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OUR PURPOSE

TO SAFEGUARD LIFE, PROPERTY AND THE ENVIRONMENT
DNV GL - Global reach – local competence

150+ years
300+ offices
100 countries
14,000 employees
Tomorrow’s successful companies will create value by meeting the world’s social, economic and environmental needs.

We help you build Sustainable Business Performance through our global certification, verification, assessment and training services.

SUSTAINABLE VALUE and STAKEHOLDER TRUST
A Shared Ambition

- **DNV GL:**
  - Sustainability in everything we do. Partnering with our customers to build sustainable business performance and stakeholder trust, contributing to a safe and sustainable future.

- **ISO:**
  - Their vision is for the ISO standards to contribute to innovation and sustainable development

"In the longer term, we can expect sustainability to become a fundamental principle for ISO standards in just the same way as market relevance.”
ISO Management System Standards

- ISO 9001
- ISO 14001
- ISO 45001
- ISO 27001
- ISO 22000
- ISO 20121 Sustainable Event
- ISO 22301 Business Continuity
- ISO 50001
- ISO 20000-1 IT service mgt.
- ISO 39001 Road Traffic Safety
- ISO 20000

- Under revision/development following the HLS
- Already published following the new High Level Structure
Sustainability Drives Success

ISO Standards Drive Sustainable Business Development and Performance

ISO 9001 – Operational Excellence

ISO 14001 – Environmental Stewardship

OHSAS 18001 – Health & Safety Performance

ISO 50001 – Energy Efficiency
Step by Step Transition

1. Identify Key Changes
   - Understand the new requirements
   - Training

2. Perform Gap Analysis
   - Gap Assessment

3. Plan and Do
   - Planning for critical activities
   - Implementation strategies
   - Management commitment

4. Check
   - Internal audits
   - Management Review
   - External audit (if certified)

5. Act
   - Improvement Strategies
Transition Requirements

**DNVGL Target Deadline for Transition Audit:**
15 June 2018

**Important Dates**

– 15 March 2017

– All new certifications or re-certifications will be issued against ISO 9001:2015 & ISO 14001:2015

– 15 September 2018

– ISO 9001:2008 and ISO 14001:2004 mandatory expiration date, which is the withdrawal date of both standards

– Certificate is issued after an upgrade surveillance or recertification audit against ISO 9001:2015 or ISO 14001:2015 has been performed
Transition to ISO 14001:2015

- **A Certificate** is issued after an upgrade surveillance or recertification audit against ISO 9001:2015 or ISO 14001:2015 has been performed

1. DNV GL must be notified as far in advance as possible to complete the necessary contract amendment required
2. Transition Checklist must be completed
   - Not required for new clients to ISO 14001:2015 or ISO 9001:2015
3. Slight audit time increase
   - Function of size and complexity
   - Only for transition audit
Additional Resources

- DNV GL Resources:
  - Interpretive guidelines to ISO 14001:2015
  - Documentation requirements summary chart ISO 14001:2015
  - ISO 14001:2015(IS) – Transition Checklist
About SatiStar Corporation
Our Mission:
To experience the joy of helping our clients excel at what they do.
ISO 14001 Transition Hot Topics
Outcomes

- Understand the critical few transition challenge areas
- Learn about some effective countermeasures
  - Best practices
  - Suggestions and tips
  - Examples
<table>
<thead>
<tr>
<th>Minor</th>
<th>Moderate</th>
<th>Significant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental policy</td>
<td>Environmental objectives and planning to achieve them</td>
<td>Context of the organization</td>
</tr>
<tr>
<td>Leadership</td>
<td>Performance evaluation</td>
<td>Risks and Opportunities</td>
</tr>
<tr>
<td>Competence, training and awareness</td>
<td>Documented information</td>
<td>Life Cycle Approach</td>
</tr>
<tr>
<td>Management review</td>
<td>Communication strategy</td>
<td>Compliance Obligations</td>
</tr>
<tr>
<td>Internal audit</td>
<td>Emergency preparedness and response</td>
<td></td>
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<tr>
<td>Corrective action</td>
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</table>
Context of the Organization (4.1)

- Issues that may impact the organization’s ability to meet the performance expectations of its EMS
- Best Practice
  - Conduct a SWOT analysis
  - Create a Register that includes external and internal considerations

<table>
<thead>
<tr>
<th>Source</th>
<th>Threat / Opportunity</th>
<th>Actual / Potential Impact on Environmental Performance</th>
<th>Existing Controls</th>
</tr>
</thead>
<tbody>
<tr>
<td>External</td>
<td>Community perception</td>
<td>Reputation, complaints, ability to attract and retain employees, etc.</td>
<td>Communications plans, local environmental projects and engagement, recycling program</td>
</tr>
<tr>
<td>External</td>
<td>Regulatory</td>
<td>Ability to operate, fines, reputation, etc.</td>
<td>Legal Register, Compliance Assessments, procedures, monitoring / measuring</td>
</tr>
<tr>
<td>External</td>
<td>Customer perception / requirements</td>
<td>Reputation, future business, etc.</td>
<td>Communications plans, reverse logistics</td>
</tr>
<tr>
<td>Internal</td>
<td>Manufacturing technology</td>
<td>Energy usage, waste production, etc.</td>
<td>Procedures, EMS program, training, recycling / waste management, Lean Six Sigma</td>
</tr>
<tr>
<td>Internal</td>
<td>Employee attitude</td>
<td>Compliance to procedures, involvement, etc.</td>
<td>Employee engagement program, training, communications</td>
</tr>
<tr>
<td>...</td>
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</table>
Risks and Opportunities (6.1.1)

- All activities of an organization involve risks that should be managed
- Assessment historically focused on potentially adverse consequences:
  - Increased emphasis on Opportunities – identification of potentially beneficial consequences
Risk and Opportunities (6.1.1) – Best Practice

- Conduct analysis and develop actions:

<table>
<thead>
<tr>
<th>Potential Threats and Opportunities</th>
<th>Potential Effects</th>
<th>Seriousness / Benefit (1-10)</th>
<th>Likely causes</th>
<th>Probability of Occurrence of Cause (1-10)</th>
<th>Criticality (S x O)</th>
<th>Preventive / Promotive Actions</th>
<th>Contingent / Exploitive Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>What could go wrong?</td>
<td>What would be the most likely downstream consequences of this potential threat?</td>
<td>What would be the most likely cause of this potential threat?</td>
<td>What could be done now to prevent the cause of the threat?</td>
<td>What could be done now to minimize the threat if it does occur?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>What circumstances could potentially be exploited for benefit?</td>
<td>What would be the most likely downstream consequences of this potential opportunity?</td>
<td>What would be the most likely cause of this potential opportunity?</td>
<td>What could be done now to promote the cause of the opportunity?</td>
<td>What could be done now to exploit the opportunity if it occurs?</td>
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<td></td>
</tr>
</tbody>
</table>

Develop internal operational definitions for this scale

Determine Threshold Value (above which actions will be required)
Life Cycle Approach (6.1.2)

- Consider life cycle stages that can be controlled or influenced

- Best practice:
  - Do this before conducting the Risk and Opportunity Analysis
Compliance Obligations (6.1.3)

- Identify all applicable requirements:
  - Legal
  - Other Requirements (external and internal)
  - Consider Life Cycle Implications

- Best Practice:
Summary

- Much remains unchanged (reworded)
- Key Changes:
  - Organizational Context
  - Risks and Opportunities
  - Life Cycle
  - Compliance Obligations
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