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ISO 14001:2014 Draft (DIS)

Bambang Suryalaksana



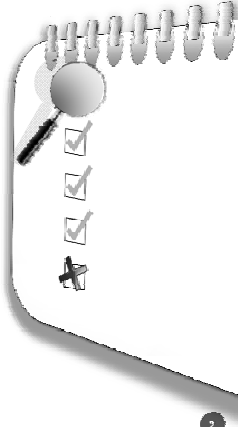
By Royal Charter

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Seminar Benefits

- Be able to transition from ISO 14001:2004 to ISO 14001:2014
- Inform others about the new requirements intended for ISO 14001:2014
- Prepare for ISO 14001:2014 audits

Please be aware that this presentation is based upon the Draft International Standard (DIS) and may be subject to further changes.



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Welcome!




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Seminar Objectives

Upon completion of this Seminar, delegates will be able to:


- Identify the key envisaged changes to ISO 14001
- Explain the purpose and use of Annex SL Appendix 2
- Communicate any changes in EMS specific requirements arising as a result of transitioning from ISO 14001:2004 to ISO 14001:2014
- Identify what the changes will mean for organizations
- Explain the BSI certification transition arrangements



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Disclaimers


- Statements made by the presenter may represent their own opinions and/or interpretations
- The presentation includes information related to the revisions process as of July 2014
- Further changes are likely to occur as the revision process progresses
- You may wish to consider the changes as these occur and plan accordingly



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Agenda

- ISO facts
- ISO 14001 development process
- Key perspectives and what was considered
- Emerging changes
- High level and EMS structure
- Common terms and core definitions
- Areas of contention during development
- Key and other changes
- ISO 14001:2014 timeline and certification transition
- Other important information



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ISO Facts

- ISO = International Organization for Standardization
 - based in Switzerland, over 100 nations participate with approximately 20,000 standards
 - all ISO standards are based on consensus
- ISO standards are usually developed by its Technical Committees ("TCs")
- Work involves international experts nominated by their national standards bodies



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ISO 14001:201X Development Process

There was broad international agreement on the need for revision. There are different stages involved within the development of the international standard:



- Working Draft ("WD")
- Committee Draft ("CD")
- Draft International Standard ("DIS")
- Final Draft International Standard ("FDIS")
 - Published after approval of the FDIS
 - Subject to "systematic review" every 5 years

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Perspectives/What Was Considered?

International experts considered:

- A - Basic principles of EMS 14001:2004 (maintenance and improvement)
- B - Final report 'Future Challenges for the EMS'
- C - Feedback from the 'ISO 14001 Continual Improvement Survey 2013'
- D - ISO/TMB approved requirements and application guidance related to work on the HLS for MSS



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A – Basic Principles of ISO 14001:2004 (maintenance and improvement)

1. Contain elements for creating an effective EMS
2. Can be integrated into other MS's requirements
3. Help to achieve environmental and economic goals
4. Support environmental protection and;
 1. prevention of pollution
 2. in balance with socio-economic needs
5. Means to improve environmental performance
6. Helps to maintain legal compliance obligations
7. Helps to ensure environmental integrity in the supply chain (influence)



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B - Final report 'Future Challenges for the EMS' 11 themes

1. Sustainability and social responsibility
2. Environmental performance
3. Compliance
4. Strategic business management
5. Conformity assessment
6. Small organizations
7. Value and supply chain
8. Engaging stakeholders
9. Parallel or sub systems (GHG)
10. External communication
11. (Inter)national policy agenda



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C - Feedback from the 'ISO 14001 Continual Improvement Survey 2013'

This survey made 7 recommendations.

1. Strengthen attention to 'prevention of pollution'
2. Strengthen attention to 'eco-efficiency'
3. Strengthen attention to 'life cycle thinking'
4. Clarify concepts within ISO 14001
5. Expand content of Annex A
6. Expand content of ISO 14001
7. Improve awareness of Annex A and use of ISO 14001

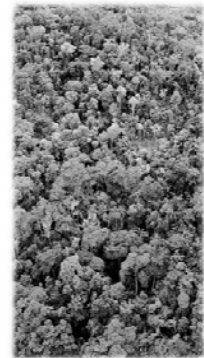


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What are the emerging changes?

- Strategic Environmental Management
- Leadership
- Protecting the environment
- Environmental performance
- Lifecycle thinking
- Communication
- Documentation



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D - High Level Structure

A new common ISO format has been developed for use across all management system standards:

- Common terms and core definitions
- Identical core text and numbering schemes

Organizations implementing an integrated system (eg EMS, EMS, OHS, ISMS etc) should achieve optimum benefits.

The high level structure and common text is public information and can be found at www.iso.org/directives

Identical Core Text and Numbering Schemes

- 1) Scope
- 2) Normative references
- 3) Terms and definitions

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Identical Core Text and Numbering Schemes

- 4) Context of the organization
 - 4.1 Understanding the organization and its context
 - 4.2 Understanding the needs and expectations of interested parties
 - 4.3 Determining the scope of the XXX MS
 - 4.4 XXX management system

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Identical Core Text and Numbering Schemes

- 5) Leadership
 - 5.1 Leadership and commitment
 - 5.2 Policy
 - 5.3 Organizational roles, responsibilities and authorities
- 6) Planning
 - 6.1 Actions to address risks and opportunities
 - 6.2 XXX objectives and planning to achieve them

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Identical Core Text and Numbering Schemes

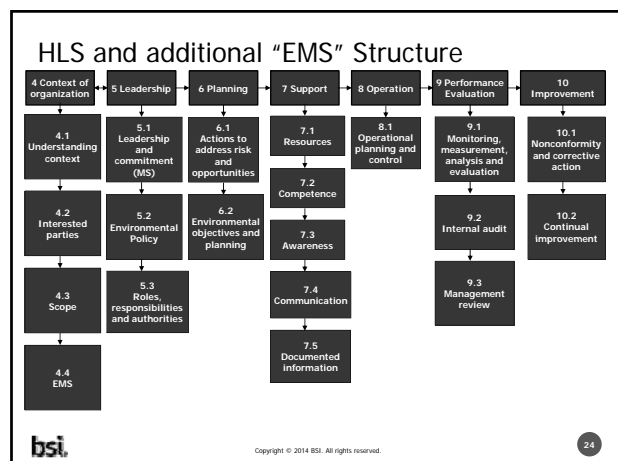
- 7) Support
 - 7.1 Resources
 - 7.2 Competence
 - 7.3 Awareness
 - 7.4 Communication
 - 7.5 Documented information
 - 7.5.1 General
 - 7.5.2 Creating and updating
 - 7.5.3 Control of documented information

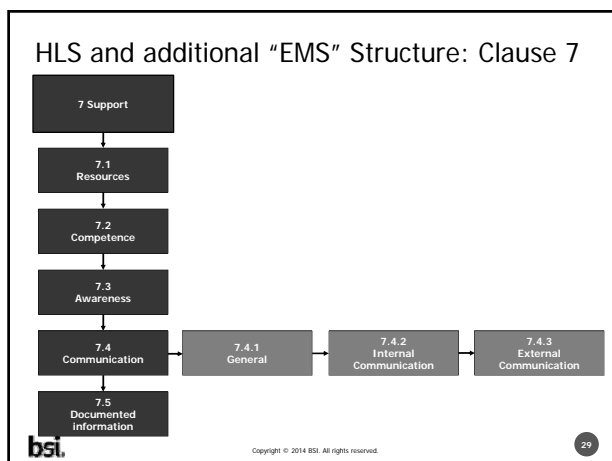
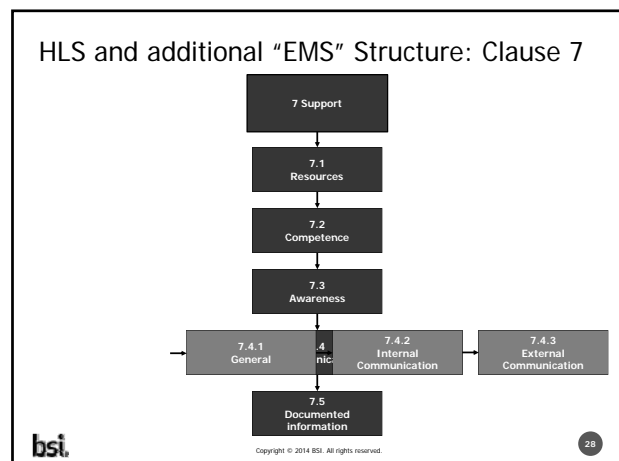
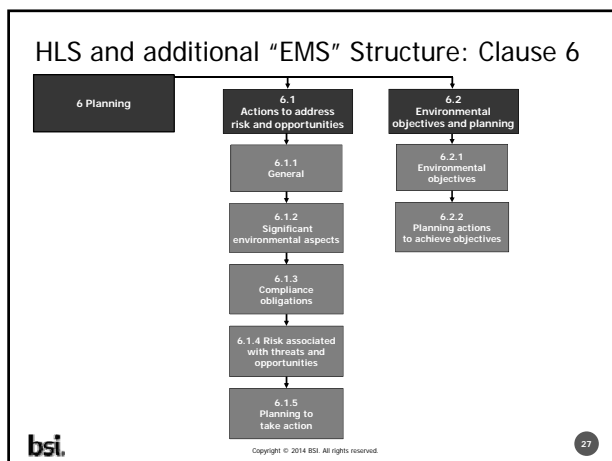
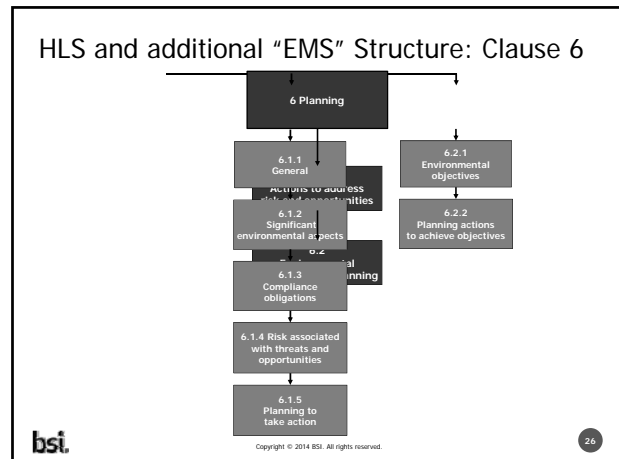
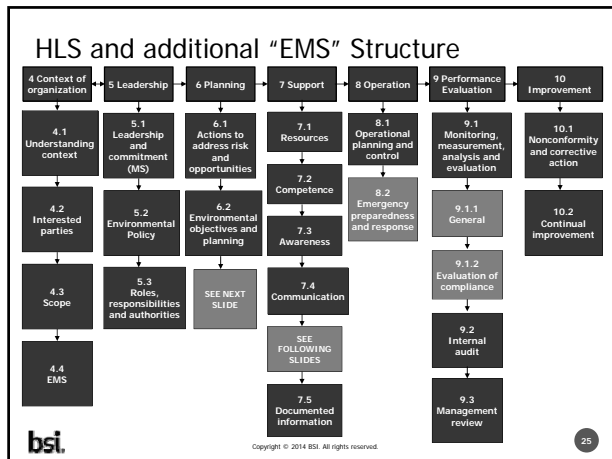
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Identical Core Text and Numbering Schemes

- 8) Operation
 - 8.1 Operational planning and control
- 9) Performance evaluation
 - 9.1 Monitoring, measurement, analysis and evaluation
 - 9.2 Internal audit
 - 9.2.1 [Internal Audits]
 - 9.2.2 [Programmes(s)]
 - 9.3 Management review
- 10) Improvement
 - 10.1 Nonconformity and corrective action
 - 10.2 Continual improvement

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Common Terms and Core Definitions

Differences to ISO 14001:2004 (some!)	Was not defined in 14001:2004 (some!)
Organization	Documented information
Interested party	Compliance obligation
Environmental management system	Environmental condition
Corrective action	Process
Continual improvement	Top management
	Life cycle
	Risk

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Areas of contention during development

- Terms: Goods and services v products and services?
- Terms: Legal and other v Compliance obligations?
- Terms: Supply chain v Value chain?
- Clause positioning: Emergency preparedness and response



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Aim of an Environmental Management System

Protection of the environment, respond to changing environmental conditions in balance with socio-economic needs are now the primary focus.

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Key Changes

1. Context of the organization must be understood
 - a. Increasing awareness of its relationship with the environment
 - b. Increased emphasis on interested parties
2. Greater integration with strategic direction and business processes
3. EMS planning enhanced:
 - a. Risks associated with threats and opportunities
4. Preventive action replaced by risk
5. Demonstrable EMS leadership from Top Management
6. Processes more explicit
7. Life cycle perspective
8. Common term: 'Documented information'



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4.1 Context of the Organization (1)

- Consider what the external and internal issues are for your organization.
- Where does this come from?
- Clause 4.1 states: "The organization shall determine external and internal **issues**, that are relevant to its **purpose** and that effect its ability to achieve the **intended outcome(s)** of its EMS".



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4.2 Context of the Organization (2)

- Which relevant interested parties have relevant requirements?
- Which of their requirements is the organization to adopt as a compliance obligation?
- Where does this come from?
- Clause 4.2 states: "the organization shall determine: the interested parties that are relevant to the environmental management system;....."



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Other Changes: 4.3 Scope, 4.4 EMS

Scope to consider:

- External and internal issues
- The compliance obligations
- The organization's unit(s), function(s) and physical boundaries,
- Its activities products and services; and
- Its authority and ability to exercise control and influence

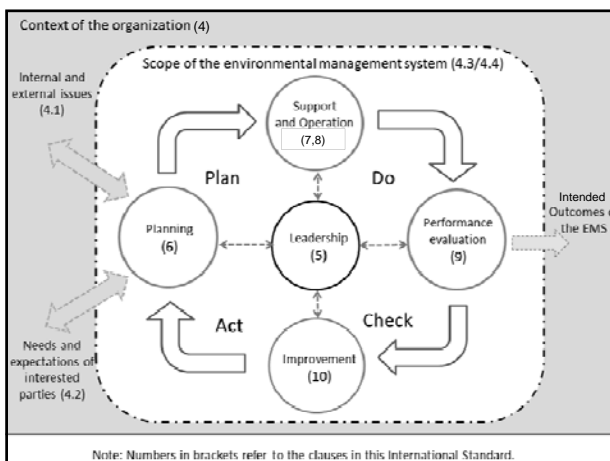
Must also be made available to interested parties

4.4 Use knowledge of context when establishing/maintaining EMS



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Other Changes: 5.1 Leadership

Enhanced leadership requirements:

- Accountability for its effectiveness (EMS)
- Compatibility of policy and objectives with strategic direction and context
- Integration of the EMS into organization's business processes
- Promoting importance on environmental management and conforming to EMS requirements
- Ensuring EMS achieves its intended outcomes
- Directing and supporting persons to contribute
- Promote continual improvement
- Supporting management to demonstrate their leadership

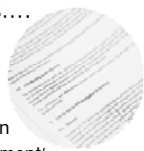


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Other Changes: 5.2/5.3 Policy/Roles....

- 5.2 Environmental Policy:
 - appropriate to context and purpose of organization
 - explicit commitments to 'protection of the environment'
 - can include 'other' commitments specific to context
- 5.3 Roles, responsibilities and authorities:
 - no documented information actually required
 - no requirement for a specific 'management representative'



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Risk: 3.18 effect of uncertainty on environmental objectives

- Note 1 to entry: An effect is a deviation from the expected — positive or negative.
- Note 2 to entry: Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of, an event, its consequence, or likelihood.
- Note 3 to entry: Risk is often characterized by reference to potential events (ISO Guide 73, 3.5.1.3) and consequences (ISO Guide 73, 3.6.1.3), or a combination of these.
- Note 4 to entry: Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated likelihood (ISO Guide 73, 3.6.1.1) of occurrence.



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Other Changes: 6.1. Actions to address risks associated with threats and opportunities

- Plan and implement a process to meet 6.1.1 – 6.1.5
- Consideration of context (4.1/4.2)
- Documented information – ‘confidence’ in the process



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Other Changes: 6.1.2 Significant environment aspects

- Must now consider a life cycle perspective
- Abnormal and potential emergency situations now explicit
- The output from 6.1.2 are the significant environmental aspects AND any threats and opportunities resulting from them.
- NOTE: Significant environmental aspects can result in risk associated with either adverse environmental impacts (threats) or beneficial environmental impacts (opportunities)



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Other Changes: 6.1.3 Compliance obligations

- Documented information of its compliance obligations
- Focus is now on the organization rather than ‘related to its environmental aspects’
- NOTE: Compliance obligations can have the potential to result in risk associated with either adverse impacts (threats) or beneficial impacts (opportunities) to the organization



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Other Changes: 6.1.4 Risks associated with threats and opportunities

Determine the risk associated with threats and opportunities to:

- give assurance that the Environmental Management System can achieve its intended outcome(s);
- prevent, or reduce, undesired effects, including the potential for external environmental conditions to affect the organization;
- achieve continual improvement.
- Maintain documented information of those that need to be addressed



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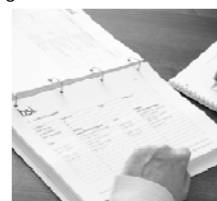
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Other Changes: 6.1.5 Planning to take action

Plan to take actions to address:

- Risk associated with threats and opportunities
- Significant environmental aspects
- Compliance obligations



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Other Changes: 6.2 Environmental Objectives and planning to achieve them

- No 'targets' defined or used
- Explicit requirements to communicate and update
- Planning how to achieve the objectives is much more prescriptive
- Evaluation through defined indicators
- Actions to achieve objectives shall be integrated into business processes (consideration)



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Other Changes: 7 Support (1)

- 7.1 Resources – 'determine' (establish or find out) is now required
- 7.2 Competence – evaluation of actions taken to acquire the necessary competence now required
- 7.2 Wording now person(s) doing work under its control that affects its environmental performance
- 7.3 Awareness – no procedure required



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Other Changes: 7 Support (2)

- 7.4 Communications – now a process
 - separate clauses for external and internal
 - what, when, whom, how to communicate
 - driven in part by compliance obligations
 - Process to enable contribution to CI
- 7.5.1 No description of main elements.....required
 - Documented information necessary for 'effectiveness'
- 7.5.2 Creating and updating – enhanced: description, format and suitability
- 7.5.3 Control of documented information
 - now includes confidentiality and access explicitly



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Other Changes: 8.1 Operational Planning and Control

- Explicit requirements for
 - establishing criteria for the processes
 - implementing control of processes
- 8.1 Controls can
 - include procedures (documented or otherwise)
 - be implemented following a hierarchy
- Control planned changes, review unintended changes
- Outsourcing – wider remit than 'relating to aspects of goods and services used by the organization'
 - Define within EMS the 'type and degree of control or influence to be applied'



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Other Changes: 8.1 Operational Planning and Control

- As in 6.1.2, life cycle perspective specifically mentioned
- Consistent with a life cycle perspective (previously implied):
 - Determine environmental requirements in 'supply chain'
 - Establish controls for considering environmental requirements in design, development, delivery, use and end-of-life treatment
 - Communicate ENV requirements to external providers/contractors
 - Consider providing information (about Sig Env Impacts) during delivery, use and end-of-life treatment



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Other Changes: 8.2 Emergency preparedness and response

- **Minimal Changes (clarification):**
- c) Take action to prevent the occurrence of environmental emergency situations and accidents;
- e) Explicit requirement to now periodically review/revise procedures after tests (as well as after the occurrence of accidents/situations)



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Other Changes: 9 Performance evaluation (1)

- **9.1 Monitoring, measurement, analysis and evaluation**
- 9.1.1 Determine what needs M and M related to:
 - compliance obligations;
 - risk associated with threats and opportunities;
 - objective(s) progression using determined indicators (6.2);
 - timing for monitoring and measurement;
 - explicit requirement to analyse and evaluate;
 - timing and criteria of performance evaluation (using indicators)
- New and specific links to Management Review and previously determined communication processes (including those associated with compliance obligations)



Other Changes: 9 Performance evaluation (2)

- **9.1 Monitoring, measurement, analysis and evaluation**
- 9.1.2 Evaluation of conformity with compliance obligations now a process.
- Beyond periodic evaluation, organizations are required to:
 - Take action if needed
 - Maintain knowledge and understanding of its compliance status



Other Changes: 9 Performance evaluation (3)

- **9.2 Internal audit** - programme now includes additional consideration of risk and opportunities (minor change)
- **9.3 Management Review**
 - Inputs** additionally to include:
 - Changes to external/internal issues, significant environmental aspects and risks and opportunities;
 - Monitoring and measurement results; (explicit)
 - Adequacy of resources required for effective system maintenance
 - Outputs** additionally to include:
 - Any implications for the strategic direction of the organization;
 - Explicit – changes to resource needs and actions when objectives not met

Other Changes: 10 Improvement (1)

- **10.** This clause is not specifically about continual improvement, but improvement!
- **10.1 Nonconformity and corrective action**
- Due to risk focus throughout the preceding clauses, preventive action not specifically mentioned. (now in 6.)
- Response needs to also consider the occurrence of the nonconformity elsewhere (CA across the organization)



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Other Changes: 10 Improvement (2)

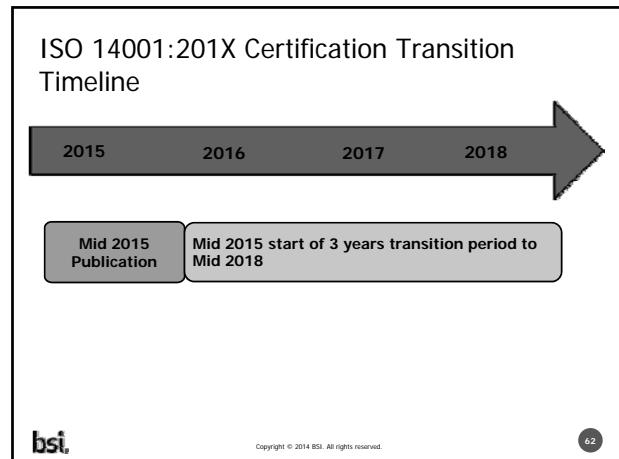
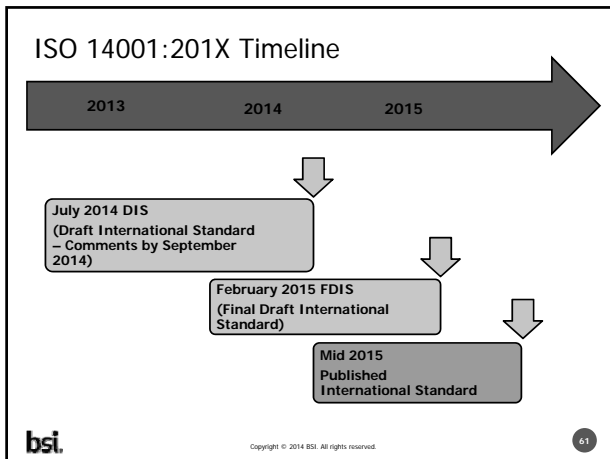
- **10.2 Continual improvement**
- Requirement was referenced in 4.1/4.6 and in definition (3.2), but aspects of the definition are now included in the requirements, i.e. specifically to enhanced environmental performance



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Summary - Key Changes

- Context of the organization must be understood
 - Increasing awareness of its relationship with the environment
 - Increased emphasis on interested parties
- Greater integration with strategic direction and business processes
- EMS planning enhanced:
 - Risks associated with threats and opportunities
 - Preventive action replaced by risk
- Demonstrable EMS leadership from Top Management
- Processes more explicit
- Life cycle perspective
- Common term: 'Documented Information'

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How can clients keep up to date with the latest information?

ISO Revisions

Where can clients obtain a copy of the DIS?

The DIS is only available to purchase in the UK on the BSI Shop – <http://shop.bsigroup.com/ProductDetail/?pid=000000000030281202>

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How can clients keep up to date with the latest information?

ISO Revisions

How can clients make comments on the DIS?

Clients within the UK can make comments on the individual clauses through the draft review site – <http://drafts.bsigroup.com/Home/Details/53262>

All comments will be considered by the UK committee before submission to the ISO committee.
International clients will be able to make comments through their local National Standards Body.

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How can clients keep up to date with the latest information?

ISO Revisions

Where can clients find the latest information?

A separate webpage has been set up for the revision from the main ISO 14001 webpage - <http://www.bsigroup.com/en-GB/iso-14001-environmental-management/ISO-14001-revision/>

This page will be constantly updated with articles and webinars as and when they are created. There is also an opportunity for clients to register to get priority information as it is available by registering for updates on our website. Clients can also connect to our LinkedIn groups for each revision – https://www.linkedin.com/groups/ISO-14001-2015-Revision-7413532?home=&qid=7413532&trk=my_groups-tile-grp

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Other Important Information

- Impact on other standards that are part of the family
- BSI Transition course (1 day)
- BSI Lead Audit Transition course (2 days)
- Expect further news updates as this process evolves

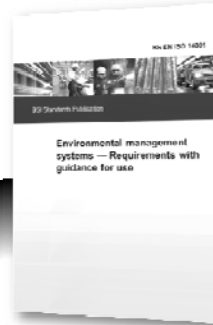


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Review and Final Questions



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