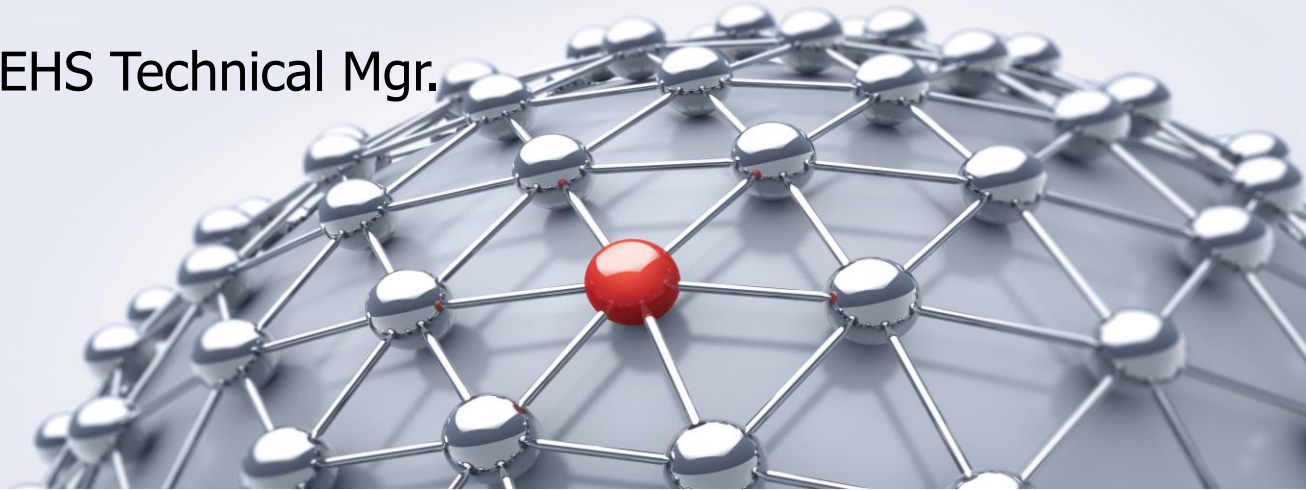


Changes in ISO 14001:2015, a Registrar's Perspective

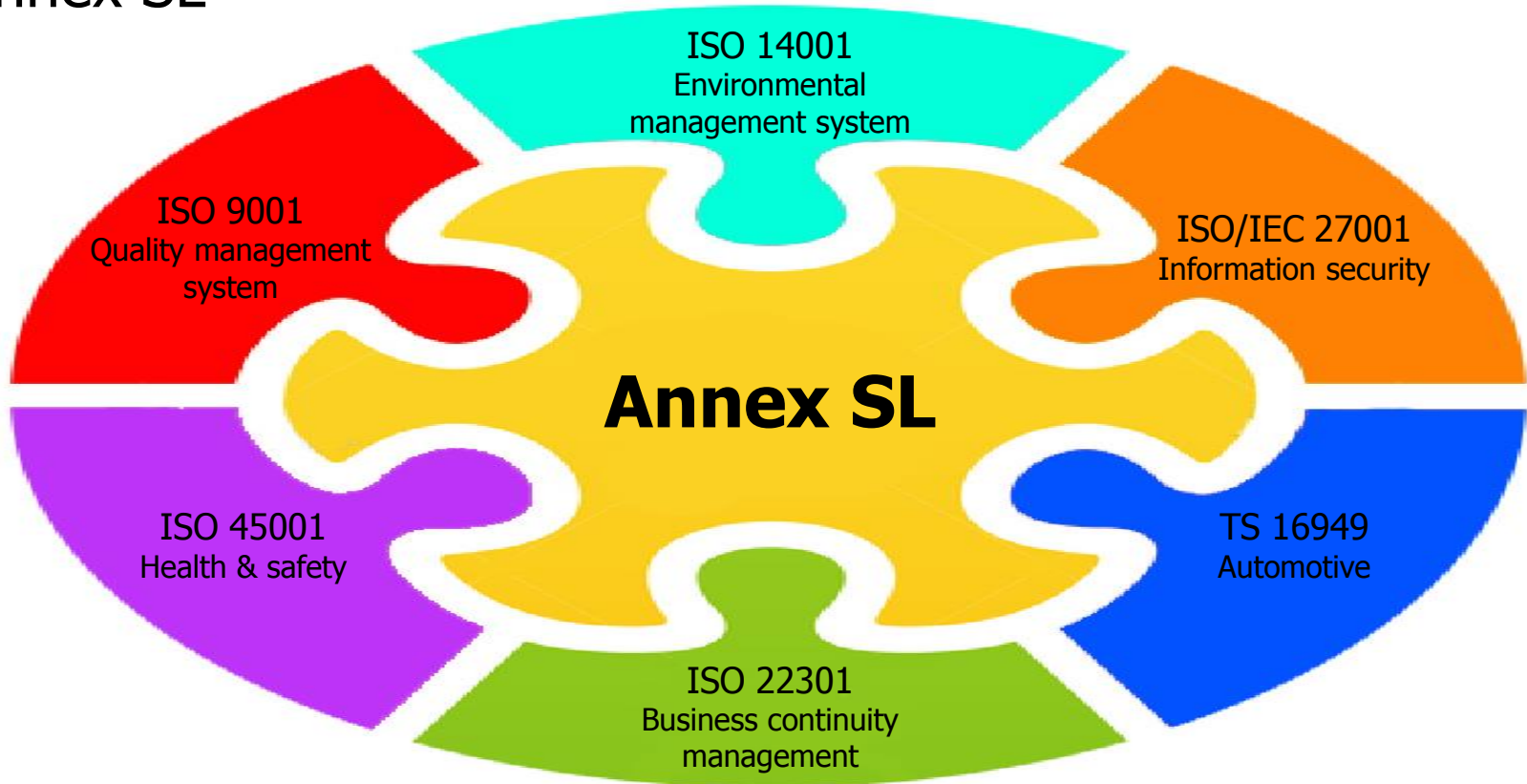
Session 5, 8:30 – 10:00 a.m., Thursday 17 September 2015

Denise Wecker-Seipke, EHS Technical Mgr.



A Registrar's View: Basics

Annex SL



New Standard Layout

New standard begins with ***introductory sub-clauses:***

- **0.1 Background**
- **0.2 Aim of an OHSMS**
- **0.3 Success factors**
- **0.4 Plan-Do-Check-Act Model**
- **0.5 Contents of the International Standard**

These aren't auditable and really don't say much; everyone seems to gloss over them... but they set some expectations, and will guide the interpretations of the standard going forward.

New Standard Layout

If the organization claims an **INTEGRATED** system, it means the Registrar will focus heavily on the successful implementation of **ANNEX SL**

Application of **IAF MD 11** requires the Registrar to **calculate reductions** for certification audits based on the integration of multiple standards

New Standard – New Terminology

The CB or Registrar will use:

- “shall” – mandatory; if you don’t, expect a nonconformity!
- “should” – recommended, which means if you want improvement and aren’t getting there, expect discussion!
- **“may”** – indicates permission, whether your Registrar’s auditor personally likes it or not!
- **“can”** – means possibility or capability, which gets into consulting and the Registrar will steer clear here!

New Standard – New Terminology

- **NOTES** are for understanding – for both the organization AND its CB/Registrar

Thus if a Registrar's auditor sees a weakness or performance they are not comfortable with, they will go back to any **NOTES** in the standard and apply them to make a decision of conformity.

If an organization wishes to avoid nonconformity, they will apply those **NOTES** themselves, as they implement their system.

And as always, it's important to remember that no element of the standard stands alone!

A Registrar's View: Implications

New Standard – New Terminology & Scope of Certification

- **TOP MANAGEMENT** – Person or group of people who directs and controls an organization (3.1.4) at the highest level.

How this affects your organization's audits by your CB or Registrar:

Top Management must be chosen based on the implication of control

- Single site certification – Plant Manager
- Multisite certification – CEO

New Standard – Documentation

DOCUMENTED INFORMATION

- Will have to be controlled and maintained by an organization
- As it can be in any format and media and come from a variety of sources, the organization can be creative and the auditor will have to be flexible

New Standard – Documentation

DOCUMENTED INFORMATION –

- Can cover the system, such as related processes between corporate office and the plant
- Isn't always required but is needed if you can't operate effectively without it, such as processes going across department lines
- Is needed as evidence of intended results achieved

New Standard – New Focus

- **OUTSOURCING** – arrangements with external organization to perform part of the function or process will get greater scrutiny

The external organization may be outside the scope of the management system, but it doesn't mean *the outsourced function or process won't fall within the scope.*

A Registrar's View: Auditing Annex SL

ANNEX SL

- **Top Management** determines the scope of the management system by evaluating:
 - What & where they are – physically
 - The issues
 - Their obligations
 - What they're trying to do
 - What they can control & who/what they should influence

ANNEX SL

- Here is the **radical difference in EHS auditing** – that ANNEX SL has brought – requiring retraining of every Registrar’s auditor!



ANNEX SL

With the previous revision of ISO 14001, the auditor was guided in **setting up the audit trails** based on:

- The organization's significant aspects
- Applicable legal and other requirements
- Operational controls
- Potential objectives & monitoring activity

ANNEX SL

With **ANNEX SL**, the auditor is guided in **setting up audit trails** based on Top Management's determination of:

- Organizational context
- Where they are
- Where they want to be
- The intended outcomes of their management system
- How they're going to measure their progress

ANNEX SL

Auditing under ANNEX SL, the auditor:

- Establishes a **line of sight**
- Assesses the defined processes
- Determines if the system is suitable, adequate and effective to achieve intended outcomes



Thank You!



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