

# **ISO 14001 2015**

## **TRANSLATED INTO PLAIN ENGLISH**

**PRAXIOM**  
**RESEARCH GROUP LIMITED**

# ISO 14001 2015 TRANSLATED INTO PLAIN ENGLISH

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License agreement and contact information

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### 1. INTRODUCTION

#### INTERNATIONAL ORGANIZATION FOR STANDARDIZATION

ISO is the *International Organization for Standardization*. It was established in 1947 and is located in Geneva, Switzerland. Its purpose is to develop global standards that facilitate and support international trade. ISO achieves this purpose through the support of its member bodies and through the work of its technical committees and subcommittees.

ISO 14001 2015 was developed by ISO Technical Committee 207, Subcommittee 1. ISO/TC 207 is responsible for “*Environmental management*”, while SC 1 is responsible for “*Environmental management systems*”.

ISO website:  
<http://www.iso.org/>

#### INTRODUCTION TO THE ISO 14001 2015 STANDARD

ISO 14001 2015 is an environmental management standard. It defines a set of environmental management requirements. These requirements can be found in the following seven sections:

4. Context
5. Leadership
6. Planning
7. Support
8. Operations
9. Evaluation
10. Improvement

ISO 14001 was first published in 1996 and updated in 2004. This current version was published on September 15 2015 and is the third edition of the ISO 14001 standard. It cancels and replaces all previous editions.

The purpose of this standard is to help organizations to protect the environment and to respond to changing environmental conditions. According to ISO 14001, any organization can achieve these objectives if it establishes an environmental management system (EMS) and if it continually tries to improve the suitability, adequacy, and effectiveness of this system.

An *environmental management system (EMS)* is one part of a larger management system and is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their environmental compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities. These *elements* include structures, programs, procedures, processes, practices, plans, rules, roles, responsibilities, relationships, contracts, agreements, documents, records, methods, tools, techniques, technologies, and resources.

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#### SCOPE OF THE NEW ISO 14001 STANDARD

ISO 14001 applies to all types of organizations. It doesn't matter what they do or what size they are. It can help any organization to protect the environment and to respond to changing environmental conditions.

According to ISO 14001 2015, your organization's EMS must meet every requirement if you wish to claim that it complies with this standard. However, how you choose to meet ISO's requirements, and to what extent, will depend on and be influenced by many factors. It will depend on your organization's context, its structure, its activities, its objectives, its compliance obligations, and its products and services; and will be influenced by its environmental risks and opportunities and by its environmental aspects and impacts. Consequently, environmental management systems can vary quite a bit.

The scope of the *standard* should not be confused with the scope of your *environmental management system*. ISO 14001 2015 section 4.3, below, explains how you can define the scope of your organization's environmental management system.

#### HOW TO USE THE NEW ISO 14001 STANDARD

If you don't already have an environmental management system (EMS), you can use this ISO 14001 standard to establish one. And once you've established your EMS, you can use it:

- To meet your compliance obligations.
- To achieve your environmental objectives.
- To enhance your environmental performance.
- To facilitate and support sustainable development.

According to ISO 14001, any organization can achieve these important goals by establishing an EMS and then using it to manage the environmental aspects and impacts of its activities, processes, products, services, and systems.

An *environmental aspect* is an element or characteristic of an activity, product, or service that interacts with the environment while an *environmental impact* is a change to the environment that is caused by environmental aspects. You don't have to worry about all environmental aspects. You only have to do something about those aspects that have a significant impact on the environment and only if you can either influence or control them.

#### ENHANCE YOUR ENVIRONMENTAL PERFORMANCE

According to ISO 14001, an EMS will enhance your organization's environmental performance because it will:

- Reduce your environmental risks.
- Implement your environmental policy.
- Achieve your environmental objectives.
- Meet your environmental compliance obligations.
- Take advantage of your environmental opportunities.

The term *environmental performance* refers to the results that are achieved whenever the environmental aspects of activities, processes, products, services, systems, and organizations are managed and controlled.

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### 1. INTRODUCTION

#### SUPPORT SUSTAINABLE DEVELOPMENT

You can also use an EMS to support sustainable development. Why? Because an EMS will show you how to take a systematic approach to environmental management. Such an approach will not only contribute to your organization's long term success but it will also facilitate sustainable development. It will do all of this by helping your organization to:

- Prevent or reduce adverse environmental impacts.
- Implement environmentally sound practices and programs.
- Mitigate the adverse impact that environmental threats can have.
- Control how products and services are managed throughout their life cycle.
- Coordinate and communicate environmental initiatives with interested parties.

#### CERTIFY YOUR ORGANIZATION

You can also use this standard to get certified. Once you've established an EMS that meets ISO's requirements and deals with your organization's own risks and requirements, you can ask a registrar (certification body) to audit your system. If you pass the audit, your registrar will issue an official certificate that states that your organization's EMS meets ISO's requirements.

While ISO 14001 is specifically designed to be used for certification purposes, you don't have to become certified. You can be in compliance without being formally certified by an accredited certification body (registrar). You can self-audit your EMS and then announce to the world that it complies with the new ISO 14001 standard (assuming that it actually does). Of course, your compliance claim may have more credibility if an independent certification body agrees with your assessment.

For a directory of certification bodies (registrars) please see: [www.praxiom.com/registrars.htm](http://www.praxiom.com/registrars.htm)

#### ISO 14001 2015 VS ISO 14001 2004

Both old and new standards cover essentially the same topics. However, there are some important differences between the old and the new. Some of these are discussed below.

##### Structure of standard

Perhaps the biggest difference between the old and the new standard is the structure. This is because the new edition uses the new Annex SL template. According to ISO, all future management system standards (MSSs) will use this new layout and share the same basic requirements. As a result, all new MSSs will have the same look and feel.

Annex SL defines the framework of a generic management system standard (MSS). In addition to ISO 14001, the following MSSs either have been or will be updated using this new ISO framework: ISO 9001, ISO 22000, ISO 22301, ISO IEC 27001, and ISO 45001.

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A common structure is possible because basic concepts such as management, requirements, policy, planning, performance, objective, control, monitoring, measurement, auditing, decision making, corrective action, and nonconformity are common to all management system standards. A common structure should make it easier for organizations to implement multiple standards because they will all share the same basic language and the same basic requirements.

### Context of the organization

Unlike the old standard, the new one expects you to understand your organization's external context and its internal context before you establish its EMS. This means that you need to identify and understand the external issues and the external environmental conditions that could influence your organization's EMS and the results that it intends to achieve. It also means that you need to identify and understand the internal issues and internal environmental conditions that could influence your EMS and the results it intends to achieve.

The new ISO 14001 standard also expects you to identify the interested parties that are relevant to your EMS and to identify their needs and expectations. Once you've done this, it expects you to study these needs and expectations and to figure out which ones have turned into compliance obligations.

But why is all this necessary? It's necessary because your EMS will need to be able to manage all of these influences. Once you understand your context, you're expected to use this knowledge to help you define your EMS and the challenges it must deal with.

### Risk planning

Unlike the old standard, the new ISO 14001 standard expects you to determine "*risks and opportunities*". So what does this actually mean and what does the new standard expect you to do? It expects you to start by establishing a risk planning process. It then expects you to use this process to identify risks and opportunities related to your organization's context, its interested parties, its compliance obligations, and its environmental aspects.

It then expects you to define actions to address all of these risks and opportunities. And to make sure that these actions will actually be carried out, it asks you to make these actions an integral part of your EMS processes, and then to implement, control, evaluate, and review the effectiveness of these actions and these processes.

While risk planning is now an integral part of the new ISO 14001 standard, it does not actually expect you to implement a formal risk management process.

An organization's *context* is its business environment. It includes all of the internal and external factors and conditions that have an influence on its EMS.

*Compliance obligations* used to be called "*legal requirements and other requirements to which the organization subscribes*".

If you choose to implement a formal risk management process, please see the ISO 31000 2009 risk management standard at: [www.praxiom.com/31000.htm](http://www.praxiom.com/31000.htm)

### 1. INTRODUCTION

#### Preventive action

The new ISO 14001 standard no longer uses the term *preventive action*. We're now expected to use risk planning concepts and to think of the entire EMS as a system of preventive action. ISO 14001 2015 section A.10.1 says there is no longer a single clause on preventive action because "*One of the key purposes of an environmental management system is to act as a preventive tool. This concept of preventive action is now captured in 4.1 (i.e., understanding the organization and its context) and 6.1 (i.e., actions to address risks and opportunities).*"

So, according to the new standard, these two sets of requirements cover the old concept of preventive action. Evidently, once we realize that the entire EMS can be used to manage risks and opportunities, we no longer need a separate clause on preventive action. It's redundant.

#### Documented information

The new ISO 14001 standard has also eliminated the long standing distinction between documents and records. Now they are both referred to as "*documented information*". Why ISO chose to abandon two common sense concepts and replace them with one that is needlessly awkward and esoteric is not entirely clear.

According to ISO's definition, the term *documented information* refers to information that must be controlled and maintained. So, whenever ISO 14001 2015 uses the term *documented information* it implicitly expects you to control and maintain that information and its supporting medium. However, this isn't the whole story.

An annex to the new standard (A.3) further says that "*this international standard now uses the phrase 'retain documented information as evidence of' to mean records, and 'maintain documented information' to mean documentation other than records.*"

So, whenever the new standard refers to *documented information* and it asks you to *maintain* this information, it is talking about what used to be referred to as documents, and whenever it asks you to *retain* this information, it is talking about what used to be called records. So sometimes documented information must be maintained and sometimes it must be retained (contrary to what the official definition says).

So, while the official definition of the term *documented information* abandons the distinction between documents and records, through the use of the words "maintain" and "retain" and because of what this means (according to Annex A), the main body of the standard actually restores this distinction. In other words, while documents and records were officially kicked out the front door, they were actually allowed back in through the back door.

**1. INTRODUCTION****Procedures**

The old ISO 14001 standard asked organizations to establish a wide range of procedures. These included the following: an environmental aspects procedure (4.3.1), a legal requirements management procedure (4.3.2), an awareness procedure (4.4.2), a communications procedure (4.4.3), a document control procedure (4.4.5), an operational control procedure (4.4.6), an emergency preparedness and response procedure (4.4.7), a monitoring and measurement procedure (4.5.1), a compliance evaluation procedure (4.5.2.1), a nonconformity management procedure (4.5.3), a records management procedure (4.5.4), and an internal audit procedure (4.5.5). Now, only one procedure is left. The new ISO 14001 standard asks you to establish an emergency preparedness and response procedure in section 8.2, and that's the only one.

Instead of asking you to write procedures, the new ISO 14001 standard asks you to maintain and control a wide range of documents (i.e., documented information). Since the new standard doesn't tell you what to call these documents, you can call them procedures if you like. And, of course, you still need to have documents except that now they're called "documented information". So, while on the surface this looks like a radical change, it really isn't.

**Other clarifications and modifications**

While the previous changes may be the most important ones, the new standard has also clarified some concepts and modified others. Some of these changes are listed below.

- The old standard asked you to "*define and document the scope of its environmental management system*" (4.1), but it didn't say anything about how this should be done. The new standard clarifies how this ought to be done (4.3). It now asks you to consider your compliance obligations, your corporate context, your physical boundaries, your products and services, your activities and functions, and your authorities and abilities when you define the scope of your EMS. And it asks you to include all products, services, and activities that have significant environmental aspects.
- The new standard no longer refers to *environmental targets*. According to section A.6.2, "*The concept of "target" used in prior editions of this International Standard is captured within the definition of "environmental objective"*". You can, of course, still set targets and call them targets if you wish. The only real difference is that the new ISO 14001 standard thinks of a target as a type of objective.

An *environmental objective* is an environmental result your organization intends to achieve. Your environmental objectives should be based on or derived from your environmental policy and must be consistent with it.

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- The new term "*compliance obligation*" has replaced the cumbersome phrase: "*legal requirements and other requirements to which the organization subscribes*". However, the meaning remains the same. There are two kinds of compliance obligations: mandatory compliance obligations and voluntary compliance obligations. *Mandatory compliance obligations* include laws and regulations while *voluntary compliance obligations* include contractual commitments, industry standards, and ethical codes of conduct. Voluntary obligations become mandatory once you choose to comply with them.
- Life cycle considerations were largely ignored by the old standard. Now they're central. ISO 14001 now expects you to use a life cycle perspective to "*identify the environmental aspects and associated environmental impacts of its activities, products and services that it can control and those that it can influence*" (section 6.1.2).
- The term "*management representative*" has been dropped. The duties and responsibilities that were previously assigned to someone called a "*management representative*" may now be assigned to one person or to many.

The term *life cycle* refers to the consecutive and interlinked stages of a product system from the acquisition of raw materials to end-of-life disposal.

Of course, you may continue to use this job title if you wish.

### PREVIEW OF ISO 14001 2015

ISO's environmental management requirements are described in ISO 14001 sections 4 to 10. The following material will introduce these seven sections.

**Section 4. Context** asks you to start by understanding your organization and its context before you develop its environmental management system (EMS). It asks you to consider the external and internal issues that are relevant to your organization's purpose and to think about the influence these issues could have on its EMS and the results it intends to achieve. It also asks you to identify the interested parties that are relevant to your EMS and to consider the compliance obligations that they expect you to meet. Why? Because your EMS will need to be able to manage all of these influences and obligations. Once you've considered all of this, you're ready to define the scope of your EMS and to begin its development.

An *EMS* is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their environmental compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities.

**Section 5. Leadership** asks your organization's top management to provide leadership for its EMS by accepting responsibility for it, by showing that they support it, and by providing resources. It also expects them to ensure that an environmental policy is formulated, that environmental objectives are established, that compliance obligations are acknowledged, that environmental aspects and impacts are considered, and that EMS roles, responsibilities, and authorities are assigned.

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**Section 6. Planning** starts by asking you to develop a process to consider the risks that could affect your organization's EMS. It then asks you to use this risk planning process to figure out how to address your context, to handle your interested parties, to meet your compliance obligations, to deal with your significant environmental aspects and impacts, and to manage your risks and opportunities. And once you've done all of this it expects you to define actions to address your significant environmental aspects, your compliance obligations, and your risks and opportunities. Then, to make sure that all of these actions will actually be carried out, it asks you to build them into your EMS processes. While this is a lot of planning, you're not done yet. Section 6 also expects you to set environmental objectives at all relevant levels and for all relevant functions, to develop actions to achieve these objectives, and then to figure out how you're going to integrate all of these actions into your organization's processes.

**Section 7. Support** asks you to support your EMS by providing resources, by ensuring the people are competent, by making them aware of their EMS responsibilities, by controlling EMS communications, and by managing EMS documents and records (documented information). In this context, it asks you to start by figuring out how extensive your documentation should be. Once you've figured this out, it asks you to select, include, and control all of the documents and records that your EMS needs.

**Section 8. Operations** asks you to establish your EMS processes and to control how they operate. It asks you to plan how you're going to implement and control the processes that you need in order to meet EMS requirements and in order to implement the actions that were previously built into these processes (in section 6). It asks you to plan how you're going to implement and control the actions that must be taken in order to meet your compliance obligations, to achieve your environmental objectives, to deal with your significant environmental aspects, and to manage the risks and opportunities that could influence your environmental performance. Finally, it asks you to prepare for potential emergency situations and to establish a procedure to respond to these situations when they occur.

**Section 9. Evaluation** asks you to monitor, measure, analyze, and evaluate your organization's environmental performance and compliance and to audit your EMS at planned intervals. It also asks you to carry out management reviews; it asks you to review the suitability, adequacy, and effectiveness of your EMS, to generate appropriate outputs, and to document your results.

**Section 10. Improvement** asks you to identify opportunities and to take all necessary actions to improve your EMS. It asks you to control nonconformities, to take corrective actions, and to enhance the suitability, adequacy, and effectiveness of your EMS.

An organization's *context* is its business environment. It includes all of the factors and conditions that have an influence on its EMS or could be influenced by it.

An *environmental aspect* is an element or characteristic of an activity, product, or service that can interact with the environment. Environmental aspects cause environmental impacts.

### 1. INTRODUCTION

#### OUR APPROACH

##### Plain English

This publication translates ISO 14001 2015 into plain English. It is for anyone who is tired of struggling with sentences that are awkward and muddled, and a writing style that is legalistic and bureaucratic. It is for anyone who is tired of poor quality writing.

If you've studied the original ISO 14001 standard and you're not used to the way standards are written, you probably found it hard to understand. This is not your fault. You found it hard to understand because the sentences often contain too much information and because they tend to be badly written. They're often too long, too dense, and too complex.

Standards are difficult to read because they're usually written by committee.

Typically, ten, twenty, or more people try to agree on what the standard should say and how it ought to be written. Inevitably, the need to reach a consensus is often more important than the need to communicate clearly. And communicating clearly is often made even more difficult because committee members often come from different countries with different languages and cultures.

In order to make the ISO 14001 standard easier to understand, we have taken these complex sentences apart and reassembled them using plain English.

In the course of doing so, we've tried to comply with the following rules:

- Write clearly and plainly.
- Include every single idea.
- Empathize with the reader.
- Construct simple sentences.
- Preserve the original meaning.

The above list points to our particular definition of *quality*. For us, good quality writing is clear, plain, easy to understand, and always empathizes with the reader. And a good quality translation preserves the original meaning and covers every aspect of the original material. In the context of this publication (our product), this is our special definition of *quality*. These are the special characteristics (qualities) that define the quality of our product.

##### Numbering system

The ISO 14001 environmental management requirements are presented in sections 4 to 10. Accordingly, our plain English translation of this standard starts with section 4. We have preserved this numbering system for the core of the standard in order to make it easy for you to cross-reference the original standard with our material. However, at the detailed level we have added a numbering system that you won't find in the original standard. We have sequentially numbered all tasks within each of the seven parts (4 to 10) that make up the core of the standard.

We've also used paragraph indents to distinguish between general tasks and specific tasks. This should make it easier for you to understand the internal logic of each section and to see how it is structured.

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Action oriented

We've used an *action oriented approach* to translate the ISO 14001 requirements into plain English. This means that every sentence that specifies an ISO 14001 requirement begins with an action word (a verb). It also means that every action oriented sentence describes a *task* that must be carried out or a *condition* that must be met. So if you want to implement this ISO standard, all you have to do is carry out these tasks and meet these conditions.

As you study these tasks and conditions you may realize that you've already done some of them or you're already doing what the standard asks you to do. In order to help you distinguish between these types of tasks and conditions and those that need your attention, we've provided a way of recording this information. To the right of each item you'll find a column that you can use to record your response. You could record a DONE, TO DO, or N/A in this column. Or you could simply place a ✓ to indicate that the task has been done or is being done or that the condition has been met and an O/S to indicate that an item is outstanding and still needs to be done.

To the right of this response column, you'll also find a column that contains a wide variety of notes, explanations, definitions, reminders, and cross-references.

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### 2. DEFINITIONS

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| <p>We've translated ISO's environmental management definitions into plain English in order to make them easier to understand. Our definitions are based not only on how the ISO 14001 standard defines these terms but also on how it actually uses them.</p> <p>Terms that aren't defined here tend to have their ordinary nontechnical meanings. Whenever you're not sure about the meaning of a particular word, and it's not defined here, you may wish to consult a dictionary.</p>  | <p>We've also tried to make it easier to find definitions by listing them in alphabetical order.</p>   |
| <p><b>Audit</b></p> <p>An <i>audit</i> is an evidence gathering process. <i>Evidence</i> is used to evaluate how well <i>audit criteria</i> are being met. Audits must be objective, impartial, and independent, and the audit process must be both systematic and documented. Audits can be either internal or external.</p> <p>Internal audits are referred to as first-party audits while external audits can be either second or third party. They can also be combined audits (when two or more management systems of different disciplines are audited together at the same time).</p> <p><i>Audit evidence</i> includes records, factual statements, and other verifiable information that is related to the audit criteria being used. <i>Audit criteria</i> may be thought of as a reference point and include policies, requirements, and other forms of documented information. They are compared against audit evidence to determine how well they are being met. Audit evidence is used to determine how well policies are being implemented and how well requirements are being followed.</p> | <p><i>Objective</i> means factual, <i>impartial</i> means unbiased, and <i>independence</i> can be demonstrated by making sure that internal auditors do not audit their own activities or their own area of responsibility.</p> <p>For more information about auditing, see our ISO 19011 Auditing Library at <a href="http://www.praxiom.com/19011.htm">http://www.praxiom.com/19011.htm</a></p> |
| <p><b>Competence</b></p> <p><i>Competence</i> means being able to apply knowledge and skill to achieve intended results. <i>Being competent</i> means having the knowledge and skill that you need and knowing how to apply it. It means that you're qualified to do the job.</p>   |  |
| <p><b>Compliance obligation</b></p> <p>A <i>compliance obligation</i> is a requirement. There are two kinds of compliance obligations: mandatory compliance obligations and voluntary compliance obligations. <i>Mandatory compliance obligations</i> include laws and regulations while <i>voluntary compliance obligations</i> include contractual commitments, community and industry standards, ethical codes of conduct, and good governance guidelines. A voluntary obligation becomes mandatory once you decide to comply with it.</p>   | <p>The term <i>compliance obligation</i> replaces the rather cumbersome phrase "<i>legal requirements and other requirements to which the organization subscribes</i>". While the words have changed, the meaning remains the same.</p>  |

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| <b>Conformity</b> <p><i>To conform</i> means to meet a requirement (or a compliance obligation). Since there are many kinds of requirements, <i>conformity</i> can take many forms. You can conform (or comply) with <i>mandatory requirements</i> like laws and regulations or with <i>voluntary requirements</i> such as contracts, agreements, codes, and standards.</p> <p>In the context of environmental management, you can conform (or comply) with (or to) the ISO 14001 requirements (or obligations) and to any additional environmental management requirements (or obligations) that your organization establishes for itself.</p> | Since <i>to conform</i> means to meet a requirement and since ISO 14001 now thinks of <i>requirements</i> as <i>compliance obligations</i> , the definition of the term <i>conformity</i> must accommodate this new way of thinking. <p><i>Voluntary requirements</i> become <i>mandatory requirements</i> once an organization decides to comply with them.</p>                      |
| <b>Continual improvement</b> <p>In the context of this EMS standard, <i>continual improvement</i> is a set of recurring activities that organizations use to enhance their environmental performance.</p> <p><i>Environmental performance</i> is enhanced whenever the environmental aspects of activities, processes, products, services, and systems are controlled and whenever adverse environmental impacts are reduced and beneficial environmental impacts are produced.</p>   | <i>Continual improvements</i> do not have to occur continuously without interruption. They can be achieved by carrying out audits, self-assessments, and management reviews. They can also be realized by collecting data, analyzing information, setting objectives, and taking corrective actions.  |
| <b>Corrective action</b> <p><i>Corrective actions</i> are steps that are taken to prevent recurrence by eliminating the cause or causes of an existing nonconformity. The corrective action process tries to make sure that existing nonconformities don't happen again.</p>  | While <i>corrective actions</i> prevent <i>recurrence</i> , <i>preventive actions</i> prevent <i>occurrence</i> . However, the new ISO 14001 standard no longer uses the term <i>preventive action</i> . We're now expected to use risk management concepts and to think of the entire EMS as a preventive action system.   |
| <b>Documented information</b> <p>The term <i>documented information</i> refers to information that must be controlled and maintained and its supporting medium. Documented information can be in any format and on any medium and can come from any source.</p> <p><i>Documented information</i> includes information about the environmental management system and related processes. It also includes all the information that organizations need to operate and all the information that they use to document the results that they achieve (aka records).</p>   | The term <i>documented information</i> is just a new name for what used to be called <i>documents</i> and <i>records</i> . <p>Whenever an ISO 14001 clause uses the term <i>documented information</i> it, by definition, expects you to both control and maintain (or retain) this information. But you don't have to remember this. We'll remind you whenever this is the case.</p> |
| <b>Effectiveness</b> <p><i>Effectiveness</i> refers to the degree to which a planned <i>effect</i> is achieved. Planned activities are effective if these activities are actually carried out and planned results are effective if these results are actually achieved.</p>   |   |

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| <b>Environment</b><br><br>The term <i>environment</i> refers to an organization's natural and human surroundings. An organization's <i>environment</i> extends from within the organization itself to the global system, and includes air, water, land, flora, and fauna (including people), and natural resources of all kinds.   |   |
| <b>Environmental aspect</b><br><br>An <i>environmental aspect</i> is an element or characteristic of an activity, product, or service that interacts or can interact with the environment. <i>Environmental aspects</i> can cause environmental impacts. They can have either beneficial impacts or adverse impacts and can have a direct and decisive impact on the environment or contribute only partially or indirectly to a larger environmental change.  | The new standard (section 6.2.1) expects you to use criteria to identify your organization's significant environmental aspects.                         |
| <b>Environmental condition</b><br><br><i>Environmental conditions</i> are states or characteristics of the environment at a particular point in time. ISO 14001 expects you to identify the environmental conditions that are capable of affecting or being affected by your organization and to figure out what you need to do to prevent or reduce the risk that these conditions could adversely affect its environmental performance.  | We've used the requirements specified in sections 4.1 and 6.1.4 of the new ISO 14001 standard to add substance to this definition.                      |
| <b>Environmental impact</b><br><br>An <i>environmental impact</i> is a change to the environment that is caused either partly or entirely by one or more environmental aspects.<br><br>An environmental aspect can have either a direct and decisive impact on the environment or contribute only partially or indirectly to a larger environmental change. In addition, it can have either a beneficial environmental impact or an adverse environmental impact.  | An <i>environmental aspect</i> is an element or characteristic of an activity, product, or service that interacts or can interact with the environment. |
| <b>Environmental management system</b><br><br>An <i>environmental management system (EMS)</i> is one part of a larger management system and is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their environmental compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities.<br><br>These <i>elements</i> include structures, programs, procedures, processes, practices, plans, rules, roles, regulations, responsibilities, relationships, contracts, agreements, documents, records, methods, tools, techniques, technologies, and resources. |   |

## ISO 14001 2015 TRANSLATED INTO PLAIN ENGLISH

### 2. DEFINITIONS

|   |  |
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| <b>Environmental objective</b> <p>An <i>environmental objective</i> is an environmental result your organization intends to achieve. Your organization's <i>environmental objectives</i> should be based on or derived from its environmental policy and must be consistent with this policy.</p>   |  |
| <b>Environmental performance</b> <p>The term <i>environmental performance</i> refers to the environmental results that are achieved whenever the environmental aspects of activities, processes, products, services, systems, and organizations are managed and controlled. <i>Environmental performance</i> is improved whenever the environmental aspects of activities, processes, products, services, systems, and organizations are managed and controlled and whenever adverse environmental impacts are reduced and beneficial environmental impacts are produced. You can measure environmental performance by using indicators to compare environmental results against environmental objectives and environmental policies (or other suitable criterion).</p> | <p>According to ISO, the term <i>performance</i> means a <i>measurable result</i>. It refers to the measurable results that activities, processes, products, services, systems and organizations are able to achieve.</p> <p><i>Environmental aspects cause environmental impacts.</i> They can have either beneficial impacts or adverse impacts.</p> |
| <b>Environmental policy</b> <p>A <i>policy</i> is a commitment, direction, or intention and is formally stated by the top management of an organization. An <i>environmental policy</i> should make a commitment to protect the environment, to meet all relevant compliance obligations, and to enhance environmental performance.</p>   | We've used the requirements specified in section 5.2 of the new ISO 14001 standard to add some substance to this definition.   |
| <b>Indicator</b> <p>An <i>indicator</i> is a "measurable representation". It is used to indicate or measure the status or condition of an operation or an activity. In the context of this standard, <i>indicators</i> can be used to quantify and evaluate environmental performance. They can be used to measure how much success you've had and how much progress you've made relative to the environmental objectives you wish to achieve and the environmental policy you wish to implement. <i>Indicators</i> can also be used to monitor trends and to support decision making.</p>  |  |
| <b>Interested party</b> <p>In general, an <i>interested party</i> is any person, group, or organization who can affect, be affected by, or believe that they are affected by a decision or activity. In the context of this ISO 14001 standard, an <i>interested party</i> is anyone who can affect, be affected by, or believe that they are affected by the environmental performance of an organization.</p>   | <p><i>Interested parties</i> are also known as <i>stakeholders</i>. Examples include customers, suppliers, regulators, communities, competitors, investors, partners, employees, unions, and nongovernmental organizations (NGOs).</p>   |

## ISO 14001 2015 TRANSLATED INTO PLAIN ENGLISH

### 2. DEFINITIONS

|  |   |
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| <b>Life cycle</b> <p>In the context of this standard, the term <i>life cycle</i> refers to the consecutive and interlinked stages of a product system from the acquisition of raw materials to end-of-life disposal. The <i>life cycle</i> of a product system includes all associated activities, products, and services and may include procured goods and services as well as end-of-life treatment, decommissioning, and disposal.</p>   |   |
| <b>Management system</b> <p>A <i>management system</i> is a set of interrelated or interacting elements that organizations use to formulate policies and objectives and to establish the processes that are needed to ensure that policies are followed and objectives are achieved. These <i>elements</i> include structures, programs, procedures, practices, plans, rules, roles, responsibilities, relationships, contracts, agreements, documents, records, methods, tools, techniques, technologies, and resources.</p> <p>There are many types of management systems. Some of these include environmental management systems, quality management systems, financial management systems, information security management systems, business continuity management systems, disaster management systems, food safety management systems, risk management systems, emergency management systems, and occupational health and safety management systems.</p> | <p>An <i>environmental management system (EMS)</i> is one part of a larger management system and is a set of interrelated or interacting elements that organizations use to meet their environmental compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities.</p> <p>The scope or focus of a management system could be restricted to a specific function or section of an organization or it could include the entire organization. It could even include a function that cuts across several organizations.</p> |
| <b>Measurement</b> <p><i>Measurement</i> is a process that is used to determine a value.</p>   |   |
| <b>Monitoring</b> <p><i>To monitor</i> means to determine the status of an activity, process, or system at different stages or at different times. In order to determine status, you may need to supervise and to continually check and critically observe the activity, process, or system that is being monitored.</p>   |   |
| <b>Nonconformity</b> <p><i>Nonconformity</i> refers to the “<i>non-fulfilment of a requirement</i>”. When an organization fails to meet a requirement, a <i>nonconformity</i> exists. Since there are many kinds of requirements, <i>nonconformity</i> can take many forms. You can fail to conform (or fail to comply) with mandatory requirements like laws and regulations or with voluntary requirements such as contracts, agreements, codes, and standards.</p>  | <p>In the context of environmental management, you might fail to conform (or fail to comply) with the ISO 14001 requirements (or obligations) or to any additional environmental management requirements (or obligations) that your organization establishes for itself.</p>  |

## ISO 14001 2015 TRANSLATED INTO PLAIN ENGLISH

### 2. DEFINITIONS

|   |   |
|---|---|
| <b>Objective</b> <p>An <i>objective</i> is a result you intend to achieve. <i>Objectives</i> can be strategic, tactical, or operational and can apply to an organization as a whole or to a system, process, project, product, or service. Objectives may also be referred to as targets, aims, goals, or intended outcomes.</p>  |   |
| <b>Organization</b> <p>An <i>organization</i> can be a single person or a group that achieves its objectives by using its own functions, responsibilities, authorities, and relationships. It can be a company, corporation, enterprise, firm, partnership, charity, or institution and can be either incorporated or unincorporated and be either privately or publicly owned. It can also be an operating unit that is part of a larger entity.</p>   |   |
| <b>Outsource</b> <p>When an organization makes an arrangement with an outside organization to perform part of a function or process, it is referred to as <i>outsourcing</i>. <i>To outsource</i> means to ask an external organization to perform part of a function or process normally done inhouse. While the outsourced organization is beyond the scope of your EMS, the outsourced process or function itself may fall within the scope.</p>   |   |
| <b>Performance</b> <p>According to ISO, the term <i>performance</i> refers to a <i>measurable result</i>. It refers to the <i>measurable results</i> that activities, processes, products, services, systems and organizations are able to achieve. So whenever processes, products, services, systems, or organizations <i>perform well</i> it means that <i>acceptable results</i> are being achieved.</p>  | This definition allows us to consider <i>performance measurements</i> . It allows us to think about the measurement of organizational performance, process performance, product performance, service performance, systemic performance, and so on. Such measurements can be either quantitative or qualitative. |
| <b>Prevention of pollution</b> <p><i>To prevent pollution</i> means to avoid, reduce, or control the creation, emission, or discharge of contaminants or waste materials. Pollution must be prevented in order to reduce adverse environmental impacts. Organizations use a wide variety of methods, techniques, practices, processes, products, and services to prevent pollution. These include the reduction or elimination of pollution at the source; the efficient use of resources, materials, and energy; the reuse, recovery, reclamation, and recycling of resources; the redesign of processes, products, and services; and the substitution of one type of energy source or substance for another cleaner energy source or substance.</p> | An <i>environmental impact</i> is a change to the environment and can be either positive or negative. <i>Environmental impacts</i> are caused by the environmental aspects of activities, processes, products, services, and systems.   |

## ISO 14001 2015 TRANSLATED INTO PLAIN ENGLISH

### 2. DEFINITIONS

|   |   |
|---|---|
| <b>Procedure</b> <p>A <i>procedure</i> is a way of carrying out a process or an activity. Procedures may or may not be documented.</p>  |   |
| <b>Process</b> <p>A <i>process</i> is a set of activities that are interrelated or that interact with one another. They transform inputs into outputs. <i>Processes</i> are interconnected because the output from one process often becomes the input for another process.</p>   | Processes may or may not be documented.   |
| <b>Requirement</b> <p>A <i>requirement</i> is a need, expectation, or obligation. It can be stated or implied by an organization, its customers, or other interested parties. A <i>specified requirement</i> is one that has been stated (in a document for example), whereas an <i>implied requirement</i> is a need, expectation, or obligation that is common practice or customary.</p>   | Voluntary requirements become obligatory requirements once an organization decides to comply with them.   |
| <b>Risk</b> <p>According to ISO 14001 2015, <i>risk</i> is the “<i>effect of uncertainty</i>” and an <i>effect</i> is a positive or negative deviation from what is expected. <i>Risk</i> is often expressed as a combination of two factors: <i>probability</i> and <i>consequences</i>. It asks two questions: what is the probability that a potential event will occur in the future? And what consequences would this event produce or what impact would it have if it actually occurred? <i>Uncertainty</i> (or lack of certainty) is a state or condition that involves a deficiency of information and leads to inadequate or incomplete knowledge or understanding. In the context of risk management, uncertainty exists whenever the knowledge or understanding of an event, consequence, or likelihood is inadequate or incomplete.</p> | For more on risk management, please see:<br><a href="http://www.praxiom.com/31000.htm">http://www.praxiom.com/31000.htm</a>   |
| <b>Risks and opportunities</b> <p>According to ISO 14001 2015, <i>risks</i> are potential adverse effects (or threats) and <i>opportunities</i> are potential beneficial effects.</p>   |   |
| <b>Top management</b> <p>The term <i>top management</i> normally refers to the people at the top of an organization. It refers to the people who provide resources and delegate authority and who coordinate, direct, and control organizations. However, if the scope of a management system covers only part of an organization, then the term <i>top management</i> refers, instead, to the people who direct and control that part of the organization.</p>   | The term <i>management</i> refers to all the <i>activities</i> that are used to coordinate, direct, and control organizations. In this context, the term <i>management</i> does not refer to people. It refers to what managers do. |

## ISO 14001 2015 TRANSLATED INTO PLAIN ENGLISH

### 3. OVERVIEW

|                        |  |
|------------------------|--|
| <b>4. CONTEXT</b>      | 4.1 Understand your organization and its particular context.<br>4.2 Clarify the needs and expectations of your interested parties.<br>4.3 Define the scope of your environmental management system.<br>4.4 Establish and maintain an environmental management system.  |
| <b>5. LEADERSHIP</b>   | 5.1 Provide leadership by accepting responsibility for the EMS.<br>5.2 Provide leadership by establishing an environmental policy.<br>5.3 Provide leadership by assigning EMS roles and responsibilities.  |
| <b>6. PLANNING</b>     | 6.1 Formulate actions to address your risks and opportunities.<br>6.1.1 Develop processes and prepare plans to establish your EMS.<br>6.1.2 Identify significant environmental aspects and associated impacts.<br>6.1.3 Study environmental aspects and identify compliance obligations.<br>6.1.4 Address environmental aspects, obligations, risks, and opportunities.<br>6.2 Set environmental objectives and make plans to achieve them.<br>6.2.1 Establish environmental objectives for all relevant areas.<br>6.2.2 Establish plans to achieve objectives and evaluate results.   |
| <b>7. SUPPORT</b>      | 7.1 Support your EMS by providing the necessary resources.<br>7.2 Support your EMS by ensuring that people are competent.<br>7.3 Support your EMS by making people aware of their duties.<br>7.4 Support your EMS by controlling your communications.<br>7.4.1 Support your EMS by creating communications processes.<br>7.4.2 Support your EMS by facilitating internal communications.<br>7.4.3 Support your EMS by establishing external communications.<br>7.5 Support your EMS by managing documented information.<br>7.5.1 Support your EMS by using all necessary EMS documents.<br>7.5.2 Support your EMS by managing the use of EMS documents.<br>7.5.3 Support your EMS by controlling the use of EMS documents. |
| <b>8. OPERATIONS</b>   | 8.1 Establish your EMS processes and control how they operate.<br>8.2 Establish your emergency preparedness and response processes.  |
| <b>9. EVALUATION</b>   | 9.1 Determine your environmental performance and compliance.<br>9.1.1 Investigate your organization's environmental performance.<br>9.1.2 Evaluate your organization's environmental compliance.<br>9.2 Audit your organization's environmental management system.<br>9.2.1 Conduct EMS conformance audits and document your results.<br>9.2.2 Establish internal audit methods, schedules, and requirements.<br>9.3 Review your organization's environmental management system.   |
| <b>10. IMPROVEMENT</b> | 10.1 Take action to improve your EMS and achieve intended outcomes.<br>10.2 Control nonconformities and take appropriate corrective action.<br>10.3 Enhance the suitability, adequacy, and effectiveness of your EMS.  |

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### 4. CONTEXT

#### 4.1 UNDERSTAND YOUR ORGANIZATION AND ITS PARTICULAR CONTEXT

|    |   |  |  |
|----|---|--|--|
| 1  | Identify and understand your organization's unique context.   |  | An organization's <i>context</i> is its business environment. It includes all of the internal and external factors and conditions that have an influence on its EMS or could be influenced by it.  |
| 2  | Identify and understand your organization's <i>external context</i> .   |  |  |
| 3  | Identify the <i>external issues</i> that are relevant to your organization's purpose.   |  |  |
| 4  | Identify and understand the external issues that could influence your organization's environmental management system (EMS) and the results it intends to achieve.           |  | An <i>environmental management system (EMS)</i> is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities. These <i>elements</i> include structures, programs, procedures, processes, practices, plans, rules, roles, responsibilities, relationships, contracts, agreements, documents, records, methods, tools, techniques, technologies, and resources. |
| 5  | Think about how legal issues could influence your organization's EMS.   |  |  |
| 6  | Think about how social issues could influence your organization's EMS.  |  |  |
| 7  | Think about how natural issues could influence your organization's EMS.   |  |  |
| 8  | Think about how cultural issues could influence your organization's EMS.  |  |  |
| 9  | Think about how political issues could influence your organization's EMS.   |  |  |
| 10 | Think about how financial issues could influence your organization's EMS.   |  |  |
| 11 | Think about how economic issues could influence your organization's EMS.  |  |  |
| 12 | Think about how technological issues could influence your organization's EMS.   |  |  |
| 13 | Think about how environmental issues could influence your organization's EMS.   |  |  |
| 14 | Identify the <i>external conditions</i> that are relevant to your organization's purpose.   |  | Think about how things like air and water quality, climate change, biodiversity, land use, and natural resource availability could influence your EMS.   |
| 15 | Consider the external environmental conditions that <i>could influence</i> your organization's environmental management system (EMS) and the results it intends to achieve. |  | Think about how things like air and water quality, climate change, biodiversity, land use, and natural resource availability could be influenced by your organization.   |
| 16 | Consider the external environmental conditions that could <i>be influenced by</i> your organization.  |  |  |
| 17 | Identify and understand your organization's <i>internal context</i> .   |  |  |
| 18 | Identify the <i>internal issues</i> that are relevant to your organization's purpose.   |  |  |
| 19 | Identify and understand the internal issues that could influence your organization's environmental management system (EMS) and the results it intends to achieve.           |  |  |
| 20 | Think about how your organization's culture could influence its EMS.  |  |  |

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### 4. CONTEXT

|    |  |  |  |
|----|--|--|--|
| 21 | Think about how your organization's services could influence its EMS.  |  |  |
| 22 | Think about how your organization's products could influence its EMS.  |  |  |
| 23 | Think about how your organization's activities could influence its EMS.  |  |  |
| 24 | Think about how your organization's capabilities could influence its EMS.  |  |  |
| 25 | Think about how your organization's strategic direction could influence its EMS.   |  |  |
| 26 | Identify the <i>internal conditions</i> that are relevant to your organization's purpose.  |  |  |
| 27 | Consider the internal environmental conditions that <i>could influence</i> your organization's environmental management system (EMS) and the results it intends to achieve.        |  |  |
| 28 | Consider the internal environmental conditions that <i>could be influenced by</i> your organization's environmental management system (EMS) and the results it intends to achieve. |  |  |

#### 4.2 CLARIFY THE NEEDS AND EXPECTATIONS OF YOUR INTERESTED PARTIES

|    |   |  |   |
|----|---|--|---|
| 29 | Identify the interested parties that are relevant to your organization's EMS.   |  | In general, an <i>interested party</i> is anyone who can affect, be affected by, or believe that they are affected by a decision or an activity. In this case, it is a person, group, or organization that can affect, be affected by, or believe that they are affected by your environmental performance. |
| 30 | Identify those who are interested in your environmental performance.            |  |   |
| 31 | Determine the needs and expectations of your organization's interested parties. |  |   |
| 32 | Identify those that are relevant to your environmental performance.             |  | <i>Compliance obligations</i> used to be called " <i>legal requirements and other requirements to which the organization subscribes</i> ".  |
| 33 | Identify those that have become compliance obligations (requirements).          |  |   |

#### 4.3 DEFINE THE SCOPE OF YOUR ENVIRONMENTAL MANAGEMENT SYSTEM

|    |   |  |   |
|----|---|--|---|
| 34 | Clarify boundaries and think about what your EMS should apply to.           |  |   |
| 35 | Use boundary and applicability information to define the scope of your EMS. |  |   |
| 36 | Consider your compliance obligations when you define your scope.            |  | <i>Compliance obligations</i> are discussed in 4.2. |
| 37 | Consider your corporate context when you define your scope.                 |  | Your <i>context</i> was defined in part 4.1.        |
| 38 | Consider how <i>external issues</i> could influence your EMS.               |  |   |

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### 4. CONTEXT

|    |   |  |   |
|----|---|--|---|
| 39 | Consider the impact environmental conditions could have.                      |  |   |
| 40 | Consider how <i>internal issues</i> could influence your EMS.                 |  |   |
| 41 | Consider your physical boundaries when you define your scope.                 |  |   |
| 42 | Consider your products and services when you define your scope.               |  |   |
| 43 | Consider your activities and functions when you define your scope.            |  |   |
| 44 | Consider your authorities and abilities when you define your scope.           |  |   |
| 45 | Consider your organization's ability to exercise influence and control.       |  |   |
| 46 | Define the scope of your environmental management system (EMS).               |  |   |
| 47 | Include all the products that fall within the scope (boundary) of your EMS.   |  |   |
| 48 | Include all the services that fall within the scope (boundary) of your EMS.   |  |   |
| 49 | Include all the activities that fall within the scope (boundary) of your EMS. |  |   |
| 50 | Document the scope of your environmental management system.                   |  | This is "documented information". It must be controlled and retained or maintained. |
| 51 | Control the document that defines the scope of your EMS.                      |  |   |
| 52 | Maintain your organization's EMS scope document.                              |  |   |

#### 4.4 ESTABLISH AND MAINTAIN AN ENVIRONMENTAL MANAGEMENT SYSTEM

|    |  |  |
|----|--|--|
| 53 | Consider your organization's <i>context</i> when you establish and maintain its EMS. | An organization's <i>context</i> is its business environment. It includes all of the internal and external factors and conditions that have an influence on its EMS or could be influenced by it.  |
| 54 | Consider your <i>external context</i> when you develop your organization's EMS.      |  |
| 55 | Think about how external issues could influence your organization's EMS.             |  |
| 56 | Think about how external environmental conditions could influence your EMS.          | An <i>environmental management system (EMS)</i> is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities. |
| 57 | Think about how these external conditions could be influenced by your EMS.           |  |
| 58 | Think about how external interested parties could influence your EMS.                |  |
| 59 | Think about your compliance obligations when you develop your EMS.                   |  |

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### 4. CONTEXT

|    |  |  |  |
|----|--|--|--|
| 60 | Consider your <i>internal context</i> when you develop your EMS.               |  |  |
| 61 | Think about how internal issues could influence your EMS.                      |  |  |
| 62 | Think about how internal environmental conditions could influence your EMS.    |  |  |
| 63 | Think about how these internal conditions could be influenced by your EMS.     |  |  |
| 64 | Think about how internal interested parties could influence your EMS.          |  |  |
| 65 | Develop an EMS in accordance with the requirements of this ISO 14001 standard. |  |  |
| 66 | Establish the processes that you need and clarify your process interactions.   |  |  |
| 67 | Implement, maintain, and improve your environmental management system.         |  |  |
| 68 | Use your organization's EMS to enhance your environmental performance.         |  |  |
| 69 | Use your organization's EMS to achieve your system's intended outcomes.        |  |  |

For those who wish to use our publication as a checklist, we have provided a column to the right of each task that you can use to record your response. You could record a *DONE*, *TO DO*, or *N/A* in this column, or you could simply place a  to indicate that the task has been or is being performed or you could record an *O/S* to indicate that an item is outstanding.

In the spaces below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates.

|               |  |
|---------------|--|
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### 5. LEADERSHIP

#### 5.1 PROVIDE LEADERSHIP BY ACCEPTING RESPONSIBILITY FOR THE EMS

|    |  |  |
|----|--|--|
| 1  | Accept responsibility for your organization's EMS.   | Part 5 must be done by top management.   |
| 2  | Be accountable for ensuring that EMS is effective.   | An <i>environmental management system (EMS)</i> is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities. |
| 3  | Demonstrate your commitment to your EMS.   |  |
| 4  | Ensure that an environmental policy is formulated.   |  |
| 5  | Make sure that your policy supports your strategic direction.  |  |
| 6  | Make sure that your policy is compatible with your context.  |  |
| 7  | Ensure that environmental objectives are established.  | An <i>environmental objective</i> is an environmental result your organization intends to achieve. Your environmental objectives should be based on or derived from your environmental policy and must be consistent with it.  |
| 8  | Make sure that objectives support your strategic direction.  |  |
| 9  | Make sure that objectives are compatible with your context.  |  |
| 10 | Ensure that EMS requirements are built into the EMS.   |  |
| 11 | Make sure that requirements become part of core processes.   |  |
| 12 | Ensure that your EMS achieves all intended results.  |  |
| 13 | Ensure that all necessary EMS resources are available.   |  |
| 14 | Communicate your commitment to the EMS.  |  |
| 15 | Explain why environmental management is important.   |  |
| 16 | Explain why the EMS must be effective.   |  |
| 17 | Explain why EMS requirements must be met.  |  |
| 18 | Explain why continual improvement is essential.  |  |
| 19 | Expect your managers to be accountable for their EMS.  |  |
| 20 | Expect your organization's top managers to accept responsibility for making sure that the EMS is effective.                      |  |
| 21 | Expect all relevant managers to demonstrate their leadership and commitment to the EMS within their own areas of responsibility. |  |
| 22 | Encourage your personnel to personally support their EMS.  |  |
| 23 | Ask people to contribute to making the EMS as effective as possible.   |  |

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### 5. LEADERSHIP

#### 5.2 PROVIDE LEADERSHIP BY ESTABLISHING AN ENVIRONMENTAL POLICY

|    |  |  |   |
|----|--|--|---|
| 24 | Develop an environmental policy.   |  | A <i>policy</i> is a commitment, direction, or intention and is formally stated by the top management of an organization. An <i>environmental policy</i> should make a commitment to protect the environment, to meet compliance obligations, and to enhance environmental performance. |
| 25 | Make sure that it supports your organization's purpose.                    |  |   |
| 26 | Make sure that it is consistent with the scope of your EMS.                |  |   |
| 27 | Make sure that it can be used to set environmental objectives.             |  |   |
| 28 | Formulate your environmental policy.                                       |  |   |
| 29 | Consider your <i>context</i> when you formulate your policy.               |  | An organization's <i>context</i> is its business environment. It includes all of the internal and external factors and conditions that have an influence on its EMS or could be influenced by it.   |
| 30 | Consider your external context when you prepare your environmental policy. |  |   |
| 31 | Consider external environmental conditions when you prepare your policy.   |  |   |
| 32 | Consider external interested parties when you prepare your policy.         |  |   |
| 33 | Consider your internal context when you prepare your environmental policy. |  |   |
| 34 | Consider internal environmental conditions when you prepare your policy.   |  |   |
| 35 | Consider internal interested parties when you prepare your policy.         |  |   |
| 36 | Consider the environment when you formulate your policy.                   |  |   |
| 37 | Make a commitment to protect the environment and prevent pollution.        |  | A note to this section suggests that you could also make a commitment to protect ecosystems, to address climate change, and to support sustainability and biodiversity. However, these are just suggestions.  |
| 38 | Make a commitment to prevent adverse environmental impacts.                |  |   |
| 39 | Consider the nature and scale of your organization's products.             |  |   |
| 40 | Consider the environmental impacts your products have.                     |  |   |
| 41 | Consider the nature and scale of your organization's services.             |  |   |
| 42 | Consider the environmental impacts your services have.                     |  |   |
| 43 | Consider the nature and scale of your organization's activities.           |  |   |
| 44 | Consider the environmental impacts your activities have.                   |  |   |

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### 5. LEADERSHIP

|    |  |  |  |
|----|--|--|--|
| 45 | Consider your compliance obligations when you formulate your policy. |  | <i>Compliance obligations</i> used to be called “ <i>legal requirements and other requirements to which the organization subscribes</i> ”.   |
| 46 | Make a commitment to meet your compliance obligations.               |  |  |
| 47 | Consider your organization's EMS when you formulate your policy.     |  |  |
| 48 | Make a commitment to the continual improvement of your EMS.          |  |  |
| 49 | Make a commitment to enhance your environmental performance.         |  |  |
| 50 | Implement your environmental policy.                                 |  |  |
| 51 | Document your environmental policy.                                  |  |  |
| 52 | Communicate your environmental policy.                               |  | An <i>environmental management system (EMS)</i> is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities. These <i>elements</i> include structures, programs, procedures, processes, practices, plans, rules, roles, responsibilities, relationships, contracts, agreements, documents, records, methods, tools, techniques, technologies, and resources. |
| 53 | Expect your personnel to comply with your policy.                    |  |  |
| 54 | Make your environmental policy available to interested parties.      |  |  |
| 55 | Maintain your environmental policy.                                  |  |  |
| 56 | Maintain and control your policy documents.                          |  | This is “ <i>documented information</i> ”. It must be controlled and retained or maintained.   |

#### 5.3 PROVIDE LEADERSHIP BY ASSIGNING EMS ROLES AND RESPONSIBILITIES

|    |   |  |                                       |
|----|---|--|---------------------------------------|
| 57 | Provide effective environmental leadership.   |  | Top management is expected to do 5.3. |
| 58 | Assign all EMS roles, responsibilities, and authorities.  |  |                                       |
| 59 | Assign responsibility and authority for ensuring that your EMS complies with this international standard. |  |                                       |
| 60 | Assign responsibility and authority for reporting to top management on the performance of your EMS.       |  |                                       |
| 61 | Assign responsibility and authority for reporting on your organization's environmental performance.       |  |                                       |
| 62 | Communicate all EMS roles, responsibilities, and authorities.   |  |                                       |
| 63 | Discuss EMS roles, responsibilities, and authorities with personnel.                                      |  |                                       |

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## 6. PLANNING

### 6.1 FORMULATE ACTIONS TO ADDRESS YOUR RISKS AND OPPORTUNITIES

#### 6.1.1 DEVELOP PROCESSES AND PREPARE PLANS TO ESTABLISH YOUR EMS

|    |   |  |  |
|----|---|--|--|
| 1  | Develop the processes that you need to meet EMS requirements.   |  |  |
| 2  | Establish processes needed to plan and implement your EMS.  |  |  |
| 3  | Establish processes needed to meet compliance obligations (6.1.3).  |  | Numbers in brackets are related sections |
| 4  | Establish processes needed to address risks and opportunities (6.1.1).  |  |  |
| 5  | Establish processes needed to determine environmental aspects (6.1.2).  |  |  |
| 6  | Establish processes needed to maintain documented information (6.1.1).  |  |  |
| 7  | Implement processes needed to plan and implement your EMS.  |  |  |
| 8  | Maintain processes needed to plan and implement your EMS.   |  |  |
| 9  | Plan the establishment of your environmental management system.   |  |  |
| 10 | Consider the scope of your environmental management system (4.3).   |  |  |
| 11 | Consider how you're going to address your organization's context (4.1).   |  |  |
| 12 | Consider how you're going to manage the issues that could influence your EMS.   |  |  |
| 13 | Plan how you're going to manage your organization's external issues.  |  |  |
| 14 | Plan how you're going to manage your organization's internal issues.  |  |  |
| 15 | Consider how you're going to handle your organization's interested parties.   |  |  |
| 16 | Plan how you're going to meet their requirements (needs and expectations).  |  |  |
| 17 | Consider how you're going to determine your risks and opportunities.  |  |  |
| 18 | Identify risks and opportunities related to your context (4.1).   |  |  |
| 19 | Consider how your organization's context could potentially affect how well its EMS is able to achieve intended outcomes.            |  |  |
| 20 | Identify risks and opportunities related to your interested parties (4.2).  |  |  |
| 21 | Consider how your organization's interested parties could potentially affect how well its EMS is able to achieve intended outcomes. |  |  |

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|    |   |  |   |
|----|---|--|---|
| 22 | Identify risks and opportunities related to your compliance obligations (6.1.3).  |  | Numbers in brackets are related sections  |
| 23 | Identify risks and opportunities related to your environmental aspects (6.1.2).   |  |   |
| 24 | Consider how you're going to identify potential emergency situations (8.2).   |  |   |
| 25 | Identify emergency situations that could have an environmental impact.  |  |   |
| 26 | Consider how you're going to ensure that your EMS achieves intended results.  |  |   |
| 27 | Figure out how you're going to prevent or reduce undesired effects.   |  |   |
| 28 | Figure out what you need to do to prevent or reduce the risk that external environmental conditions could adversely affect your organization. |  |   |
| 29 | Figure out what you need to do to ensure that EMS is continually improved.  |  |   |
| 30 | Establish environmental management planning documents and records.  |  |   |
| 31 | Document the risks and opportunities that need to be addressed.   |  |   |
| 32 | Document the processes needed to plan and manage your EMS.  |  |   |
| 33 | Document processes needed to meet compliance obligations (6.1.3).   |  |   |
| 34 | Document processes needed to address risks and opportunities (6.1.1).   |  |   |
| 35 | Document processes needed to determine environmental aspects (6.1.2).   |  |   |
| 36 | Document processes needed to maintain documented information (6.1.1).   |  |   |
| 37 | Maintain and control your EMS planning documents and records.   |  | This is "documented information". It must be controlled and retained or maintained. |

#### 6.1.2 IDENTIFY SIGNIFICANT ENVIRONMENTAL ASPECTS AND ASSOCIATED IMPACTS

|    |  |  |   |
|----|--|--|---|
| 38 | Use risk planning process (from 6.1.1) to identify <i>environmental aspects</i> .    |  |   |
| 39 | Identify the environmental aspects that fall within the scope of your EMS.           |  | Scope was defined in part 4.3, above.   |
| 40 | Identify those environmental aspects you can influence or control.                   |  | An <i>environmental aspect</i> is an element or characteristic of an activity, product, or service that interacts with the environment. |
| 41 | Identify environmental aspects for all <i>product life cycles</i> .                  |  |   |
| 42 | Identify environmental aspects for existing products.                                |  |   |
| 43 | Consider how your products affect the environment under normal operating conditions. |  |   |

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|----|--|--|
| 44 | Consider how your products affect the environment under abnormal operating conditions.   | <i>Environmental aspects can cause environmental impacts. They can have either beneficial impacts or adverse impacts and can have a direct and decisive impact on the environment or contribute only partially or indirectly to a larger environmental change.</i> |
| 45 | Consider how your products could affect the environment during potential emergencies.    |  |
| 46 | Identify environmental aspects when products change.                                     |  |
| 47 | Consider environmental aspects when you plan product changes.                            |  |
| 48 | Consider environmental aspects when you develop new products.                            |  |
| 49 | Identify environmental aspects for all <i>service life cycles</i> .                      |  |
| 50 | Identify environmental aspects for existing services.                                    |  |
| 51 | Consider how your services affect the environment under normal operating conditions.     |  |
| 52 | Consider how your services affect the environment under abnormal operating conditions.   |  |
| 53 | Consider how your services could affect the environment during potential emergencies.    |  |
| 54 | Identify environmental aspects when services change.                                     |  |
| 55 | Consider environmental aspects when you plan service changes.                            |  |
| 56 | Consider environmental aspects when you develop new services.                            |  |
| 57 | Identify environmental aspects for all <i>activity life cycles</i> .                     |  |
| 58 | Identify environmental aspects for existing activities.                                  |  |
| 59 | Consider how your activities affect the environment under normal operating conditions.   |  |
| 60 | Consider how your activities affect the environment under abnormal operating conditions. |  |
| 61 | Consider how your activities could affect the environment during potential emergencies.  |  |
| 62 | Identify environmental aspects when activities change.                                   |  |

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|    |  |  |   |
|----|--|--|---|
| 63 | Consider environmental aspects when you plan activity changes.   |  |   |
| 64 | Consider environmental aspects when you develop new activities.  |  |   |
| 65 | Identify environmental aspects under abnormal operating conditions.  |  |   |
| 66 | Consider how abnormal operating conditions and reasonably foreseeable emergency situations could affect the environment.               |  |   |
| 67 | Document your organization's environmental aspects.  |  |   |
| 68 | Maintain and control documents describing your environmental aspects.  |  | This is "documented information". It must be controlled and retained or maintained. |
| 69 | Use risk planning process (from 6.1.1) to identify significant environmental aspects.  |  |   |
| 70 | Establish criteria to identify significant environmental aspects.  |  |   |
| 71 | Use your criteria to identify your significant environmental aspects.  |  |   |
| 72 | Study your environmental aspects and select those that have or can have a significant impact on the environment.                       |  |   |
| 73 | Identify significant environmental aspects for all product life cycles.  |  |   |
| 74 | Identify significant environmental aspects for all service life cycles.  |  |   |
| 75 | Identify significant environmental aspects for all activity life cycles.   |  |   |
| 76 | Communicate your organization's significant environmental aspects.   |  |   |
| 77 | Discuss your organization's significant environmental aspects with personnel at all relevant levels and within all relevant functions. |  |   |
| 78 | Document your organization's significant environmental aspects.  |  |   |
| 79 | Maintain and control documents describing your significant aspects.  |  |   |
| 80 | Document the criteria used to identify significant environmental aspects.  |  |   |
| 81 | Maintain and control documents describing your aspect selection criteria.  |  | This is "documented information". It must be controlled and retained or maintained. |
| 82 | Use risk planning process (from 6.1.1) to identify <i>environmental impacts</i> .  |  |   |

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|     |  |   |
|-----|--|---|
| 83  | Identify the environmental impacts that fall within the scope of your EMS.             | <p>An <i>environmental impact</i> is a change to the environment that is caused either partly or entirely by one or more <i>environmental aspects</i>. An environmental aspect can have either a direct and decisive impact on the environment or contribute only partially or indirectly to a larger environmental change. In addition, it can have either a beneficial environmental impact or an adverse environmental impact.</p> |
| 84  | Identify environmental impacts for all <i>product life cycles</i> .                    |   |
| 85  | Identify environmental impacts for existing products.                                  |   |
| 86  | Consider how your products impact the environment under normal operating conditions.   |   |
| 87  | Consider how your products impact the environment under abnormal operating conditions. |   |
| 88  | Consider how your products could impact the environment during potential emergencies.  |   |
| 89  | Identify environmental impacts when products change.                                   |   |
| 90  | Consider environmental impacts when you plan product changes.                          |   |
| 91  | Consider environmental impacts when you develop new products.                          |   |
| 92  | Identify environmental impacts for all <i>service life cycles</i> .                    |   |
| 93  | Identify environmental impacts for existing services.                                  | <p>Consider how your services impact the environment under normal operating conditions.</p>   |
| 94  | Consider how your services impact the environment under normal operating conditions.   |   |
| 95  | Consider how your services impact the environment under abnormal operating conditions. |   |
| 96  | Consider how your services could impact the environment during potential emergencies.  |   |
| 97  | Identify environmental impacts when services change.                                   |   |
| 98  | Consider environmental impacts when you plan service changes.                          |   |
| 99  | Consider environmental impacts when you develop new services.                          | <p>Identify environmental impacts for all <i>activity life cycles</i>.</p>  |
| 100 | Identify environmental impacts for all <i>activity life cycles</i> .                   |   |
| 101 | Identify environmental impacts for existing activities.                                |   |
| 102 | Consider how your activities impact the environment under normal operating conditions. |   |

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|-----|--|--|---|
| 103 | Consider how your activities impact the environment under abnormal operating conditions. |  |   |
| 104 | Consider how your activities could impact the environment during potential emergencies.  |  |   |
| 105 | Identify environmental impacts when activities change.                                   |  |   |
| 106 | Consider environmental impacts when you plan activity changes.                           |  |   |
| 107 | Consider environmental impacts when you develop new activities.                          |  |   |
| 108 | Document your organization's environmental impacts.                                      |  | This is "documented information". It must be controlled and retained or maintained. |
| 109 | Maintain documents describing your environmental impacts.                                |  |   |
| 110 | Control documents describing your environmental impacts.                                 |  |   |

#### 6.1.3 STUDY ENVIRONMENTAL ASPECTS AND IDENTIFY COMPLIANCE OBLIGATIONS

|     |   |  |  |
|-----|---|--|--|
| 111 | Use your risk planning process (from 6.1.1) to identify compliance obligations.   |  | Some interested party <i>expectations and needs</i> become <i>compliance obligations</i> .   |
| 112 | Determine the compliance obligations that fall within the scope of your EMS.  |  | <i>Compliance obligations</i> include national and international as well as local and regional laws and regulations. They also include agreements that are established with governments, customers, community groups and others as well as commitments, guidelines, principles, or codes of practice that affect how environmental aspects and impacts are managed and controlled. |
| 113 | Identify the compliance obligations that influence and control how your organization's environmental aspects are handled. |  |  |
| 114 | Clarify how these compliance obligations apply to your organization.  |  |  |
| 115 | Document your organization's particular EMS compliance obligations.   |  |  |
| 116 | Maintain and control documents describing your compliance obligations.  |  | This is "documented information". It must be controlled and retained or maintained.  |
| 117 | Facilitate access to your organization's EMS compliance obligations.  |  |  |
| 118 | Consider compliance obligations when you establish your organization's EMS.   |  |  |
| 119 | Make sure that your EMS will help you fulfil your compliance obligations.   |  |  |
| 120 | Consider your compliance obligations when you implement your EMS.   |  |  |
| 121 | Consider your compliance obligations while you maintain your EMS.   |  |  |
| 122 | Consider compliance obligations as you continually improve your EMS.  |  |  |

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#### 6.1.4 ADDRESS ENVIRONMENTAL ASPECTS, OBLIGATIONS, RISKS, AND OPPORTUNITIES

|     |  |  |  |
|-----|--|--|--|
| 123 | Plan how you're going to ensure that your EMS achieves its intended outcomes.  |  |  |
| 124 | Plan how you're going to address your significant environmental aspects.   |  | These were discussed in part 6.1.2, above.                               |
| 125 | Plan how you're going to address your environmental compliance obligations.  |  | These were discussed in part 6.1.3, above.                               |
| 126 | Plan how you're going to address your environmental risks and opportunities.   |  | These were discussed in part 6.1.1, above.                               |
| 127 | Formulate actions to ensure that your EMS achieves its intended outcomes.  |  | Actions are also planned in part 6.2.2, below.                           |
| 128 | Consider your technological options and your financial, operational, and business requirements when you formulate these actions. |  |  |
| 129 | Figure out how you're going to integrate these actions into your EMS processes or make them part of other business processes.    |  | Part 8.1 expects you to plan how to implement and control these actions. |
| 130 | Carry out actions to ensure that your EMS achieves its intended outcomes.  |  | Part 8.1 asks you to implement these actions.                            |
| 131 | Evaluate the effectiveness of actions taken to address environmental aspects.  |  | Part 9.1 asks you to evaluate these actions.                             |
| 132 | Evaluate the effectiveness of actions taken to address compliance obligations.   |  |  |
| 133 | Evaluate the effectiveness of actions taken to address risks and opportunities.  |  |  |

#### 6.2 SET ENVIRONMENTAL OBJECTIVES AND MAKE PLANS TO ACHIEVE THEM

##### 6.2.1 ESTABLISH ENVIRONMENTAL OBJECTIVES FOR ALL RELEVANT AREAS

|     |   |  |   |
|-----|---|--|---|
| 134 | Clarify criteria for setting environmental objectives.                |  | An <i>environmental objective</i> is a result your organization intends to achieve. |
| 135 | Ensure that objectives are consistent with your environmental policy. |  |   |
| 136 | Ensure that objectives are measurable (whenever this is practicable). |  |   |
| 137 | Ensure that objectives consider your options and requirements.        |  |   |
| 138 | Ensure that objectives consider your technological options.           |  |   |
| 139 | Ensure that objectives consider your business requirements.           |  |   |
| 140 | Ensure that they consider your operational requirements.              |  |   |

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|-----|---|--|--|
| 141 | Ensure that they consider your financial requirements.              |  |  |
| 142 | Set environmental objectives in all relevant areas.                 |  |  |
| 143 | Set objectives at relevant levels and for relevant functions.       |  |  |
| 144 | Set objectives that address your specific risks and opportunities.  |  | Also see 6.1.1 on risks and opportunities. |
| 145 | Set objectives that address your particular compliance obligations. |  | Also see 6.1.3 on compliance obligations.  |
| 146 | Set objectives that address your significant environmental aspects. |  | Also see 6.1.2 on environmental aspects.   |
| 147 | Communicate your environmental objectives.                          |  |  |
| 148 | Document your environmental objectives.                             |  |  |
| 149 | Control documents that list environmental objectives.               |  |  |
| 150 | Maintain documents that list environmental objectives.              |  |  |
| 151 | Monitor your environmental objectives.                              |  |  |
| 152 | Update your environmental objectives.                               |  |  |

#### 6.2.2 ESTABLISH PLANS TO ACHIEVE OBJECTIVES AND EVALUATE RESULTS

|     |   |  |   |
|-----|---|--|---|
| 153 | Establish plans to achieve your environmental objectives.       |  |   |
| 154 | Develop actions to achieve your environmental objectives.       |  | Part 8.1 asks you to implement these actions. |
| 155 | Figure out how to integrate actions into business processes.    |  |   |
| 156 | Figure out who will be responsible for achieving objectives.    |  |   |
| 157 | Figure out what resources will be needed to achieve objectives. |  |   |
| 158 | Figure out when environmental objectives must be achieved.      |  |   |
| 159 | Figure out how you're going to evaluate your results.           |  |   |
| 160 | Monitor how well objectives are being achieved.                 |  |   |
| 161 | Establish indicators to monitor progress.                       |  |   |

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### 7. SUPPORT

#### 7.1 SUPPORT YOUR EMS BY PROVIDING THE NECESSARY RESOURCES

|    |   |  |
|----|---|--|
| 1  | Determine the resources that your EMS needs.                            |  |
| 2  | Identify the resources that are needed to establish your EMS.           |  |
| 3  | Identify the resources that are needed to implement your EMS.           |  |
| 4  | Identify the resources that are needed to maintain your EMS.            |  |
| 5  | Identify the resources that are needed to continually improve your EMS. |  |
| 6  | Provide the resources that your EMS needs.                              |  |
| 7  | Provide the resources that are needed to establish your EMS.            |  |
| 8  | Provide the resources that are needed to implement your EMS.            |  |
| 9  | Provide the resources that are needed to maintain your EMS.             |  |
| 10 | Provide the resources that are needed to continually improve your EMS.  |  |

An *environmental management system (EMS)* is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities. These *elements* include structures, programs, procedures, processes, practices, plans, rules, roles, responsibilities, relationships, contracts, agreements, documents, records, methods, tools, techniques, technologies, and resources.

#### 7.2 SUPPORT YOUR EMS BY ENSURING THAT PEOPLE ARE COMPETENT

|    |   |  |  |
|----|---|--|--|
| 11 | Clarify your organization's environmental competence requirements.  |  |  |
| 12 | Identify those under your control who affect environmental performance.   |  |  |
| 13 | Determine the competence requirements of the people under your organization's control who have an impact on its environmental performance and its ability to meet compliance obligations. |  | The term <i>environmental performance</i> refers to the results that are achieved whenever the environmental aspects of activities, processes, products, services, and systems are managed and controlled. |
| 14 | Determine the training needs of the people under your organization's control who have an impact on its environmental performance and its ability to meet compliance obligations.          |  |  |
| 15 | Determine your organization's unique EMS training needs.  |  |  |
| 16 | Make sure that people have the competence they need to handle the environmental aspects of activities, processes, products, services, and systems.  |  |  |
| 17 | Make sure that they have the appropriate education.   |  |  |
| 18 | Make sure that they have the appropriate training.  |  |  |
| 19 | Make sure that they have the appropriate experience.  |  |  |

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|    |   |  |   |
|----|---|--|---|
| 20 | Acquire competence whenever shortcomings are discovered.  |  |   |
| 21 | Acquire the necessary competence whenever personnel fail to meet your organization's environmental competence requirements.   |  |   |
| 22 | Consider helping your personnel to improve.   |  |   |
| 23 | Consider providing suitable training.   |  |   |
| 24 | Consider offering mentoring services.   |  |   |
| 25 | Consider hiring competent people.   |  |   |
| 26 | Consider hiring competent employees.  |  |   |
| 27 | Consider hiring competent contractors.  |  |   |
| 28 | Consider reassigning unsuitable personnel.  |  |   |
| 29 | Document the competence of those who affect environmental performance.  |  |   |
| 30 | Retain your documentation and use it as evidence to show that people have the competence they need to handle the environmental aspects of activities, processes, products, services, and systems. |  |   |
| 31 | Control all personnel records of environmental competence.  |  | This is "documented information". It must be controlled and retained or maintained. |
| 32 | Evaluate the effectiveness of actions taken to acquire competence.  |  |   |

#### 7.3 SUPPORT YOUR EMS BY MAKING PEOPLE AWARE OF THEIR DUTIES

|    |  |  |  |
|----|--|--|--|
| 33 | Make personnel aware of your organization's EMS.   |  |  |
| 34 | Share information about your EMS with the people who carry out work that is under your organization's control.               |  |  |
| 35 | Make sure that they are aware of your environmental policy.  |  | Part 5.2 discusses environmental policy.     |
| 36 | Make sure that they are aware of your environmental objectives.  |  | Part 6.2 discusses environmental objectives. |
| 37 | Make sure that they are aware of your environmental aspects.   |  | Part 6.1.2 discusses environmental aspects.  |
| 38 | Make sure that they're aware of the significant environmental aspects that either influence or are influenced by their work. |  |  |
| 39 | Make sure that they are aware of your environmental impacts.   |  | Part 6.1.2 discusses environmental impacts.  |

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|----|--|--|--|
| 40 | Make sure that they're aware of the actual or potential environmental impacts that are associated with their work. |  |  |
| 41 | Make sure that they are aware of how they can support your EMS.  |  |  |
| 42 | Explain why they need to meet all EMS requirements and obligations.  |  |  |
| 43 | Explain what could happen if they fail to meet all relevant EMS requirements and compliance obligations.           |  | Part 6.1.3 discusses compliance obligations. |
| 44 | Explain how they can help enhance the effectiveness of their EMS.  |  |  |
| 45 | Explain why it's important to enhance environmental performance.   |  |  |

#### 7.4 SUPPORT YOUR EMS BY CONTROLLING YOUR COMMUNICATIONS

##### 7.4.1 SUPPORT YOUR EMS BY CREATING COMMUNICATIONS PROCESSES

|    |   |  |
|----|---|--|
| 46 | Plan how you're going to manage EMS communications.                 | An <i>environmental management system (EMS)</i> is a set of interrelated or interacting elements that organizations use to implement their environmental policy, to achieve their environmental objectives, to meet their compliance obligations, to manage their environmental aspects, and to address their environmental risks and opportunities. These <i>elements</i> include structures, programs, procedures, processes, practices, plans, rules, roles, responsibilities, relationships, contracts, agreements, documents, records, methods, tools, techniques, technologies, and resources. |
| 47 | Plan how to respond to communications about your EMS.               |  |
| 48 | Plan how to handle communications about compliance obligations.     |  |
| 49 | Plan how to ensure that communications are consistent and reliable. |  |
| 50 | Establish processes to manage your EMS communications.              |  |
| 51 | Figure out how <i>internal</i> communications will be handled.      |  |
| 52 | Figure out what your internal communications need to say.           |  |
| 53 | Figure out who should receive your internal communications.         |  |
| 54 | Figure out when internal communications should be carried out.      |  |
| 55 | Figure out how <i>external</i> communications will be handled.      |  |
| 56 | Figure out what your external communications need to say.           |  |
| 57 | Figure out who should receive your external communications.         |  |
| 58 | Figure out when external communications should be carried out.      |  |
| 59 | Implement your organization's EMS communications processes.         |  |

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|----|--|--|---|
| 60 | Make sure that your EMS communications are reliable.   |  |   |
| 61 | Make sure that your EMS communications are consistent with the information generated by your organization's EMS. |  |   |
| 62 | Maintain your organization's EMS communications processes.   |  |   |
| 63 | Control information that documents your EMS communications.  |  | This is "documented information". It must be controlled and retained or maintained. |
| 64 | Retain information that documents your EMS communications.   |  |   |

#### 7.4.2 SUPPORT YOUR EMS BY FACILITATING INTERNAL COMMUNICATIONS

|    |  |  |  |
|----|--|--|--|
| 65 | Establish EMS communications within and throughout your organization.    |  |  |
| 66 | Discuss your EMS with people at all organizational levels and functions. |  |  |
| 67 | Discuss changes to your EMS at all organizational levels and functions.  |  |  |
| 68 | Enable anyone under your control to contribute to continual improvement. |  |  |

#### 7.4.3 SUPPORT YOUR EMS BY ESTABLISHING EXTERNAL COMMUNICATIONS

|    |  |  |   |
|----|--|--|---|
| 69 | Establish EMS communications between your organization and external parties. |  |   |
| 70 | Use your communications process to control your external communications.     |  | This process was created in 7.4.1, above. |
| 71 | Make sure that EMS communications meet your compliance obligations.          |  |   |

### 7.5 SUPPORT YOUR EMS BY MANAGING DOCUMENTED INFORMATION

#### 7.5.1 SUPPORT YOUR EMS BY USING ALL NECESSARY EMS DOCUMENTS

|    |   |  |  |
|----|---|--|--|
| 72 | Figure out how extensive documented EMS information should be.            |  | <p>The term <i>documented information</i> refers to information that must be controlled and maintained and its supporting medium. <i>Documented information</i> can be in any format and on any medium and can come from any source. <i>Documented information</i> includes information about the environmental management system and related processes.</p> |
| 73 | Consider your <i>activities</i> when you establish documents and records. |  |  |
| 74 | Consider your <i>personnel</i> when you establish documents and records.  |  |  |
| 75 | Consider the competence of people under your organization's control.      |  |  |
| 76 | Consider your obligations when you establish documents and records.       |  |  |

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|----|---|--|---|
| 77 | Consider the need to fulfil your environmental compliance obligations.  |  |   |
| 78 | Consider your <i>processes</i> when you establish documents and records.  |  |   |
| 79 | Consider the complexity of your organization's processes.   |  |   |
| 80 | Consider your <i>products</i> when you establish documents and records.   |  |   |
| 81 | Consider your <i>services</i> when you establish documents and records.   |  |   |
| 82 | Consider your <i>size</i> when you establish documents and records.   |  |   |
| 83 | Select all the documents and records that your EMS needs.   |  |   |
| 84 | Select all the <i>internal</i> documents and records that your EMS needs.   |  |   |
| 85 | Include all the documented information that your EMS needs to be effective.   |  | Part 7.5.1 does not identify the documented information that ISO 14001 requires. We've provided this here for your convenience. |
| 86 | Include all the documented information required by this ISO 14001 standard.   |  |   |
| 87 | Include information that documents the scope of your EMS.   |  | Part 4.3 expects you to document this.  |
| 88 | Include information that documents your environmental policy.   |  | Part 5.2 expects you to document this.  |
| 89 | Include information that documents your risk planning process.  |  | Part 6.1.1 expects you to document this.  |
| 90 | Include information that documents your environmental aspects.  |  | Part 6.1.2 expects you to document this.  |
| 91 | Include information that documents significant environmental aspects.   |  | Part 6.1.2 expects you to document this.  |
| 92 | Include information that documents your environmental impacts.  |  | Part 6.1.2 expects you to document this.  |
| 93 | Include information that documents your compliance obligations.   |  | Part 6.1.3 expects you to document this.  |
| 94 | Include information that documents your risks and opportunities.  |  | Part 6.1.1 expects you to document this.  |
| 95 | Include information that documents your environmental objectives.   |  | Part 6.2.1 expects you to document this.  |
| 96 | Include information that documents your EMS communications.   |  | Part 7.4.1 expects you to document this.  |
| 97 | Include information that documents the competence of personnel.   |  | Part 7.2 expects you to document this.  |
| 98 | Include documented information that can verify the competence of those under your control who do work that affects environmental performance. |  |   |
| 99 | Include information that documents your environmental processes.  |  |   |

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|-----|---|--|--|
| 100 | Include documented information that can prove that your organization's environmental management processes are being carried out as planned. |  | Part 8.1 expects you to document this.   |
| 101 | Include information that documents your nonconformities.  |  | Part 10.1 expects you to document this.  |
| 102 | Include documented information that describes corrective actions taken.   |  |  |
| 103 | Include documented information that describes the results achieved.   |  |  |
| 104 | Include information that documents your environmental results.  |  |  |
| 105 | Include information that documents your monitoring results.   |  | Part 9.1.1 expects you to document this. |
| 106 | Include information that documents your measuring results.  |  | Part 9.1.1 expects you to document this. |
| 107 | Include information that documents your analytical results.   |  | Part 9.1.1 expects you to document this. |
| 108 | Include information that documents your evaluation results.   |  | Part 9.1.1 expects you to document this. |
| 109 | Include information that documents compliance evaluation results.   |  | Part 9.1.2 expects you to document this. |
| 110 | Include information that documents your internal audit results.   |  | Part 9.2.2 expects you to document this. |
| 111 | Include information that shows that you implemented audit program.  |  |  |
| 112 | Include information that documents your management review results.  |  | Part 9.3 expects you to document this.   |
| 113 | Select all the <i>external</i> documents and records that your EMS needs.   |  |  |
| 114 | Include all documented information of external origin that your organization needs in order to <i>plan</i> its EMS.                         |  |  |
| 115 | Include all documented information of external origin that your organization needs in order to <i>operate</i> its EMS.                      |  |  |

#### 7.5.2 SUPPORT YOUR EMS BY MANAGING THE USE OF EMS DOCUMENTS

|     |   |  |   |
|-----|---|--|---|
| 116 | Manage the creation and modification of documented information.   |  | The term <i>documented information</i> refers to information that must be controlled and maintained and its supporting medium. <i>Documented information</i> can be in any format and on any medium and can come from any source. <i>Documented information</i> includes information about the environmental management system and related processes. |
| 117 | Make sure that your organization's EMS documents and records are properly <i>identified and described</i> . |  |   |
| 118 | Monitor the use of names and descriptive titles.  |  |   |
| 119 | Monitor the use of dates and reference numbers.   |  |   |

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|-----|--|--|--|
| 120 | Make sure that your organization's EMS documents and records are properly <i>formatted and presented</i> . |  |  |
| 121 | Monitor the use of paper and electronic media.   |  |  |
| 122 | Monitor the use of language and graphics.  |  |  |
| 123 | Monitor the use of software products.  |  |  |
| 124 | Make sure that your organization's EMS documents and records are properly <i>reviewed and approved</i> .   |  |  |
| 125 | Monitor the adequacy of documents and records.   |  |  |
| 126 | Monitor the suitability of documents and records.  |  |  |

#### 7.5.3 SUPPORT YOUR EMS BY CONTROLLING THE USE OF EMS DOCUMENTS

|     |  |  |  |
|-----|--|--|--|
| 127 | Select all of the EMS documents and records that you need.   |  |  |
| 128 | Select all the documents and records that you need in order to protect the confidentiality, integrity, and use of EMS information. |  |  |
| 129 | Select all of the documents and records that are required by ISO 14001.  |  |  |
| 130 | Figure out how your EMS documents should be controlled.  |  |  |
| 131 | Think about how EMS documents and records are <i>created</i> .   |  |  |
| 132 | Make sure that documents and records are suitable for use.   |  |  |
| 133 | Think about how EMS documents and records are <i>identified</i> .  |  |  |
| 134 | Consider how internal documents and records are identified and described.  |  |  |
| 135 | Consider how external documents and records are identified and described.  |  |  |
| 136 | Think about how EMS documents and records are <i>distributed</i> .   |  |  |
| 137 | Think about how EMS documents and records are <i>stored</i> .  |  |  |
| 138 | Think about how EMS documents and records are <i>retrieved</i> .   |  |  |

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|     |  |  |  |
|-----|--|--|--|
| 139 | Think about how EMS documents and records are <i>accessed</i> .            |  |  |
| 140 | Prevent unauthorized access to documents and records.                      |  |  |
| 141 | Make sure that they are available for use <i>where</i> they are needed.    |  |  |
| 142 | Make sure that they are available for use <i>when</i> they are needed.     |  |  |
| 143 | Think about how EMS documents and records are <i>used</i> .                |  |  |
| 144 | Think about how documents and records are used to <i>plan</i> your EMS.    |  |  |
| 145 | Consider how internal documents and records are used to plan your EMS.     |  |  |
| 146 | Consider how external documents and records are used to plan your EMS.     |  |  |
| 147 | Think about how documents and records are used to <i>operate</i> your EMS. |  |  |
| 148 | Consider how internal documents and records are used to operate EMS.       |  |  |
| 149 | Consider how external documents and records are used to operate EMS.       |  |  |
| 150 | Think about how EMS documents and records are <i>protected</i> .           |  |  |
| 151 | Ensure that documents and records are adequately protected.                |  |  |
| 152 | Protect the integrity of your documents and records.                       |  |  |
| 153 | Prevent unauthorized or improper use.                                      |  |  |
| 154 | Protect the confidentiality of documents and records.                      |  |  |
| 155 | Protect the legibility of documents and records.                           |  |  |
| 156 | Think about how EMS documents and records are <i>changed</i> .             |  |  |
| 157 | Consider using version control to manage changes.                          |  |  |
| 158 | Think about how EMS documents and records are <i>preserved</i> .           |  |  |
| 159 | Think about how documents and records are maintained.                      |  |  |
| 160 | Think about how documents and records are disposed of.                     |  |  |

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|     |  |  |   |
|-----|--|--|---|
| 161 | Control all the EMS documents and records that you need.   |  |   |
| 162 | Control all the <i>internal</i> documents and records that your EMS needs.   |  |   |
| 163 | Control all the documented information that your EMS needs to be effective.  |  |   |
| 164 | Control all the documents and records that your EMS processes need.  |  |   |
| 165 | Control all the documents and records that you need in order to be sure that your processes are being carried out as planned.                    |  | Part 7.5.3 does not identify the documented information (documents and records) that the standard explicitly says you need to control. We provide it here for your convenience. |
| 166 | Control all the documented information required by ISO 14001.  |  |   |
| 167 | Control information that documents the scope of your EMS.  |  | Part 4.3 expects you to control this.   |
| 168 | Control information that documents your environmental policy.  |  | Part 5.2 expects you to control this.   |
| 169 | Control information that documents your risk planning process.   |  | Part 6.1.1 expects you to control this.   |
| 170 | Control information that documents your environmental aspects.   |  | Part 6.1.2 expects you to control this.   |
| 171 | Control information that documents significant environmental aspects.  |  | Part 6.1.2 expects you to control this.   |
| 172 | Control information that documents your environmental impacts.   |  | Part 6.1.2 expects you to control this.   |
| 173 | Control information that documents your compliance obligations.  |  | Part 6.1.3 expects you to control this.   |
| 174 | Control information that documents your risk and opportunities.  |  | Part 6.1.1 expects you to control this.   |
| 175 | Control information that documents your environmental objectives.  |  | Part 6.2.1 expects you to control this.   |
| 176 | Control information that documents your EMS communications.  |  | Part 7.4.1 expects you to control this.   |
| 177 | Control information that documents the competence of personnel.  |  | Part 7.2 expects you to control this.   |
| 178 | Control documented information that can verify the competence of anyone under your control who does work that affects environmental performance. |  | Part 7.2 expects you to control this.   |
| 179 | Control information that documents your environmental processes.   |  | Part 8.1 expects you to control this.   |
| 180 | Control documented information that can prove that your organization's environmental management processes are being carried out as planned.      |  | Part 8.1 expects you to control this.   |
| 181 | Control information that documents your nonconformities.   |  | Part 10.1 expects you to control this.  |

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|-----|---|--|---|
| 182 | Control documented information that describes corrective actions taken.   |  |   |
| 183 | Control documented information that describes the results achieved.   |  |   |
| 184 | Control information that documents your environmental results.  |  |   |
| 185 | Control information that documents your monitoring results.   |  | Part 9.1.1 expects you to control this. |
| 186 | Control information that documents your measuring results.  |  | Part 9.1.1 expects you to control this. |
| 187 | Control information that documents your analytical results.   |  | Part 9.1.1 expects you to control this. |
| 188 | Control information that documents your evaluation results.   |  | Part 9.1.1 expects you to control this. |
| 189 | Control information that documents compliance evaluation results.   |  | Part 9.1.2 expects you to control this. |
| 190 | Control information that documents your internal audit results.   |  | Part 9.2.2 expects you to control this. |
| 191 | Control information that shows that you implemented audit program.  |  |   |
| 192 | Control information that documents your management review results.  |  | Part 9.3 expects you to control this.   |
| 193 | Control all the <i>external</i> documents and records that your EMS needs.  |  |   |
| 194 | Control all documented information of external origin that you need in order to <i>plan</i> your organization's EMS.    |  |   |
| 195 | Control all documented information of external origin that you need in order to <i>operate</i> your organization's EMS. |  |   |

For those who wish to use our publication as a checklist, we have provided a column to the right of each task that you can use to record your response. You could record a *DONE*, *TO DO*, or *N/A* in this column, or you could simply place a  to indicate that the task has been or is being performed or you could record an *O/S* to indicate that an item is outstanding.

In the spaces below, enter the name and location of your organization, who completed this page, who reviewed it, and the dates.

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### 8. OPERATIONS

#### 8.1 ESTABLISH YOUR EMS PROCESSES AND CONTROL HOW THEY OPERATE

|    |   |   |
|----|---|---|
| 1  | Determine the environmental requirements that processes must meet.  | A process is a set of activities that are interrelated or that interact with one another. They transform inputs into outputs. Processes are interconnected because the output from one process often becomes the input for another process. |
| 2  | Specify environmental requirements for procurement process (as appropriate).  |   |
| 3  | Clarify environmental requirements for your product and service purchases.  |   |
| 4  | Consider how products and services are used throughout their life cycle.  |   |
| 5  | Communicate environmental requirements to contractors and suppliers.  |   |
| 6  | Consider providing information about potential environmental impacts.   |   |
| 7  | Consider discussing the impact product and service use could have.  |   |
| 8  | Consider discussing the impact product and service delivery could have.   |   |
| 9  | Consider discussing the impact product and service disposal could have.   |   |
| 10 | Specify environmental requirements for your design process (as appropriate).  |   |
| 11 | Establish controls to ensure that environmental requirements are considered.  |   |
| 12 | Consider the entire life cycle of products and services when you design them.   |   |
| 13 | Consider how products and services will be designed, developed, produced, assembled, manufactured, delivered, stored, used, re-used, and recycled or disposed of. |   |
| 14 | Communicate environmental requirements to product and service designers.  |   |
| 15 | Plan the implementation of your organization's EMS processes.   |   |
| 16 | Clarify the operating criteria that your EMS processes must meet.   |   |
| 17 | Plan how you're going to implement and control the processes that you need in order to meet environmental management system (EMS) requirements.                   |   |
| 18 | Plan how you're going to influence or control outsourced processes.   |   |
| 19 | Define the type and degree of influence or control that you plan to apply.  |   |
| 20 | Plan how you're going to implement and control the processes that you need in order to implement your organization's EMS actions.                                 |   |

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|----|---|--|--|
| 21 | Plan how you're going to implement and control the actions that must be taken in order to address the risks that could affect your environmental performance. |  | Part 6.1.5 asked you to integrate these actions into your EMS processes and to implement them. |
| 22 | Plan how you're going to implement and control the actions that you need in order to address your significant environmental aspects.                          |  | This was introduced in part 6.1.5, above.  |
| 23 | Plan how you're going to implement and control the actions that you need in order to address your compliance obligations.                                     |  | This was introduced in part 6.1.5, above.  |
| 24 | Plan how you're going to implement and control the actions that you need in order to address your risks and opportunities.                                    |  | This was introduced in part 6.1.5, above.  |
| 25 | Plan how you're going to implement and control the actions that must be taken in order to achieve your environmental objectives.                              |  | This was introduced in part 6.2.2, above.  |
| 26 | Develop controls for your environmental management processes.   |  |  |
| 27 | Consider using personnel to control your organization's processes.  |  |  |
| 28 | Consider using procedures to control your organization's processes.   |  |  |
| 29 | Consider using technologies to control your organization's processes.   |  |  |
| 30 | Consider using methodologies to control your organization's processes.  |  |  |
| 31 | Consider using monitoring methods to control processes.   |  |  |
| 32 | Consider using measurement methods to control processes.  |  |  |
| 33 | Consider using error prevention methods to control processes.   |  |  |
| 34 | Consider using information management methods to control processes.   |  |  |
| 35 | Establish and implement your organization's EMS processes.  |  |  |
| 36 | Control and maintain your organization's EMS processes.   |  |  |
| 37 | Use your operating criteria to help control processes.  |  |  |
| 38 | Control the changes that you make to your EMS processes.  |  |  |
| 39 | Review uncontrolled changes to your EMS processes and actions.  |  |  |
| 40 | Review unintended effects and consequences when changes are made.   |  |  |

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|    |  |  |   |
|----|--|--|---|
| 41 | Mitigate adverse effects and consequences whenever changes are made. |  |   |
| 42 | Use documents to show that EMS processes were implemented.           |  |   |
| 43 | Use documents to show that processes are carried out as planned.     |  |   |
| 44 | Maintain and control your organization's EMS documents and records.  |  | This is "documented information". It must be controlled and retained or maintained. |

#### 8.2 ESTABLISH YOUR EMERGENCY PREPAREDNESS AND RESPONSE PROCESSES

|    |  |  |   |
|----|--|--|---|
| 45 | Establish emergency preparedness and response processes.   |  |   |
| 46 | Establish processes to prepare for potential emergency situations.                                 |  | Emergency situations are identified in 6.1.1. |
| 47 | Prepare for potential environmental emergency situations.  |  |   |
| 48 | Make sure that your emergency responses consider the magnitude of the environmental emergency.     |  |   |
| 49 | Make sure that your emergency responses consider potential environmental impacts and consequences. |  |   |
| 50 | Plan how to prevent or mitigate adverse environmental impacts.                                     |  |   |
| 51 | Formulate actions to prevent or mitigate adverse environmental impacts.                            |  |   |
| 52 | Establish processes to respond to potential emergency situations.                                  |  |   |
| 53 | Test your response processes and actions on a regular basis (if practicable).                      |  |   |
| 54 | Revise processes and actions whenever tests indicate that this is necessary.                       |  |   |
| 55 | Respond to actual environmental emergency situations when they occur.                              |  |   |
| 56 | Prevent or mitigate the consequences of each environmental emergency.                              |  |   |
| 57 | Make sure that your actions consider the magnitude of each emergency.                              |  |   |
| 58 | Make sure that actions consider the potential environmental impact.                                |  |   |
| 59 | Maintain emergency preparedness and response processes.  |  |   |
| 60 | Provide relevant emergency preparedness and response training and information.                     |  |   |

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### 8. OPERATIONS

|    |   |  |   |
|----|---|--|---|
| 61 | Make sure that persons working under your control are ready to respond.     |  |   |
| 62 | Make sure that all relevant interested parties are ready to respond.        |  |   |
| 63 | Document your emergency preparedness and response processes and activities. |  | This is "documented information". It must be controlled and retained or maintained. |
| 64 | Use your records to show that processes are being carried out as planned.   |  |   |
| 65 | Maintain and control your emergency preparedness and response records.      |  |   |
| 66 | Review emergency preparedness and response processes and actions.           |  |   |
| 67 | Evaluate your processes and actions after an emergency has occurred.        |  |   |
| 68 | Make sure that environmental emergency responses are appropriate.           |  |   |
| 69 | Revise processes and actions whenever shortcomings are discovered.          |  |   |

For those who wish to use our publication as a checklist, we have provided a column to the right of each task that you can use to record your response. You could record a *DONE*, *TO DO*, or *N/A* in this column, or you could simply place a  to indicate that the task has been or is being performed or you could record an *O/S* to indicate that an item is outstanding.

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## 9. EVALUATION

### 9.1 DETERMINE YOUR ENVIRONMENTAL PERFORMANCE AND COMPLIANCE

#### 9.1.1 INVESTIGATE YOUR ORGANIZATION'S ENVIRONMENTAL PERFORMANCE

|    |  |  |  |
|----|--|--|--|
| 1  | Plan how you're going to investigate your environmental performance.     |  | The term <i>environmental performance</i> refers to the results that are achieved whenever the environmental aspects of activities, processes, products, services, and systems are managed and controlled.   |
| 2  | Plan how you're going to <i>monitor</i> your environmental performance.  |  | <i>Environmental aspects</i> can cause <i>environmental impacts</i> . They can have either beneficial impacts or adverse impacts and can have a direct and decisive impact on the environment or contribute only partially or indirectly to a larger environmental change. |
| 3  | Figure out what needs to be monitored and select your methods.           |  |  |
| 4  | Determine your environmental monitoring requirements.                    |  |  |
| 5  | Select monitoring methods that can produce valid results.                |  |  |
| 6  | Establish when monitoring should be done and who should do it.           |  | This is "documented information". It must be controlled and retained or maintained.  |
| 7  | Record monitoring results and retain and control these records.          |  |  |
| 8  | Plan how you're going to <i>measure</i> your environmental performance.  |  |  |
| 9  | Figure out what needs to be measured and select your methods.            |  |  |
| 10 | Determine your environmental measurement requirements.                   |  |  |
| 11 | Select measurement methods that can produce valid results.               |  |  |
| 12 | Establish when measuring should be done and who should do it.            |  |  |
| 13 | Record measurement results and retain and control these records.         |  | This is "documented information". It must be controlled and retained or maintained.  |
| 14 | Plan how you're going to <i>analyze</i> your environmental performance.  |  |  |
| 15 | Select analytical methods that are capable of producing valid results.   |  |  |
| 16 | Decide when monitoring and measurement results should be analyzed.       |  |  |
| 17 | Record analytical results and retain and control these records.          |  | This is "documented information". It must be controlled and retained or maintained.  |
| 18 | Plan how you're going to <i>evaluate</i> your environmental performance. |  |  |
| 19 | Select evaluation methods that are capable of producing valid results.   |  |  |

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|    |  |  |   |
|----|--|--|---|
| 20 | Establish criteria that you can use to evaluate environmental performance.   |  |   |
| 21 | Establish indicators that you can use to evaluate environmental performance. |  |   |
| 22 | Decide when monitoring and measurement results should be evaluated.          |  |   |
| 23 | Record evaluation results and retain and control these records.              |  | This is "documented information". It must be controlled and retained or maintained.   |
| 24 | Investigate your organization's environmental performance.                   |  | The term <i>environmental performance</i> refers to the results that are achieved whenever the environmental aspects of activities, processes, products, services, and systems are managed and controlled. <i>Environmental aspects</i> can cause <i>environmental impacts</i> . They can have either beneficial impacts or adverse impacts and can have a direct and decisive impact on the environment or contribute only partially or indirectly to a larger environmental change. |
| 25 | Monitor your organization's environmental performance.                       |  |   |
| 26 | Ensure that monitoring activities meet requirements.                         |  |   |
| 27 | Use only verified or calibrated monitoring equipment.                        |  |   |
| 28 | Maintain your monitoring equipment (as appropriate).                         |  |   |
| 29 | Measure your organization's environmental performance.                       |  |   |
| 30 | Ensure that measurement activities meet requirements.                        |  |   |
| 31 | Use only verified or calibrated measurement equipment.                       |  |   |
| 32 | Maintain your measurement equipment (as appropriate).                        |  |   |
| 33 | Analyze your organization's environmental performance.                       |  |   |
| 34 | Evaluate your organization's environmental performance.                      |  |   |
| 35 | Evaluate your performance against environmental performance criteria.        |  |   |
| 36 | Evaluate the effectiveness of your environmental management system.          |  |   |
| 37 | Communicate your organization's environmental performance.                   |  |   |
| 38 | Make sure that your communications meet your compliance obligations.         |  | See part 6.1.3 on compliance obligations.   |
| 39 | Use your EMS communication processes to control your communications.         |  | See part 7.4 on communication processes.  |
| 40 | Discuss your environmental performance within your own organization.         |  |   |
| 41 | Discuss your environmental performance with relevant external parties.       |  |   |

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### 9. EVALUATION

#### 9.1.2 EVALUATE YOUR ORGANIZATION'S ENVIRONMENTAL COMPLIANCE

|    |  |  |   |
|----|--|--|---|
| 42 | Plan how you're going to find out if compliance obligations are being met.   |  | <p><i>Compliance obligations</i> include national and international as well as local and regional laws and regulations. They also include agreements that are established with governments, customers, community groups and others as well as commitments, guidelines, principles, or codes of practice that affect how environmental aspects and impacts are managed and controlled.</p> |
| 43 | Figure out how often environmental compliance should be evaluated.           |  |   |
| 44 | Establish suitable environmental compliance evaluation processes.            |  |   |
| 45 | Implement suitable environmental compliance evaluation processes.            |  |   |
| 46 | Evaluate how well your organization is meeting its compliance obligations.   |  | <p>See part 6.1.3 on compliance obligations.</p>  |
| 47 | Establish the status of your organization's environmental compliance.        |  |   |
| 48 | Establish knowledge about the status of your environmental compliance.       |  |   |
| 49 | Make sure that your people maintain their understanding of this status.      |  |   |
| 50 | Record your evaluation results and retain and control these records.         |  | <p>This is "documented information". It must be controlled and retained or maintained.</p>  |
| 51 | Maintain suitable environmental compliance evaluation processes.             |  |   |
| 52 | Take action to resolve environmental compliance shortcomings (if necessary). |  |   |

#### 9.2 AUDIT YOUR ORGANIZATION'S ENVIRONMENTAL MANAGEMENT SYSTEM

##### 9.2.1 CONDUCT EMS CONFORMANCE AUDITS AND DOCUMENT YOUR RESULTS

|    |   |  |  |
|----|---|--|--|
| 53 | Conduct internal EMS conformance audits at planned intervals.   |  | <p>An <i>audit</i> is an evidence gathering process. Evidence is used to evaluate how well audit criteria are being met. Audits must be objective, impartial, and independent, and the audit process must be both systematic and documented.</p> |
| 54 | Determine if your organization's EMS meets requirements.        |  |  |
| 55 | See if your EMS meets your organization's own requirements.     |  |  |
| 56 | See if your EMS meets the requirements of this ISO standard.    |  |  |
| 57 | Examine the effectiveness of your organization's EMS.           |  | <p><i>Effectiveness</i> refers to the degree to which a planned <i>effect</i> is achieved.</p>   |
| 58 | See if your organization's EMS was effectively implemented.     |  |  |
| 59 | See if your organization's EMS is being effectively maintained. |  |  |

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### 9. EVALUATION

#### 9.2.2 ESTABLISH INTERNAL AUDIT METHODS, SCHEDULES, AND REQUIREMENTS

|    |   |  |  |
|----|---|--|--|
| 60 | Plan the development of your internal audit program.                        |  | For more information about auditing, see our ISO 19011 Auditing Library at <a href="http://www.praxiom.com/19011.htm">http://www.praxiom.com/19011.htm</a> |
| 61 | Develop a program that can find out if your EMS meets requirements.         |  |  |
| 62 | Make sure it can determine if it meets your organization's requirements.    |  |  |
| 63 | Make sure it can determine if it meets the ISO 14001 2015 requirements.     |  |  |
| 64 | Develop a program that can determine if your EMS is effective.              |  |  |
| 65 | Establish your organization's internal audit program.                       |  |  |
| 66 | Establish internal audit responsibilities.                                  |  |  |
| 67 | Establish internal audit methods.   |  |  |
| 68 | Expect auditors to be objective.  |  |  |
| 69 | Expect auditors to be impartial.  |  |  |
| 70 | Establish internal audit planning requirements.                             |  |  |
| 71 | Expect auditors to consider the results of previous audits.                 |  |  |
| 72 | Expect auditors to consider the changes affecting your organization.        |  |  |
| 73 | Expect auditors to consider the environmental importance of your processes. |  |  |
| 74 | Establish internal audit reporting requirements.                            |  |  |
| 75 | Expect auditors to report results to management.                            |  |  |
| 76 | Establish internal audit schedules.   |  |  |
| 77 | Expect audits to be done at planned intervals.                              |  |  |
| 78 | Implement your organization's internal audit program.                       |  |  |
| 79 | Define the scope for each internal audit.                                   |  |  |
| 80 | Specify audit criteria for each internal audit.                             |  |  |
| 81 | Select impartial and objective internal auditors.                           |  |  |

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|    |   |  |   |
|----|---|--|---|
| 82 | Carry out internal audits at planned intervals.               |  |   |
| 83 | Report internal audit results to management.                  |  |   |
| 84 | Maintain your organization's internal audit program.          |  |   |
| 85 | Retain documented information about your audit program.       |  | This is "documented information". It must be controlled and retained or maintained. |
| 86 | Retain your internal audit results and control these results. |  |   |
| 87 | Retain a record of implementation and control these records.  |  |   |

#### 9.3 REVIEW YOUR ORGANIZATION'S ENVIRONMENTAL MANAGEMENT SYSTEM

|     |  |  |  |
|-----|--|--|--|
| 88  | Review your organization's EMS at regular intervals.         |  |  |
| 89  | Review EMS suitability, adequacy, and effectiveness.         |  |  |
| 90  | Review the status of your previous management reviews.       |  |  |
| 91  | Review the status of the actions that were previously taken. |  |  |
| 92  | Review how well environmental objectives are being achieved. |  |  |
| 93  | Review relevant communications from interested parties.      |  |  |
| 94  | Review complaints received from interested parties.          |  |  |
| 95  | Review environmental performance (including trends).         |  | The term <i>environmental performance</i> refers to the results that are achieved whenever the environmental aspects of activities, processes, products, services, and systems are managed and controlled.   |
| 96  | Review previous audit results and activities.                |  |  |
| 97  | Review monitoring and measurement results.                   |  |  |
| 98  | Review nonconformities and corrective actions.               |  | <i>Environmental aspects</i> can cause <i>environmental impacts</i> . They can have either beneficial impacts or adverse impacts and can have a direct and decisive impact on the environment or contribute only partially or indirectly to a larger environmental change. |
| 99  | Review environmental compliance obligations.                 |  |  |
| 100 | Review how well obligations are being met.                   |  |  |
| 101 | Review changes in aspects, obligations, issues, and risks.   |  |  |
| 102 | Review changes in your significant environmental aspects.    |  |  |

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|     |  |  |   |
|-----|--|--|---|
| 103 | Review changes in external and internal issues relevant to your EMS. |  |   |
| 104 | Review changes in the needs and expectations of interested parties.  |  |   |
| 105 | Review changes in your environmental compliance obligations.         |  |   |
| 106 | Review changes in the risks that affect environmental performance.   |  |   |
| 107 | Review changes in your organization's environmental opportunities.   |  |   |
| 108 | Review potential continual improvement opportunities.                |  |   |
| 109 | Review the strategic direction that your EMS is taking.              |  |   |
| 110 | Review the adequacy of your EMS resources.                           |  |   |
| 111 | Generate appropriate management review outputs.                      |  |   |
| 112 | Draw conclusions about your organization's EMS.                      |  |   |
| 113 | Consider EMS suitability, adequacy, and effectiveness.               |  |   |
| 114 | Identify ways of improving EMS integration with other processes.     |  |   |
| 115 | Make decisions about your organization's EMS.                        |  |   |
| 116 | Consider continual improvement opportunities.                        |  |   |
| 117 | Consider whether you need to change your EMS.                        |  |   |
| 118 | Consider whether you need to change EMS resources.                   |  |   |
| 119 | Define actions to improve environmental performance.                 |  |   |
| 120 | Consider how well objectives are being achieved.                     |  |   |
| 121 | Take action whenever objectives aren't being achieved.               |  |   |
| 122 | Consider implications for your overall strategic direction.          |  |   |
| 123 | Document the results of your management reviews.                     |  | This is "documented information". It must be controlled and retained or maintained. |
| 124 | Retain and control your management review records.                   |  |   |

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### 10. IMPROVEMENT

#### 10.1 TAKE ACTION TO IMPROVE YOUR EMS AND ACHIEVE INTENDED OUTCOMES

|    |  |  |   |
|----|--|--|---|
| 1  | Determine opportunities to improve EMS and achieve its intended outcomes.  |  |   |
| 2  | Use performance evaluation outputs to identify opportunities to improve your organization's EMS and achieve its intended outcomes. |  | Performance evaluation outputs were identified in section 9.1.1, above. |
| 3  | Use compliance evaluation outputs to identify opportunities to improve your organization's EMS and achieve its intended outcomes.  |  | Compliance evaluation outputs were identified in section 9.1.2, above.  |
| 4  | Use internal audit outputs to identify opportunities to improve your organization's EMS and achieve its intended outcomes.         |  | Internal audit outputs were identified in section 9.2, above.           |
| 5  | Use management review outputs to identify opportunities to improve your organization's EMS and achieve its intended outcomes.      |  | Management review outputs were identified in section 9.3 above.         |
| 6  | Take all necessary actions to improve EMS and achieve its intended outcomes.   |  |   |
| 7  | Use performance evaluation outputs to improve your organization's EMS.   |  |   |
| 8  | Use performance evaluation outputs to help achieve intended outcomes.  |  |   |
| 9  | Use compliance evaluation outputs to improve your organization's EMS.  |  |   |
| 10 | Use compliance evaluation outputs to help achieve intended outcomes.   |  |   |
| 11 | Use internal audit outputs to improve your organization's EMS.   |  |   |
| 12 | Use internal audit outputs to help achieve intended outcomes.  |  |   |
| 13 | Use management review outputs to improve your organization's EMS.  |  |   |
| 14 | Use management review outputs to help achieve intended outcomes.   |  |   |

#### 10.2 CONTROL NONCONFORMITIES AND TAKE APPROPRIATE CORRECTIVE ACTION

|    |   |  |   |
|----|---|--|---|
| 15 | React to your organization's nonconformities. |  | <p><i>Nonconformity</i> refers to the “<i>non-fulfilment of a requirement</i>”. When an organization fails to meet a requirement, nonconformity exists. <i>Nonconformity</i> can take many forms. You can fail to conform (or fail to comply) with mandatory requirements like laws and regulations or with voluntary requirements such as contracts, codes, and standards.</p> |
| 16 | Take action to control nonconformities.       |  |   |
| 17 | Take action to correct nonconformities.       |  |   |
| 18 | Deal with all relevant consequences.          |  |   |

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|    |   |  |   |
|----|---|--|---|
| 19 | Mitigate adverse environmental impacts.                 |  |   |
| 20 | Evaluate the need to eliminate causes.                  |  |   |
| 21 | Review nonconformities and identify causes.             |  |   |
| 22 | Determine if similar nonconformities exist.             |  |   |
| 23 | Determine if they could potentially occur.              |  |   |
| 24 | Decide if corrective action should be taken.            |  |   |
| 25 | Develop corrective actions to address causes.           |  | <p><i>Corrective actions</i> are steps that are taken to prevent recurrence by eliminating the cause or causes of an existing nonconformity. The corrective action process tries to make sure that existing nonconformities don't happen again.</p> |
| 26 | Make sure that your actions are appropriate.            |  |   |
| 27 | Consider effects and impacts before you act.            |  |   |
| 28 | Think about how significant your effects are.           |  |   |
| 29 | Think about your environmental impacts.                 |  |   |
| 30 | Implement corrective actions to address causes.         |  |   |
| 31 | Modify your EMS whenever this is necessary.             |  |   |
| 32 | Review the effectiveness of your corrective actions.    |  |   |
| 33 | Document your nonconformities, actions, and results.    |  | This is "documented information". It must be controlled and retained or maintained.   |
| 34 | Document your organization's nonconformities.           |  |   |
| 35 | Retain and control your record of nonconformity.        |  |   |
| 36 | Document the actions taken to address nonconformities.  |  |   |
| 37 | Retain and control your record of actions taken.        |  |   |
| 38 | Document your organization's corrective action results. |  |   |
| 39 | Retain and control your record of results achieved.     |  |   |

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### 10. IMPROVEMENT

#### 10.3 ENHANCE THE SUITABILITY, ADEQUACY, AND EFFECTIVENESS OF YOUR EMS

|    |  |  |  |
|----|--|--|--|
| 40 | Enhance your organization's environmental performance. |  | The term <i>environmental performance</i> refers to the results that are achieved whenever the environmental aspects of activities, processes, products, services, and systems are managed and controlled. |
| 41 | Continually improve the performance of your EMS.       |  |  |
| 42 | Continually improve the suitability of your EMS.       |  |  |
| 43 | Continually improve the adequacy of your EMS.          |  |  |
| 44 | Continually improve the effectiveness of your EMS.     |  |  |

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