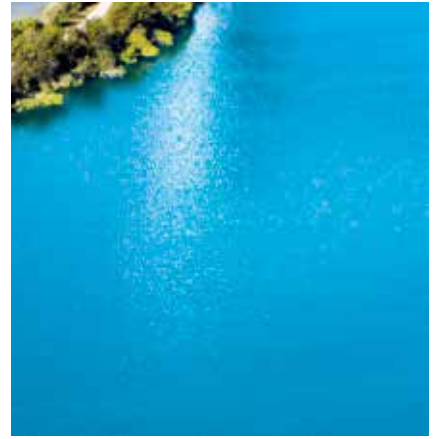




**LEADERSHIP**



**LIFECYCLE PERSPECTIVE**



**DOCUMENTATION**



**PROTECTION**



**FURTHER EXCELLENCE**



**RISK TAKING**



**PERFORMANCE**



**COMMUNICATION**



**REPUTATION**

# **ISO 14001:2015 READINESS CHECKLIST** **YOU'RE CLOSER THAN YOU THINK**



# “THE TRANSITION MAY BE MORE STRAIGHTFORWARD THAN YOU THINK”

– Deborah Cox, D&D Rail Ltd

Feedback from customers that have completed their ISO14001:2015 transition audit with SGS indicates that, for many, they were much closer to meeting the requirements of the new standard than they had initially thought. As a result of this feedback, we have developed a Readiness Checklist to outline the changes contained in ISO14001:2015.

The checklist has been designed to help you to understand exactly what is required in simple terms and to highlight the areas where your business activities may already comply. Working through the Readiness Checklist will provide you with valuable insights and guidance on your next steps.

It is important to note, however, that the Readiness Checklist cannot count as evidence for your transition audit, as our auditors will have to confirm compliance with the standard during your transition audit visit.

## HOW DOES THE CHECKLIST WORK?

This checklist breaks each part of the new ISO 14001:2015 requirements down by clause. During each section you will be asked whether you feel you have fulfilled key elements of the new criteria. You have the choice to mark your response as:

**Ready** – this indicates that you feel you are ready to demonstrate this, and you should look to transition during your next visit from SGS.

**Nearly Ready** – this indicates that, with guidance or support on this matter, you would be able to demonstrate this. We would recommend looking to transition during your next SGS visit.

**Work To Do** – this option means that there will need to be further preparation for your audit, or perhaps even training with the SGS Academy.

You can find the relevant **next steps** at the end of the checklist, where you should have a much better idea on how close you are to transitioning.

## CLAUSE 4 - CONTEXT OF THE ORGANISATION

The **context** of an organisation (sometimes called its business environment) refers to the combination of internal and external factors and conditions that can have an effect on an organisation’s approach to its products and/or services. As a result, the design and implementation of your organisation’s EMS will be influenced by its context.

HAVE YOU DETERMINED	READY	NEARLY READY	WORK TO DO
environmental conditions that can affect the organisation’s purpose or be affected by its environmental aspects?			
external issues including cultural, social, political, legal, financial, technological, economic etc?			
internal issues such as products and services, culture, people, size, knowledge?			
the interested parties that are relevant to the environmental management system?			
the relevant needs and expectations of these interested parties?			
which of these needs and expectations become your compliance obligations?			

HAVE YOU DETERMINED THE SCOPE OF YOUR EMS, CONSIDERING:	READY	NEARLY READY	WORK TO DO
issues relating to your organisation, its context and needs and expectations of interested parties?			
your organisation’s units, functions and physical boundaries?			
your activities, products and services?			
your authority and ability to exercise control and influence?			
the knowledge gained when identifying context and needs of interested parties when establishing and maintaining your EMS?			

## CLAUSE 5 - LEADERSHIP

There is now an emphasis on **leadership** rather than just management. Your top management are now required to demonstrate a greater direct involvement in your organisation's EMS and the removal of the need for a specific **Management Representative** is partly an attempt to ensure that 'ownership' of your organisation's management system is not simply focused on one individual but on that person or group of people who directs and controls your organisation at the highest level.

HAS TOP MANAGEMENT	READY	NEARLY READY	WORK TO DO
taken accountability for the effectiveness of the EMS?			
established the policy and objective in line with strategic direction?			
ensured the EMS processes have been aligned with the business objectives?			
ensured allocation of adequate resources?			
directed and supported persons who contribute to the effectiveness of the environmental management system?			
supported relevant management roles to demonstrate their leadership as it applies to their areas of responsibility?			

IS THE EMS POLICY	READY	NEARLY READY	WORK TO DO
appropriate – considering knowledge gained from Clause 4 requirements, as well as the impacts of its activities, products and services?			
strategic – providing a framework for setting environmental objectives?			
proactive – by including a commitment to the protection of the environment?			
ensures fulfillment of your compliance obligations and to continually improve your EMS?			

HAVE RESPONSIBILITIES AND AUTHORITIES FOR RELEVANT ROLES BEEN ASSIGNED AND COMMUNICATED, INCLUDING RESPONSIBILITY AND AUTHORITY FOR:	READY	NEARLY READY	WORK TO DO
ensuring conformity to ISO 14001:2015			
reporting EMS performance to top management?			

## CLAUSE 6 - PLANNING

Although planning has always been an integral part in establishing and maintaining an EMS, ISO 14001:2015 now places a greater emphasis on the planning that your organisation does to proactively identify any circumstances which could lead to any undesired occurrences and prevent the achievement of continual improvement. Your organisation is now required to consider both its **context** and **interested parties** when planning and implementing its EMS.

DOES THE PLANNING PROCESS	READY	NEARLY READY	WORK TO DO
consider Clause 4 requirements?			
respond to risk and opportunities associated with the aspects and compliance obligations?			

DID ASPECTS DETERMINATION INCLUDE	READY	NEARLY READY	WORK TO DO
consideration of a life cycle perspective?			

HAS YOUR ORGANISATION	READY	NEARLY READY	WORK TO DO
communicated significant aspects throughout your organisation?			
determined, and have access to, compliance obligations related to its environmental aspects?			
determined how these compliance obligations apply to the organisation?			
accounted for these obligations when establishing, implementing, maintaining and continually improving its EMS?			
developed an appropriate plan to address the significant aspects, compliance obligations and risks and opportunities - considering technological options and its financial, operational and business requirements?			

## CLAUSE 7 - SUPPORT

The new ISO 14001:2015 standard provides a lot more specific requirements to place greater emphasis on the provision of resources necessary to establish and maintain an effective EMS.

QUESTIONS	READY	NEARLY READY	WORK TO DO
have sufficient and adequate resources been allocated to fulfil the needs of the environmental management system considering human resources, natural resources, infrastructure, technology and financial requirements?			
have these resources been identified at the 'Planning' stage?			
have top management allocated resources needed and reviewed for adequacy?			
has competency been determined – applied to internal employees AND persons working on behalf of the organisation?			
has your organisation ensured that persons working under its influence are aware of its policy, aspects and impacts, their contribution to the EMS and the implications of not conforming with these requirements?			

## CLAUSE 8 - OPERATION

The type and extent of operational controls will depend on the nature of the operations, the risks and opportunities, significant environmental aspects and compliance obligations within your organisation. The standard allows you to select which operational control methods you will use and to what extent.

QUESTIONS	READY	NEARLY READY	WORK TO DO
have you determined controls, considering each life cycle stage, to ensure your environmental requirements are addressed in the design and development process for your products or services			
have processes been established, implemented and maintained to prepare for and respond to potential emergency situations identified during the 'Planning' stages?			

## CLAUSE 9 - PERFORMANCE EVALUATION

The new version of ISO 14001 recognises the importance of managing through the gathering and analysis of data and there is increased requirement placed on you to implement indicators. This is leading to a far more structured assessment of environmental performance and you will be expected to establish monitoring and measuring that is relevant and reliable and that the results are evaluated and analysed. **Environmental Performance** is defined as performance related to the management of environmental aspects.

HAS YOUR ORGANISATION DETERMINED	READY	NEARLY READY	WORK TO DO
what needs to be measured, the frequency of measurement and the evaluation of results?			

DOES THE PROCESS INCLUDE	READY	NEARLY READY	WORK TO DO
determination of frequency of evaluation of compliance			
evaluation of compliance and undertaking of action if needed?			
maintenance of knowledge and understanding of its status?			

QUESTION	READY	NEARLY READY	WORK TO DO
has a management review been conducted and recorded covering all the requirements of the new ISO 14001:2015 standard?			

## CLAUSE 10 - CONTINUAL IMPROVEMENT

This is a new section which emphasises the general need to improve planning, processes and operations. To comply you will need to demonstrate that you actively look for opportunities for improvement and implement any necessary actions identified to achieve better environmental performance.

QUESTIONS	READY	NEARLY READY	WORK TO DO
when nonconformance occurs, does the organisation take steps to control and correctly deal with the consequences?			
are corrective actions appropriate to the significance of the effects of the nonconformities encountered, including the environmental impact?			
does your organisation continually improve the suitability, adequacy and effectiveness of the environmental management system to enhance environmental performance?			

# YOUR NEXT STEP

Hopefully this ISO 14001:2015 Readiness Checklist has helped you to understand more about the changes of the new standard, and what is required from you to achieve a successful transition. Below is an indication of what your results indicate in terms of your next step.

If the majority (or all) of your answers have covered <b>Ready</b> (with <b>Nearly Ready</b> making up the minority):	If the majority of your answers are <b>Nearly Ready</b> , with a mix of <b>Ready</b> and <b>Work to Do</b> making up the minority:	If the majority of your answers are returning <b>Work to Do</b> , with the minority showing either <b>Ready</b> or <b>Nearly Ready</b> :
<p>Congratulations! You are ready to book your transition audit with SGS. This can be done by emailing <a href="mailto:sustainable-development@sgs.com">sustainable-development@sgs.com</a></p> <p>Alternatively, please get in contact with your regional office, who will be able to help progress your transition.</p>	<p>In this instance, your organisation would benefit from a gap analysis to help identify the areas that need to be addressed and to provide practical ways in which this can be achieved.</p> <p>To do this, please contact your SGS Auditor or regional office directly.</p>	<p>It seems there are still some areas of the new standard that you're not quite up-to-date with yet, but this can be resolved in a variety of ways.</p> <ul style="list-style-type: none"> <li>• <b>SGS Academy</b> – The SGS Academy host a variety of transition training courses. Aimed at organisations already certified to the previous version of ISO 14001, the transition courses last for one day and offer a time-efficient way of understanding the recent changes.</li> <li>• <b>SGS Product Expert Consultation</b> – Another way to increase your knowledge of the new standard is to schedule a consultation with one of our product experts over the phone.</li> <li>• <b>Gap Analysis Audit</b> – a gap analysis is a great method of identifying areas that need attention and understanding the ways in which they can be addressed.</li> </ul>

## RESOURCE MATERIAL TO HELP SUPPORT YOUR TRANSITION

The decision to book your transition audit should be a simple one, however aspects surrounding the publication of a new standard can seem daunting. SGS is committed to making the transition as easy as possible for our customers, and provide continuously updated information and resources at <http://www.sgs.com/iso14001-2015transition>.

There you can find:

- ISO 14001:2015 pitfalls booklet
- Transition webinars
- Client case studies

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For an optimal transition towards ISO 14001:2015 contact [sustainable-development@sgs.com](mailto:sustainable-development@sgs.com) or visit [www.sgs.com/iso14001-2015transition](http://www.sgs.com/iso14001-2015transition)

[WWW.SGS.COM](http://WWW.SGS.COM)

WHEN YOU NEED TO BE SURE

