ISO 14001:2015: Key Changes

Susan LK Briggs
Convenor, ISO TC207/SC1/WG5

TC207 Workshop, 9/8/15
Topics for Discussion

• Background on ISO 14001 Revision
• Highlight of key changes in ISO 14001:2015
• Top Management Role
• Value and Benefits
• Next Steps
Background

History:
• ISO 14001 first developed in 1996
• Minor revisions in 2004 to clarify requirements

Challenges:
• Proliferation of management systems
• Increasingly stringent legislation
• Pressures on environment from pollution, inefficient use of resources, waste, climate change and degradation of ecosystems/biodiversity
• Developments in business management practices
• Focus on sustainability, transparency and accountability
Goal:

Incorporate new approaches in the field of Environmental Management, and meet stakeholder expectations that have evolved since 1996

...so that ISO 14001 remains relevant over the next 20 years

Mandate:

• ISO Annex SL - common structure, requirements, terms and definitions
• TC 207 ‘Future Challenges of EMS’ recommendations
• Maintain existing requirements
Key Implications

– Alignment and integration with business strategy and other management systems
– Risk-based approach
– Prominence of interested parties
– Beyond P2 → Protection of the environment
– Enhance performance & demonstrate compliance status
– Impacts organization has on environment & *vice versa*
– Lifecycle perspective, including outsourced processes
– External communication
– New terminology and structure

Provide a systematic approach that contributes to the ‘environmental pillar’ of sustainability
HIGHLIGHT OF KEY CHANGES

ISO 14001:2015
1. Scope

2. Normative references

3. Terms and definitions

4. Context of the organization
   – Understanding the organization and its context
   – Understanding needs and expectations of interested parties
   – Scope of the management system
   – Environmental management system

5. Leadership
   – Leadership & commitment
   – Environmental policy
   – Roles, responsibilities and authorities

6. Planning
   – Actions to address risks & opportunities
     • General
     • Environmental aspects
     • Compliance obligations
     • Planning action
   – Objectives and planning to achieve them
     • Environmental objectives
     • Planning to achieve objectives

7. Support
   – Resources
   – Competence
   – Awareness
   – Communication
     • General
     • Internal communication
     • External communication
   – Documented information
     • General
     • Creating and updating
     • Control of documented information

8. Operation
   – Operational planning and control
   – Emergency preparedness & response

9. Performance evaluation
   – Monitoring, measurement, analysis & evaluation
     • General
     • Evaluation of compliance
   – Internal audit
   – Management review

10. Improvement
    – General
    – Nonconformity and corrective action
    – Continual Improvement

Annex A – Informative Guidance

Annex B – Correspondence 2015 vs 2004

Bibliography

Alphabetical Index

Key:
Black – core MS requirement, comparable to 14001:2004
Red – New MS requirements
Blue – ISO 14001, discipline-specific
Organizational Context

- Strategic understanding of issues important to the organization and its EMS
  - External factors
  - Internal factors
  - Environmental conditions affecting or affected by the organization.
- Knowledge gained guides EMS planning
  - Select & manage issues with adverse or beneficial effects

Issues/Problems or Changing Circumstances related to:

- Environmental conditions - climate, air/water quality, land use, resource availability & biodiversity
- External context - regulation, technology, economic, competition
- Internal context - governance, strategy, resource capability
Interested Parties

• Determine relevant interested parties
  — Internal and external
• Determine their relevant needs and expectations
  — aka, interested party ‘requirements’
• Determine which of these needs and expectations become the organization’s ‘requirements’
  — aka, organization's 'compliance obligations'
Compliance Obligations

• New terminology referring to an organization’s obligations
  Replaces ‘legal requirements and other applicable requirements to which the organization subscribes’

• The organization determines those it has to comply with and those it chooses to comply with
  ─ Mandatory requirements
  ─ Voluntary requirements
  Once adopted, the organization is obliged to comply

• Evaluate compliance

Maintain knowledge and understanding of compliance status
‘Risk-based Thinking’

- Determine key issues & requirements that can pose adverse or beneficial effects in a prioritized way to:
  - Assure EMS can achieve its intended outcomes
  - Prevent or reduce undesired effects
  - Achieve continual improvement

- ‘Risks and Opportunities’ that need to be addressed, include:
  - Significant environmental aspects
  - Compliance obligations
  - Other priority issues for the organization

Formal Risk Assessment methodology not required
Issues w/ Potential Risk/Opportunity

- Environmental aspects
- Local/regional environmental conditions
- Compliance obligations
- Changing regulations
- Environmental performance
- Interested party concerns
- Financial/economic situation
- New product development
- Changes in operations
- Technologies, e.g., environmental, IT
- Product lifecycle, including supply chain

Take action to address those that are of strategic importance & that support the EMS intended outcomes
Prioritize issues that affect intended outcomes:
- Enhancement of Environmental Performance
- Fulfillment of Compliance Obligations
- Achievement of Environmental Objectives
  ...Plus any additional ones an organization sets for itself

Plan actions to mitigate 'risks' and leverage 'opportunities', e.g.,
- Environmental Objectives
- Operational Control
- Emergency Preparedness & Response
  - Monitoring/measuring
  - Others, as appropriate

Org retains autonomy to determine priority issues
Life cycle Perspective

• Explicit in determining environmental aspects and operational controls
• Considers the environmental impacts that can be controlled and influenced during each stage of the product lifecycle
  – Raw material acquisition
  – Manufacture
  – Packaging/Transport/Delivery
  – Use
  – End of life treatment & final disposal

Life cycle perspective does not require a life cycle assessment
Control the stages of product lifecycle by:

- Establishing environmental requirements for:
  - product design & development, addressing each stage of product or service lifecycle
  - procured products/services
- Communicating environmental requirements to external providers (i.e., suppliers, contractors)
- Providing information on environmental impacts associated with transport/delivery, use, end-of-life treatment, final disposal of products/services
Operational Control

Applies to processes needed to:

- Meet EMS requirements
- Implement planned actions
- Outsourced processes

Establish operating criteria

Control planned changes & mitigate adverse effects of unintended changes

Control or influence outsourced processes emphasized

- Significant environmental aspects
- Compliance obligations
- Other risks & opportunities
- Environmental objectives
Communications

- Establish a communication process
  - Covering what, when, with whom and how it will communicate, internally & externally
- Information needs to be consistent & reliable
- Enable input/feedback for continual improvement
- Communicate externally as required by its compliance obligations and its communication process
- Respond to inquiries by external interested parties
- Retain records, as appropriate
What to communicate

- **Scope**
- **Importance of effective environmental management & conforming to EMS requirements**
- **Environmental policy**
- **Responsibilities/authorities for EMS roles**
- **EMS performance to top managers; internally and externally, as per compliance obligations & communication process**
- **Significant aspects**
- **Environmental objectives**
- **Responses to relevant communication from internal & external interested parties**
- **EMS, including changes**
- **Environmental requirements & environmental impacts to external providers &/or users**
- **Emergency prep & response information**
- **Audit results to top managers**
Documented Information

New terminology referring to:

- documentation, documents and records
- acknowledges new information management methods

Specific requirements for creating, updating controlling and maintaining documents & records

- not significantly different from 2004 version

Eliminated requirement for EMS description

Organizations not required to use term ‘documented information’
## Required Documentation

### DOCUMENTS
- scope of the EMS
- environmental policy
- risks & opportunities
- process(es) to satisfy clause 6.1
- environmental aspects and impacts
- criteria for significant environmental aspects
- significant environmental aspects
- compliance obligations
- environmental objectives
- operational control – related*
- emergency preparedness & response

### RECORDS
- Competence
- internal & external communications, as appropriate
- operational control – related*
- emergency preparedness & response*
- monitoring, measurement, analysis and evaluation results
- compliance evaluation results
- audit programme implementation
- audit results
- management review results
- corrective action results, nonconformities and actions taken

Plus any documents or records the organization deems necessary, including that of external origin.
TOP MANAGEMENT ROLE
Top Management Role

Visible support, involvement & commitment of top management are critical success factors

• Ownership & commitment
• Accountability for EMS effectiveness & results
• Understanding organizational context & using a risk-based approach to establish EMS priorities
• Emphasis on alignment with business strategy & integration with business processes
Leadership and Commitment

Responsible to:
- Communicate
- Direct/support others to contribute to EMS effectiveness
- Promote continual improvement
- Support others in demonstrating their leadership
- Be accountable

Can Delegate:
- Compatibility with the context & its strategic direction
- EMS integration into the business processes
- Resource availability
- Achievement of intended outcome(s)

Role as ‘Leaders’ to inspire others
Environmental Policy

Commitments

• Protection of the environment
• Conformity to compliance obligations
• Continual improvement

Protection of Environment includes

• Prevention of pollution and
• Other specific commitment(s) that are relevant to its context, as appropriate, e.g.,
  • Sustainable resource use
  • Climate change mitigation and adaptation
  • Protection of biodiversity & ecosystems
  • Or others
Continual Improvement

- Determine opportunities for improvement and implement actions to achieve intended outcomes
- Improve the suitability, adequacy and effectiveness of the environmental management system
- Focus - improving environmental performance
  - Reducing adverse environmental impacts or
  - Increasing beneficial impacts.
VALUE & BENEFITS

NEXT STEPS
Environmental Value & Benefits

Risk-based approach to protect the environment
- Prevent adverse impacts
- Pursue opportunities with beneficial impact & competitive advantage

Optimize the product footprint
- Address during product design
- Focus on each lifecycle stage - raw materials, manufacture, transport, packaging, consumer use and final disposal

Enhance environmental performance
Raise environmental awareness & involvement
Organizational Value & Benefits

Alignment of EMS

- Environmental management to business strategy
- Environmental initiatives with business priorities
- EMS processes with other management system processes

Satisfy compliance obligations
Mitigate adverse effects on the organization
Realize operational efficiencies & financial benefits

Fulfill the environmental pillar of sustainable development
Next Steps

Standards Writers:
- FDIS ballot approved by 98% member bodies
- Publication → September 15, 2015
- Transition period → 3 years

Organizations:
- Learn more about the new requirements
- Read the standard!
- Identify and close gaps

Take steps toward sustainable development
THANK YOU!

For more information…

Susan LK Briggs
slkbriggs4@gmail.com