



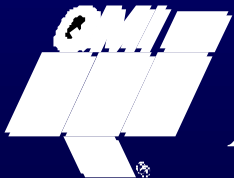
# **“The ISO 14001 Registration Process”**

***CEAA Technical Conference  
October 26, 2001***

***Peter J. Johnson, R.P.F. CEA(SFM)***

***Manager, Registration Development***

***Certified Environmental, SFM and Quality Lead Auditor***

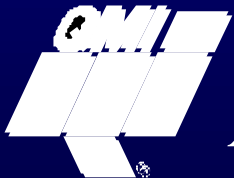


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# About QMI

## ✦ **QMI, a Division of CSA Group**

- ❑ **established in 1984**
- ❑ **independent, not for profit, private organization**
- ❑ **EMS accreditation from SCC and RAB**
- ❑ **SFM accreditation from SCC**
- ❑ **registration services to 12 national/international standards**
- ❑ **over 525 EMS certificates issued**



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# ISO 14001 Registrations

**North America - 2,435**

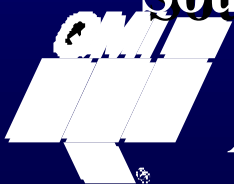
**Canada - 792**

**United States - 1,409**

**Mexico - 234**

**Top NA Sectors - electrical, chemical,  
metal, machinery, construction**

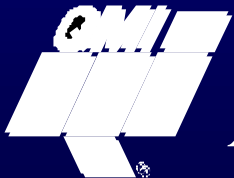
**Source: Int'l Env. Systems Update - September 2001**



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# ISO 14001

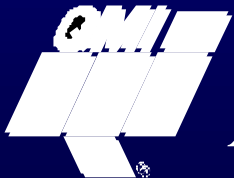
## *Registrar Accreditation The Registration Process*



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# ISO 14001

## *Registrar Accreditation*



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# ACCREDITATION of REGISTRARS

**Accreditation**

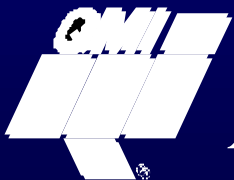
SCC/RAB

**Registration**

REGISTRAR

**Application for Registration**

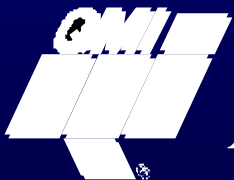
ORGANIZATIONS



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# STANDARDS COUNCIL of CANADA

- **Federal Crown agency under Industry Canada**
- **responsible for administering Canada's involvement in ISO**
- **national mandate covering all aspects of conformity assessment**
- **9 conformity assessment programs**
- **including accreditation of EMS Registrars**

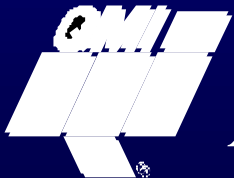


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# Accreditation of Registrars

## Requirements

- ♦ **ISO/IEC Guide 66: “General Requirements for bodies operating assessment and certification/registration of environmental management systems”**
- ♦ **IAF Guidance on the Application of ISO/IEC Guide 66**



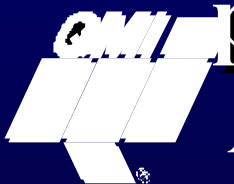
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# Accreditation of Registrars

## General Requirements

- ♦ **Internal:** infrastructure, resources, decision making, service delivery
- ♦ **External:** how audits are delivered (audit teams, audit process, etc.), definition of scope and site, services a Registrar or related body can/cannot provide, no conflict of interest



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# SCC Accredited Registrars

## Accredited:

QMI

Intertek

AQSR

KPMG

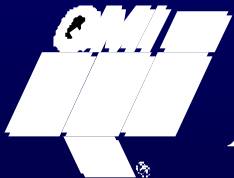
SGS

CGSB

BNQ

## Applied:

PWC IQSR

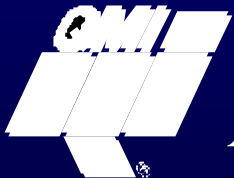


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# ENVIRONMENT



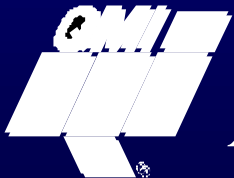
\*\* Sample of Membership



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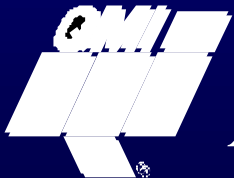
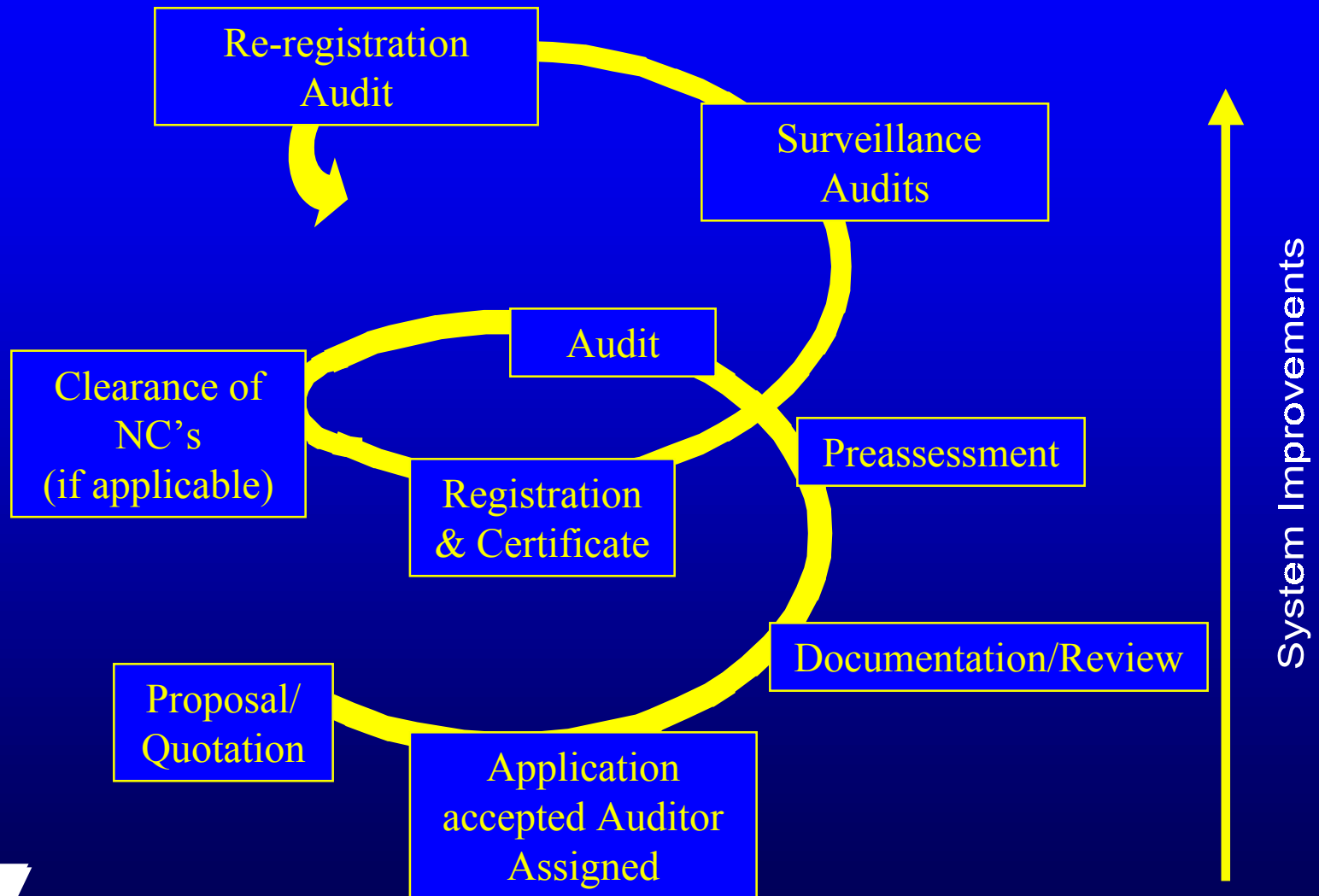
# ISO 14001

## *The Registration Process*



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# Registration Process

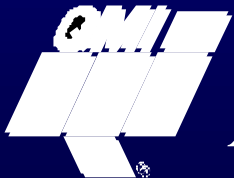


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# 14001 Registration Process

## ♦ **Commitment**

- ♦ **Organizations provide an RFP to Registrars**
- ♦ **Registrars conduct competency analysis and provide cost proposal**
- ♦ **Organizations interview Registrars**
- ♦ **Registrar is selected and signed application returned to Registrar**
- ♦ **Project Manager/Team Leader/Auditor assigned and communication initiated**

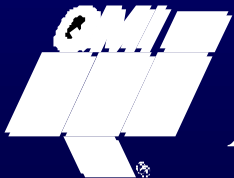


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# 14001 Registration Process

## ♦ Documentation Review

- ♦ Audit team compares documentation and procedures to requirements of ISO 14001
- ♦ Verifies documentation meets the standard
- ♦ Provides cross reference and audit planning tool for the audit team
- ♦ Revisions to documentation if necessary
- ♦ Next milestone confirmed

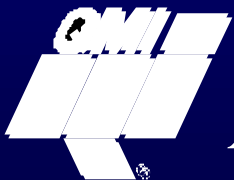


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# 14001 Registration Process

## ♦ Preliminary Assessment

- ♦ On-Site
- ♦ Provides focus for planning the registration audit
- ♦ Gain understanding of the EMS in context of significant environmental aspects
- ♦ Assess your preparedness for the registration audit



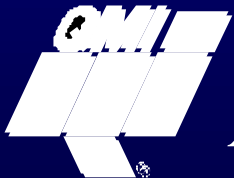
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# 14001 Registration Process

## ♦ **Registration Audit**

- ♦ **Opening Meeting**
- ♦ **Sampling of 100% of your Environmental Management System (i.e. all elements of the standard covered)**
- ♦ **Closing meeting**
- ♦ **Major nonconformances**
- ♦ **Minor nonconformances**
- ♦ **Audit report and Certificate of Registration issued**

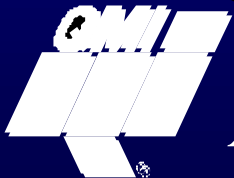


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# Nonconformances-

## What are they?

**“The absence of, or the failure to implement and maintain, one or more required management system elements, or a situation which would, on the basis of objective evidence, raise significant doubt as to the capability of the EMS to achieve the policy and objectives of the organization” - IAF Guidance to Guide 66**



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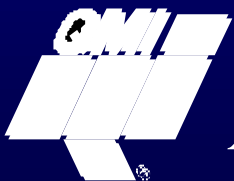
# Nonconformances-

## What do they mean?

- ♦ ***Major*** - significant shortcoming that requires immediate attention.

**Examples include:**

- several minor nonconformances;
- absence or breakdown of a required element, or;
- procedure not available or not implemented.



***Registration delayed until resolved.***  
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# Nonconformances-

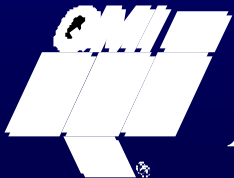
## What do they mean?

♦ ***Minor*** - an isolated event that requires attention.

Examples include:

- procedures or documentation require minor change;
- isolated case where procedures were not followed, or;
- some records were incomplete.

***Registration can proceed with an acceptable corrective action plan.***



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# CERTIFICATE OF REGISTRATION

**I** QMI issues this certificate to:

**Company Name**

**S** **Site Address**

**O** Which has demonstrated that its Environmental Management System is in compliance with:  
**ISO 14001-96**

**1** The following scope of registration applies: The environmental  
management system as it applies to .....

**4**

**Certificate Number**

**000000**

**0** **Date of Original Registration**

**Month 199?**

**Date of Current Registration**

**Month 199?**

**0** **Date Registration Expires**

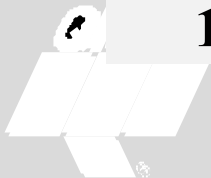
**Month 199?**

**Acc. Logo**

**1**

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**President**

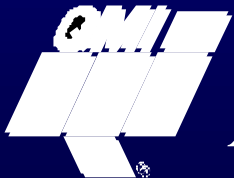


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# 14001 Registration Process

## ♦ Surveillance Audit

- ♦ Semi-annual or annual option
- ♦ Sampling of 50% of your environmental management system (i.e. 50% of the elements of the standard covered) in 50% of the time of the registration audit
- ♦ Year one and two of the registration cycle
- ♦ Re-registration audit in year three (3) after registration

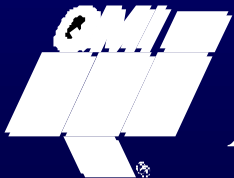


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# 14001 Registration Process

## ♦ **Re-Registration Audit**

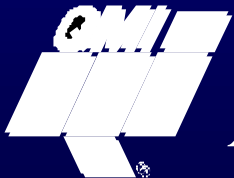
- ♦ **year three (3) after the initial registration**
- ♦ **covers all elements of the standard (repeat of the registration audit)**
- ♦ **may be reduced in scope based on organization's performance over past three years**



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# The Auditors

- ♦ **EMS lead auditors and auditors must meet ISO 14012 criteria (soon to be 19011?)**
- ♦ **compliance vs. systems auditing**
- ♦ **industry & auditing experience**
- ♦ **focus on ISO 14001**

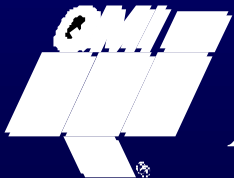


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# ISO 14001

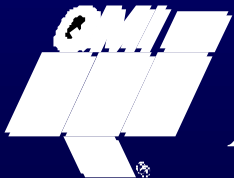
## *Common Barriers to Registration*



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# The Barriers

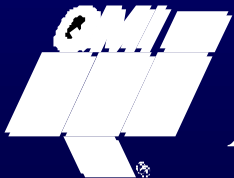
- ♦ **Lack of management commitment**
- ♦ **Costs/availability of resources**
- ♦ **Costs of implementation**
- ♦ **Economic realities**



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# The Barriers (Cont'd)

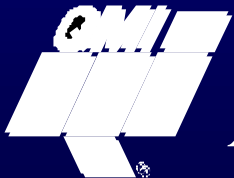
- ♦ “ISO 9000-1994 Hangovers”
- ♦ “ISO 9000-2000 Anxiety”
- ♦ What are the benefits?
- ♦ Is it necessary?
- ♦ Will it add value



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# ISO 14001

## *Hot Topics and On the Horizon*

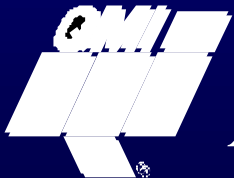


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# **ISO 14001 in Canada**

## **Hot Topics**

- ♦ **organizational consolidation**
- ♦ **large proposals / full service**
- ♦ **multiple sites**
- ♦ **multiple standards / integrated audits (EMS/QMS/OH&S)**

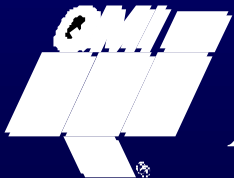


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# **ISO 14001 in Canada**

## **Hot Topics**

- ♦ **enforcement of accreditation requirements**
- ♦ **interpretations of 14001**
- ♦ **sampling plans**

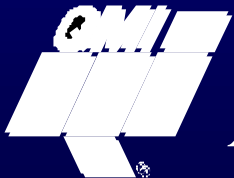


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# **ISO 14001 in Canada**

## **Hot Topics**

- ♦ **auditor supply**
- ♦ **“super auditors”**
- ♦ **provision of auditing and consulting / “coaching”**
- ♦ **accreditation programs for market demand**

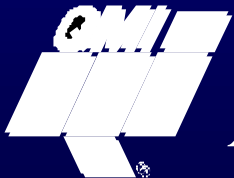


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# **ISO 14001 in Canada**

## **On the Horizon**

- ♦ **integrated systems and audits**
- ♦ **ISO 19011**
- ♦ **revised 14001 and 14004**
- ♦ **providing value to organizations**
- ♦ **where does continual improvement come from?**

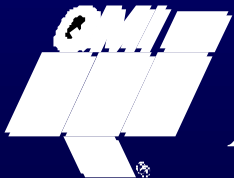


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# ISO 14001

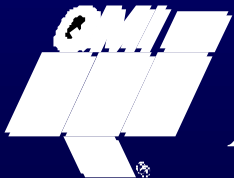
## *Concluding Thoughts*



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# Concluding Thoughts

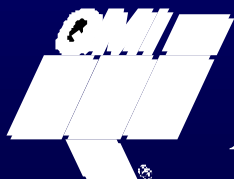
- ♦ **Canada provides a very solid  
ISO 14001 registration process  
SCC / Registrars / Auditors /  
Consultants / Organizations**
- ♦ **Canada's success with 14001 has  
been very good**



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# Concluding Thoughts

- ♦ **The future growth of 14001 will be in the standard's ability to deliver in the areas of:**
  - ♦ **adding value to organizations**
  - ♦ **improving environmental management**
  - ♦ **meeting a broad range of expectations**
  - ♦ **improving environmental performance**

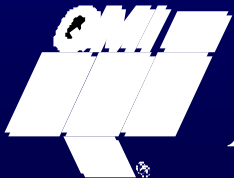


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# Thank you !

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