7	4.4	Implementation and operation (title only)
Resources	7.1	4.4.1	Resources, roles, responsibility and authority
Competence	7.2	4.4.2	Competence, training and awareness
Awareness	7.3	4.4.2	Competence, training and awareness
Communication (title only)	7.4	4.4.3	Communication
General	7.4.1	4.4.3	Communication
Internal communication	7.4.2	4.4.3	Communication
External communication	7.4.3	4.4.3	Communication
Documented information (title only)	7.5	4.4.4	Documentation
General	7.5.1	4.4.4	Documentation
Creating and updating	7.5.2	4.4.5	Control of documentation
Control of documented information	7.5.3	4.5.4	Control of records
		4.4.5	Control of documentation
		4.5.4	Control of records
Operation (title only)	8	4.4	Implementation and operation (title only)
Operational planning and control	8.1	4.4.6	Operational control
Emergency preparedness and response	8.2	4.4.7	Emergency preparedness and response
Performance evaluation (title only)	9	4.5	Checking (title only)
Monitoring, measurement, analysis and evaluation (title only)	9.1	4.5.1	Monitoring and measurement
General	9.1.1	4.5.1	Monitoring and measurement
Evaluation of compliance	9.1.2	4.5.2	Evaluation of compliance
Internal audit	9.2	4.5.5	Internal audit
Management review	9.3	4.6	Management review
Improvement (title only)	10		
Nonconformity and corrective action	10.1	4.5.3	Nonconformity, corrective action and preventive action
Continual improvement	10.2		



Questions





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Thank You

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