DQS COMPACT

ISO 14001:2015

The revision of ISO 14001:2015 is a revision of thinking and understanding. Certified organizations need to understand the needs and concerns of interested parties in the context of the organization. The life cycle perspective requires them to look beyond boundaries. Value stream planning requires managing upstream and downstream processes, to include outsourcing. Environmental objectives shall be linked to the organization´s processes and take into account internal and external factors as well as compliance obligations.

With this first issue of DQS Compact, we invite our interested parties – our readers – to embark on a journey of discovery through the highlights of the revised ISO 14001:2015

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The social responsibility of organizations and the role of environmental management systems today

There can be no adequate risk management without systematic consideration and integration of ecological and social criteria, as well as the diligence of good management and its economic impact.

Organizations looking to minimize risk, increase acceptance of their business activities and develop competitive advantages in order to secure their very existence in the long run will need to adjust to this development and the corresponding expectations in their business environment. Financial markets, in particular, increasingly focus on concepts for sustainable business dealings, such as Corporate Social Responsibility (CSR) and Socially Responsible Investment (SRI).

Making investment capital available for the creation of a "Green Economy" offers new opportunities for the finance sector. Studies confirm that investments carried out subject to the ESG criteria – that is, Environmental, Social, Governance – achieve returns not merely in line with the market, but even better. With COM (2011) 681 Corporate Social Responsibility, the European Commission defined the "responsibility of enterprises for their impacts on society". And in order to achieve consistency and comparability in published, non-financial reporting throughout the Union, Directive 95/2014/EU came into effect on 22 October, 2014.

Organizations wanting to live up to a comprehensive degree of social responsibility should work closely with their stakeholders and rely on procedures designed to easily integrate social, ecological, ethical and human as well as consumer rights concern into their core strategy and operational management. When it comes to the environmental arena, ISO 14001 or EMAS have proven themselves a sound basis for the establishment of environmental management systems in organizations from SME to multi-nationals.

ISO 14001 – the internationally most successful environmental standard

It all started in 1991 when ISO first pondered the idea of developing a standard that would allow private-sector organizations to implement a suitable environmental management system applicable in all countries and all business sectors. After the need for such a standard was determined, Technical Committee ISO/TC207 was created in 1993, which then proceeded to work on the development of this new environmental management system standard. Finally, in 1996, ISO 14001 was published.

ISO 14001 was designed as part of the ISO 14000ff series of standards for the independent certification of environmental management systems. ISO 14001 is the corresponding guideline, which provides explanations of the requirements, and is particularly valuable to help users understand the standard itself.

Starting in the year 2000, ISO 14001 was subjected to its first revision, particularly aimed at improving compatibility with the quality standard ISO 9001 and to include various (terminological) corrections and updates to the standard's text. Prior to the revision in 2004, users and certification bodies had pointed out the need to address matters of disparate terminology (different terms for the same content) and structural differences (layout, process structure, same content in different places). In its final consequence, however, these changes did not really come into play until the 2015 Revision.

ISO 14001 today

With the current revision, ISO 14001 has undergone a thorough and comprehensive overhaul. The standard now comprises the same High Level Structure (HLS) applied and published by ISO since 2013. HLS provides a uniform basic text supplemented by standard specific requirements. With the HLS, clauses have been given a new sequence, and new clauses have been integrated. This superordinate structure allows for the easy implementation of integrated management systems, such as with the also recently revised quality management standard ISO 9001:2015 or the new standard for occupational health and safety ISO 45001, which is currently in the DIS stage and is scheduled to replace the currently applicable British Standard BS 18001 in 2017 now.

The changes compared with the previous version of ISO 14001 are extensive and profound. Clause 4.1, Context of the Organization, for example, is completely new. A result of the HLS, the clause focuses on the strategic understanding and inclusion of all current and future environmental and business concerns that may influence the way an organization handles their ecological responsibilities. The new requirement lies in an organization now having to identify all internal and external subjects with regard to certain environmental situations that impact the organization, or that may be influenced by the organization.

Clause 4.2 focuses on interested parties, also called "stakeholders". An organization needs to identify the needs and expectations of their interested parties and take relevant ones into account for themselves, respectively their management system. The newly introduced term "Compliance Obligations" (see below) plays an important part when it comes to the expectations or requirements of authorities and other regulatory institutions.

More responsibility for top management

Clause 5.1. requires top management to take accountability for the effectiveness and conformance of the environmental management system in ways not seen so far. The standard requires active support of the environmental management system and in doing so expressly requires top management to make available suitable resources, both human and material. In addition, top management is charged to create a corporate culture that fosters implementation of the environmental management system's requirements. As much as feasible, top management is called upon to participate actively in this, or to accept responsibility when delegating the implementation of measures to others.

Another new addition is the idea of the "life cycle" in clauses 6.1.2 and 8.1. Considering a product or service throughout their consecutive and interlinked stages means including everything from the raw material generation, product development and manufacture to use by the consumer and final disposal, or return into the economic cycle. As a matter of principle, this includes supply chains and outsourced processes. The organization determines those stages along the life cycle that it has direct control over or where it can exercise the most influence. There is, however, no requirement for detailed environmental reporting.

Not really new, but bigger and better: adhering to "compliance obligations"

There is a requirement to adhere to compliance obligations with interested parties in clauses 6.1.3 and 6.1.4 now, which used to be called "legal and other requirements to which the organization subscribes". While the requirement itself is not new, it has been expanded significantly. The organization now needs to identify the risks associated with opportunities and hazards related to their significant environmental aspects, as well as applicable legal requirements and voluntarily accepted obligations. Such obligations may be entered into with customers, associations or community groups, or they may be concerned with codes of conduct, sector standards or organizational requirements.

Clause 7.4.1, 7.4.2 and 7.4.3 now include new and precise requirements for internal and external communications. What is also new is the requirement of including all people working under the organization's control, with the aim of enhancing environmental performance. Equally important is the reciprocity of communicating from inside out and outside in, for example in

reference to interested parties. What is important is to determine who will communicate what to whom, in which way and by what means. Communication itself needs to be transparent, suitable, truthful and reliable. The decision if and what the organization communicates, however, rests entirely with the organization itself.

Documented information: where and how is up to you
Documentation of the environmental management system (Clause 7.5.1) has been reduced in order to make the standard more attractive for small and medium-sized organizations (SMEs). Emphasis is placed on ensuring implementation of the environmental management system and thus, on environmental performance. The new standard requires that the environmental management system include documented information (what used to be called "records and documents") but mainly as evidence. The organization itself determines which individual information needs to be documented or controlled where and how (e.g. on electronic media). Whether or not documented information needs to be maintained or (only) archived can be found in the respective clauses of the standard. A manual is no longer required for this.

Measuring the organization's environmental performance (clause 9.1.1) against their environmental objectives needs to be carried out based on pre-determined performance indicators in a manner that is reliable, reproducible and traceable. This introduces indicators to environmental management. Relevant findings from the analysis of this data then have to be communicated in-house and externally, according to the rules of communication and taking into account all compliance obligations.

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Eco Management and Audit Scheme (EMAS)
In Europe, the development of standards designed to be used by organizations for systematic environmental protection, in other words implemented as environmental management systems, was started by the European Commission in the early 1990s with EMAS I, which at that time was applicable only in Europe and only for commercial enterprises. This standard, often referred to as "Eco Audit" was published in 1993 and in 1995, organizations were able to register their voluntary registration (certification). EMAS is based on the organization's own environmental statement, which is then validated by an external assessor.

Published in 2001, the revised version EMAS II now became applicable to all organizations, removing a large drawback of the first edition. A significant step forward for EMAS II was the inclusion of the requirement of the globally applicable environmental standard ISO 14001. Following another two-year revision period, the current version EMAS III has been available since 2010, making it finally possible for organizations outside of Europe to apply EMAS.

Since ISO 14001 makes up part of EMAS, the international standard's revision is cause for some adjustments now. The responsible EU Commission has been working on drafts with the member states, and we expect to see the final version early in 2017.

A new perspective – clause 4.3 and the life cycle

Organizations that have decided to implement a systematic approach to environmental management also tend to focus on long-term, sustainable success. They are always looking for means to control or influence their processes in ways that will prevent or minimize negative impacts on the environment and, by extension, their customers and stakeholders. One such means is the so-called life cycle perspective favored by the revised edition of ISO 14001 now.

Within the context of ISO 14001:2015, life cycle stands for "consecutive and interlinked stages of a product (or service) system, from acquisition or generation of raw materials to design, production, transportation/ delivery, use, end-of-life treatment and final disposal. Each organization is called upon to identify which of these stages are applicable to them, according to their product(s) or service(s), and to consider their own ability to control or influence them by looking at:

- the degree of control they have at the various stages
- the degree of influence they have over the life cycle as a whole
- the life (time) of the product
- their own influence over the supply chain
- the technological complexity of their product

These considerations, incidentally, can also be found at the core of any organization's environmental management system: their scope of activities. Much more than the previous versions, ISO 14001:2015 focuses on a strategic view and a comprehensive approach. Application of the revised standard is designed to not only prevent adverse environmental impact, but to fulfill stakeholder expectations by way of active environmental protection within the entire product life cycle.

Thinking in life cycles requires an organization to look outside their own box: accountability for products or services no longer stops at their own door. And therein lies the first real challenge: to determine the beginning and the end of your organization's environmental management system, also known as the "scope (of applicability)". A lack of clear boundaries, however, makes the identification of environmental aspects very difficult, especially in complex organizational structures.

The new clause 4.3 requires this definition of boundaries in a structured and precise manner. The scope shall be factual and representative of the organization, and include all activities, products and services with their environmental aspects. In addition to organizational and physical demarcations, the organization shall consider their own binding commitments (see page 11), stakeholder expectations and relevant internal and external (environmental) topics that may influence their intended results.

Once the scope of an organization has been defined in this manner, it will provide the basis for determining the relevant environmental aspects and their impact, the identification of binding commitments and the introduction of criteria for risk appraisal.

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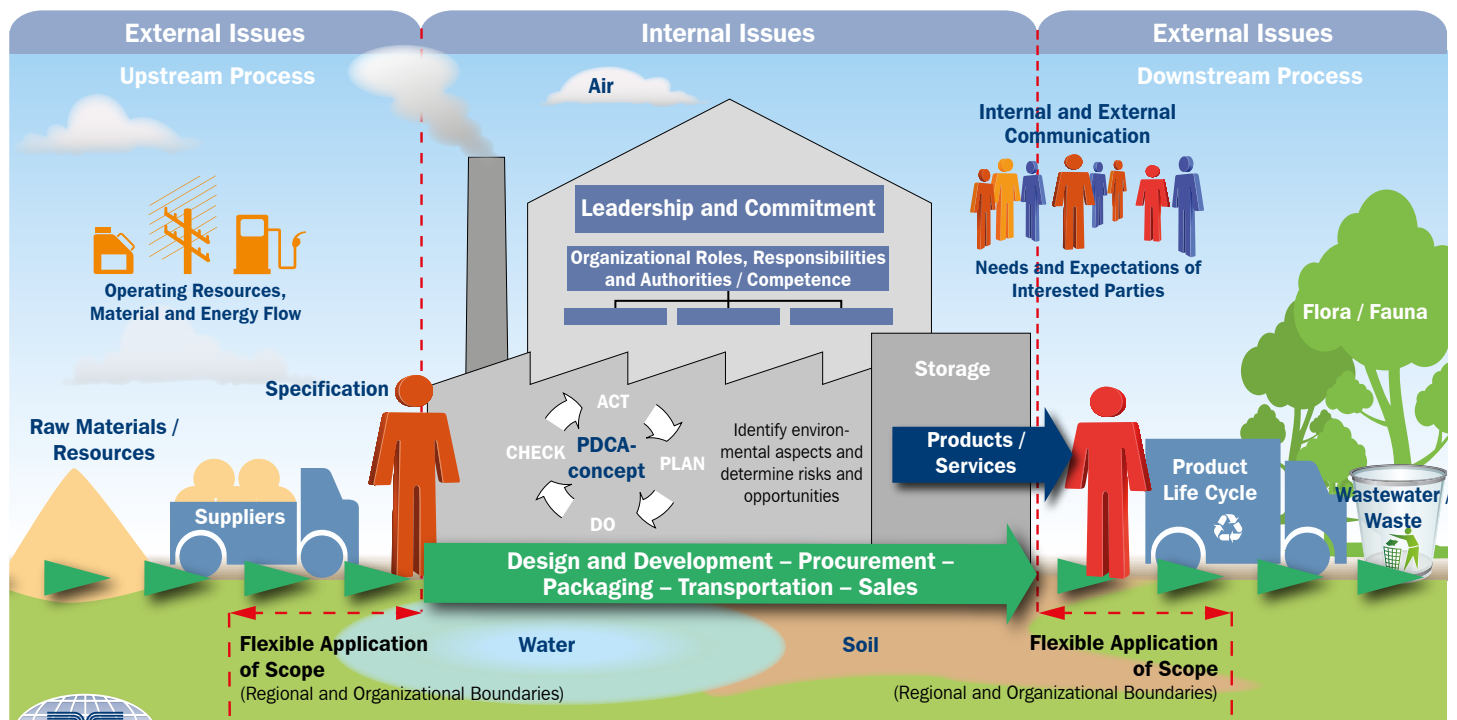
First winery in the world awarded with Green Company GC-Mark

Yealands
ESTATE WINES LIMITED

Not only is Yealands wine outstanding, but the company has just become the first winery in the world to carry the DQS Green Company GC-Mark for its winery operation at their Seaview winery in Marlborough – New Zealand. To receive a Green Company GC-Mark, a company must succeed in "minimising its negative impact upon the environment."

Dr. Chris Brendon (left) and Ron Cracknell (right) from DQS AUSNZ with Peter Yealands

About Yealands Wine Group

Yealands Wine Group was formed in September 2011, when Yealands Estate acquired the well-established Hawke's Bay boutique winery, Crossroads, and successful Marlborough brand The Crossings. The combined entity is now one of the largest privately-owned wine companies in New Zealand, with a global reach of more than 70 international markets. Find out more about Yealands Wine Group: www.yealands.co.nz

The Green Company GC-Mark was approved alongside a successful ISO 14001 certification. Furthermore Yealands Wine Group is already certified according to IFS Food and BRC Food Standard through DQS AUSNZ.

"Since the company began it has been our goal to be the world's leader in sustainable wine production, so it is particularly pleasing to be recognized globally for our winemaking processes at our Seaview winery." says Yealands founder and principal, Peter Yealands.

Sustainability is at the core of their business with many positively impactful initiatives in place, such as the use of miniature 'Babydoll' sheep, burning of wine pruning's and the use of solar and wind power. Another notable initiative is their composting program, which addresses an industry-wide landfill problem. While composting has been used by farmers for centuries, Yealands' innovation comes from working beyond its vineyard boundaries to secure positive environmental impact. Along with their own grape marc waste, partnerships with the aquaculture and forestry industries have driven compost production to more than 50,000 tonnes annually providing benefits to the wider Marlborough region.

DQS AUSNZ is proud to support Yealands in their pursuit of sustainability and environmental responsibility.

For more information about the assessment and certification services of DQS Group, please contact

What are the benefits of GC-Marks?

Unlike traditional standards, GC-Marks demonstrate excellence in a way that is easily understandable for intended target groups. Most consumers have a hard time understanding the relevance of traditional certification, with its multitude of abbreviations and seemingly arbitrary numbers.

By contrast, the designations of the GC-Marks are clear and transparent. GC-Marks can be used on websites, in brochures, on products, and on infrastructure: it is a flexible and visually attractive label suitable for promotional purposes. As such, they can easily be integrated in the marketing and branding strategy of your organization.

A GC-Mark is more than a label: because it is based on solid criteria and a thorough on-site assessment, it is a value-adding experience for your organization. Our competent auditors point out potential for improvement and help you increase efficiency and service quality.

To find more about various GC-Marks, please visit www.gc-mark.com.

Hilmax Engineering goes Revision and more

"Today is a great day in the history of Hilmax Engineering. We are proud to be one of the first companies not just in Zimbabwe but in the region, possibly in Africa, to be certified for the new international standards of ISO 14001:2015 and ISO 9001:2015. Together with our OHSAS 18001:2007 certification, this is a huge milestone in the company's commitment to becoming one of the leading technical solution providers in Southern Africa".

Says Mr. Pascal Musavaya, CEO of Hilmax Engineering (Pvt) Ltd), a key supplier of pneumatic and hydraulic hoses and fittings with seven sites and more than 160 employees providing a high level of customer service in the engineering, construction and mining sectors. The internationally recognized and accredited certificate was awarded by DQS German Association for Certification of Management Systems South Africa Pty. Ltd.

from L to R: Mr. Vusi Bongwe (MD for DQS South Africa), Mr. Bill Finaughty (KW Blasting Managing Director), Mr. Abednego Chigwada (MD for DQS Zimbabwe), and Mr. Pascal Musavaya (CEO Hilmax Engineering (Pvt) Ltd)

"Who says life is about easy things only"

The journey to certification began in mid-2015 following a strategic decision by the Board of Directors and Management to adopt the (IMS) Integrated Management System of Safety, Health, Environmental and Quality Management. Attending an introduction course facilitated by DQS South Africa sensitized staff on what IMS implied and paved the way for the appointment of an IMS Champion and the IMS Steering Committee, whose members then underwent intensive training on IMS implementation and process documentation in accordance with the standard.

Then the company set up a SHEQ project team with 18 staff members trained as Internal Auditors and conducted several internal audits of the IMS, which resulted in numerous reviews and continual improvement of our processes. In December

2015, DQS South Africa carried out a pre-certification audit which was then followed by the certification audit.

Since the implementation of its IMS, Hilmax Engineering has seen tremendous improvement in its operations:

- We have adopted the basic requirements of ISO 9001:2015 for Service Delivery
- We are now exceeding our customers' expectations
- Structures have been put in place for effective and efficient use of resources.
- We run a documented system that captures all processes and steps for timely service delivery. We have developed a process map which identifies inter-linkages within all departments.
- The whole system was designed by members of staff with the leadership of the IMS Representative. Staff motivation and involvement is extremely high.
- There is ownership and pride by the entire staff for this milestone.

Musavaya went on to say, "The certification awarded to Hilmax Engineering is a qualification for us to benchmark our management standards with the best in the world. The road to attaining these certifications has been long and challenging, particularly for a medium-sized organization with many branches and functions all over the country, but the Hilmax SHEQ Team demonstrated that it could be done. My Board recognizes and acknowledges the considerable hard work and commitment the Management and Staff of the Hilmax Engineering have made. This achievement demonstrates that we are on course to achieving our SHEQ objectives through continual improvement of our IMS. With a team of dedicated management and staff, our objectives are achievable. This certification is just but the beginning of a long journey towards quality service provision".

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Evaluating your environmental performance

Another compliance obligation according to ISO 14001:2015

Environmental management has become an indispensable component of sustainable corporate development. Safeguarding the biosphere in the interest of current and future generations is a comprehensive task, which has found its way into the corporate policies of many organizations worldwide. Also, environmental protection is no longer limited to observing binding commitments or reducing negative environmental impact. Today, more and more emphasis is given to the continual enhancement of environmental performance. A requirement that the new ISO 14001:2015 stresses much more than its predecessors, and where indicators need to be documented.

In order to achieve these enhancements, clause 5.2 of ISO 14001:2015 defines three basic commitments for an organization's policy: environmental protection, the fulfillment of all compliance obligations, and the continual improvement of the environmental management system.

Compliance obligations are derived from the organization's context and the requirements of interested parties (see clause 4.2). They provide the framework for environmentally relevant business processes (clause 8), which have to be identified and evaluated in light of their environmental aspects (see clause 6.1, "Risks and Opportunities"). ISO 14001:2015 calls the management of environmental aspects "Environmental Performance*".

Clause 9.1. goes on to require the systematic monitoring, measuring, analysis and evaluation of the relevant environmental performance. To do that, the organization shall determine and document suitable methods and performance indicators. The measurable indicators should be reliable, reproducible and verifiable; they should also be in tune with the environmental policy.
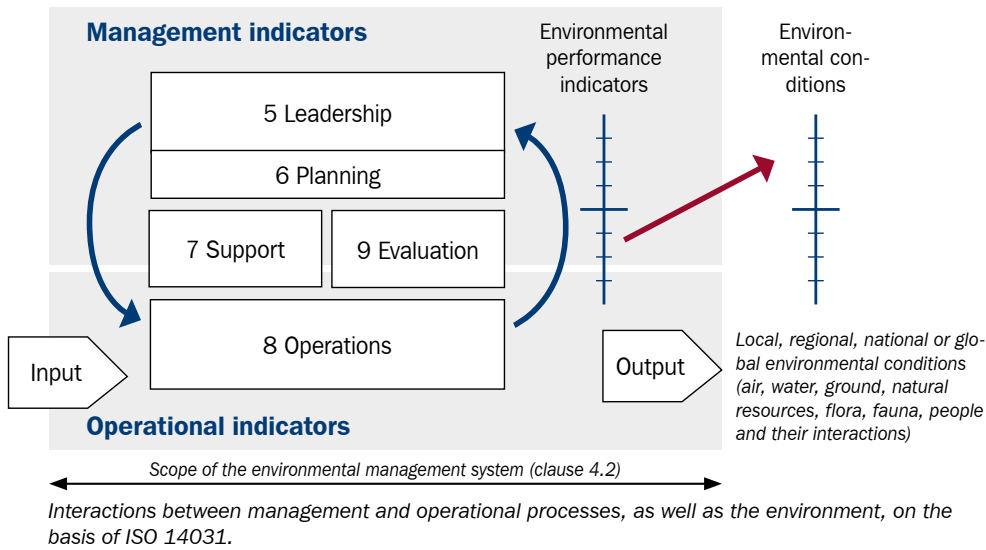
In order to focus the resources of an organization on essential measurings, indicators should be identified in connection with the relevant environmental aspects and their environmental impact. As a rule, performance indicators can be defined in as much detail as desired and for each and every part of the organization. For practical purposes, however, limiting yourself to the truly significant environmental data is necessary, which in turn needs to be focused on concrete objectives, the overall relevance of environmental matters, and the freedom of action the organization enjoys. What is important here is that performance indicators absolutely need to be seen within their context, in order to be meaningful and valuable.

Guideline ISO 14031 provides a comprehensive template for handling measurable performance indicators. Of particular use is their separation into three basic categories:

- **Management performance indicators**
  These serve to illustrate the strategic environmental objectives and refer to information about the capabilities and activities of management that (may) influence environmental performance. They apply to superordinate areas such as the allocation and efficient use of resources, product development or staff training and focus on the fulfillment of compliance obligations.

- **Operational performance indicators**
  Monitoring and control on an operational level: these indicators are best identified by way of recording input (e.g. raw materials, material, water, energy flows), operational processes and production aids, as well as output (e.g. emissions, waste, effluent, products and services).

- **Environmental condition indicators**
  Indicators about the condition of air, water, ground, natural resources, flora, fauna and people that impact the organization, or that may be influenced by the organization, such as information about the water quality of a nearby lake or the quality of the air in their area. These help the organization better understand their environmental impact.

*   Environmental performance according to ISO 14001:2015, clause 3.4.11, is "performance related to the management of environmental aspects. Note: For an environmental management system, results can be measured against the organization's environmental policy, environmental objectives, or other criteria, using indicators".

Management indicators

5 Leadership

6 Planning

7 Support · 9 Evaluation

8 Operations

Input

Operational indicators

Environmental performance indicators

Environmental conditions

Output

Local, regional, national or global environmental conditions (air, water, ground, natural resources, flora, fauna, people and their interactions)

Scope of the environmental management system (clause 4.2)

Interactions between management and operational processes, as well as the environment, on the basis of ISO 14031.

The monitoring and measuring of indicators should take place in controlled conditions and using suitable processes to ensure valid results. Organizations wishing to delve deeper into this subject are invited to consult ISO/TS 14033.

Index	Unit	Interval of ascertainment	Data source	Responsibility	Calculation rule (formula)	Method of ascertainment	Remarks

Documentation of environmental indicators, source: ISO/TS 14033

The benefits of an indicator system are mainly subject to the quality of data. In the course of continual improvement, they need to be reviewed regularly with an eye to the corporate policy and the objectives derived from it. The reliability of indicators is also subject to the quality of data received from measurings, calculations or estimates. VDI 4050 provides a good overview of potential operational indicators.

Evaluation of adherence to environmentally relevant obligations is an ongoing process. In their regular management reviews (clause 9.3), organizations need to review their environmental performance as it relates to their compliance obligations, and evaluate the effectiveness of their environmental management system. From this ideas can be developed for the continual enhancement of environmental performance (clause 10). When it comes to documenting results, the main focus needs to be on the implementation of environmental performance.

Insights developed from the evaluation of data gained have to be communicated internally and externally, according to the rules of communication and taking into account all compliance obligations (clause 7.4).

Communication about environmentally relevant impacts and environmental performance has become an important task of organizations worldwide. Reasons for this are increased public attention and the requirement of listening to the requirements and expectations of interested parties, and to register them as part of environmental communication.

"The evaluation of environmental performance is an important tool of strategic management: diligent review not only reveals environmental concerns, but also strategic opportunities and potential."

Moreover, according to 6.1.4 the organization is required to integrate both the impact and measures for the enhancement of their environmental performance in other business processes, such as purchasing of products that contain hazardous substances. Top management shall assign responsibilities and authorities for the reporting of environmental performance. Information about environmental performance should be substantive and in their presentation reflect the level of technical know-how and language use of interested parties.

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Further reading:
- ISO 14005:2010-12: Environmental management systems – Guidelines for the phased implementation of an environmental management system, including the use of environmental performance evaluation
- ISO 14031:2013: Environmental management – Environmental performance evaluation – Guidelines
- ISO/TS 14033:2012-03: Environmental management – Quantitative environmental information – Guidelines and examples
- VDI 4050: Operational indices for environmental management – Guidelines for development, implementation and use (http://www.vdi.eu)
- EMAS Regulation EC 1221/2009 (http://eur-lex.europa.eu)

Compliance obligations

ISO 14001:2015 contains expanded requirements for organizations

The revision did not result in any significant changes to the key contents of an organization's "compliance obligations". The standard's new "high-level" concept, however, leads to a stronger focus on each organization's responsibility with respect to social and even ethical (environmental) standards. More clearly than ever before, requirements have been placed in the organization's context, both for determining significant environmental aspects, deriving measures, as well as evaluating risks and opportunities. Considering the clear emphasis on the responsibility of top management for the entire process of effectively implementing and maintaining the organization's environmental management system, the effective handling of obligations becomes central to actual implementation questions.

Fulfilling the "compliance obligations" of interested parties is one of the key points of the revision. In doing to, the organization needs to identify the risks and opportunities associated with environmental aspects, applicable legal requirements and voluntarily accepted requirements. These may be, for example, any type of agreements with customers, associations or local groups, but also codes of conduct, sector-specific standards or organizational requirements.

According to ISO 14001:2015, clause 6.1.3, an organization's compliance obligations* consist of legal and other requirements. There is no hierarchy of legal and other, voluntary requirements. Basis for the identification of compliance obligations is an understanding of the organization and its context as described in clause 4 ff. After the organization has defined the external and internal issues relevant to its purpose, the interested parties with their relevant needs and expectations (i.e. requirements) for the environmental management system need to be determined. Working from these needs and expectations, the organization then derives applicable compliance obligations.

So first we need to answer the question which obligations actually arise from what and for whom, followed by the exact content of the obligation. With a look at the evaluation of risks and opportunities – another new aspect in ISO 14001:2015 – we need to identify which opportunities arise from the fulfillment of compliance obligations, and which risks from their non-fulfillment.

Legal and other binding obligations

Binding obligations basically arise from the various areas under legal and regula-tory control, such as civil and criminal law, directives, ordinances or regulations and precedents, according to each country's specific legal system. In addition to these more or less public obligations, organizations also enter into voluntary ones, often called contracts, with employees, suppliers, landlords or banks. Contracts are of course also based on each country's respective laws, but we are free to choose with whom to enter into a contract, as well as the individual contents of a contract. That makes a contract voluntary until signed, and the obligation is limited to the contracting parties, while laws apply to everybody equally.

Voluntary obligations

Voluntary obligations can be equally binding, but arise from voluntary decisions of each organization. The publication of a sustainability report, for example, may create such an obligation if the organization included a commitment to certain activities or codes of conduct vs. their stakeholders. The organization is of course free to cancel this commitment again; however, looking at the underlying social and ethical standards this may result in that organization's conduct being questioned not for legal, but for legitimate reasons.

6.1.4. Planning action

Together with clauses 6.1.3 "Compliance obligations" and 6.1.2 "Environmental aspects", all three belong to chapter 6 "Planning", which shows their close inter-connectedness. When identifying their significant environmental aspects, risk evaluation and determination of signifi-cance cannot responsibly be done without looking at possible compliance obligations and their potential consequences. The more obligations, the higher the risk and

significance. External risk appraisals, e.g. by stakeholders, should also be included and documented, in order to avoid over- or underestimation.

Opportunities, the flip side of risk, also cannot be estimated responsibly without taking compliance obligations into account. Take, for example, a request for permission to build. While the process itself is a legal obligation, voluntarily including stakeholders (e.g. residents, local associations) will result in mutual obligations of trust and reduce the potential for later conflicts, securing the organization's interests for the future.

Finally, looking at the requirements for "documented information", organizations are well advised to document all provisions pertaining to any sort of official permission, and to imple-ment a process to ensure they are kept up to date. Also, when evaluating adher-ence to compliance obligations, their frequency and measures derived need to be documented, as well.

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the term "compliance obligations" replaces the phrase "legal or other requirements to which the organization may subscribe"; the significance is unchanged.

If you want to go beyond ISO 14001
– click on the links to learn more

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management systems
Requirements

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