



# *Standards Development: Expectations for Auditors and others*

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Dennis A. Durrant, Principal  
The *AMD* Consultancy  
Ottawa, Canada K2A 2V3



# Presentation Outline



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# Introduction to standardization



- ♦ *Standard—a document established by consensus and approved by a recognized body that provides for common and repeated use, rules, guidelines or characteristics for activities or their results....*
- ♦ *Consensus—general agreement characterized by the absence of sustained opposition to substantial issues....*
- ♦ *Conformity assessment—the practice of determining whether a product, service or system meets the requirements of a particular standard....*



# National standards development



- ◆ Canada's national standards system (NSS)
- ◆ Roles and responsibilities
- ◆ Canadian standards strategy (CSS)—goals and key elements
- ◆ Environmental standards in Canada
- ◆ *EMS* standards
- ◆ Stakeholder involvement



# International standards



- ◆ International Organization for Standardization (ISO)
- ◆ Accreditation (ISO/CASCO)
- ◆ International Accreditation Forum (IAF)
- ◆ International Auditor Training and Certification Association (IATCA)
- ◆ Regional bodies (PAC, IAAC, etc.)
- ◆ Multi-lateral agreements and peer reviews
- ◆ Market drivers—trade, supply chains and the *value* equation
- ◆ Public interest needs—environment, health and safety: governance and disclosure
- ◆ Standards relevance and '*convergence*'



## ISO 14000 series—pipeline update



- ◆ ISO 14020 series—environmental claims
- ◆ ISO 14031—environmental performance evaluation
- ◆ ISO 14040 series—life cycle management
- ◆ ISO 14063—environmental communications
- ◆ ISO 14064—GHG measurement, reporting, evaluation, validation—entities, projects and verifiers
- ◆ ISO 14001 and ISO 14004 remain ‘core’
- ◆ ISO 19011—MS auditing and auditor qualifications



## ISO 14001--Revisions



- ◆ Review cycle began in June 1998; revisions in 1999
- ◆ Few interpretation issues, and little market demand in Canada for ISO 14001:1996 revision
- ◆ Major push from international registrars and some multi-national companies for increased compatibility with ISO 9001:2000



## ISO 14001 Revisions—cont'd



- ◆ Revisions intended to enhance compatibility with ISO 9001:2000 and provide clarification of requirements
- ◆ NO intention to add or expand requirements
- ◆ Alignment with ISO 9001 much improved
- ◆ Some clarifications achieved, others NOT
- ◆ The standard is longer and more complex for users, auditors and others
- ◆ Bottom-line, at final query stage, several new or expanded requirements established



# ISO 14001 Revisions Summary



- ✓ Expansion of environmental aspects to supply chains
- ✓ New requirement to determine legal requirements of aspects
- ✓ Expanded requirement for method(s) of external communication
- ✓ New requirement to evaluate 'legal and other requirements' applicable to aspects, and for records of periodic evaluations
- ✓ New definition of non-conformity aligned with ISO 9000:2000
- ✓ New requirement and less flexibility to record non-conformities
- ✓ New definition of *internal* (EMS) audit
- ✓ New requirement for impartiality and objectivity in audits and auditor selection; may pose difficulties to small enterprises
- ✓ New prescriptive inputs to management review



## Issues for users, auditors and others



### Users

- Business opportunity
- Increased disclosure
- Supply chain management
- *A get-ready* strategy for transition
- Surveillance and certification
- Technical support
- Incentives

### Auditors

- Competencies (BOSK)
- Training for transition
- Client demands
- Increased audit complexity
- Interpretations
- Practices
- Insurance



## What's ahead for Canada



- ♦ ISO 14001: 2004 Transition period—2005-2006
- ♦ ISO/IEC 17024:2003—*General requirements for bodies operating certification of persons*
- ♦ New MS programs—CAN/CSA Z771-02: *Environmental management systems for hog operations*; on-farm food safety; health facilities accreditation; and new CSA occupational safety and health guideline development
- ♦ Completion of ISO 14064 and ISO/CASCO New Work Item on *Greenhouse Gases—Specifications for bodies that provide verification or validation assessments*
- ♦ IAF's Cross Frontiers Policy and SCC implementation
- ♦ Renewed Canadian Standards Strategy: 2005+
- ♦ NSS Conference—*Charting the Course*, Calgary, November 2004
- ♦ CSA Conference—*ISO 14001, CSR and Climate Change*, Toronto, January 2005

## References

- ♦ <http://www.iso.org>
- ♦ <http://www.scc.ca>
- ♦ <http://www.csa.ca>
- ♦ <http://www.iaf.org>
- ♦ *Environmental Standards: Towards Implementation of the Canadian Standards Strategy*, Pollution Probe, Toronto, August 2002, 71 p. available at <http://www.pollutionprobe.org/reports/standards.pdf>
- ♦ The AMD Consultancy, Ottawa, Canada K2A 2V3  
[ddurrant@sympatico.ca](mailto:ddurrant@sympatico.ca) or (613) 294-5114