RESPONSIBLE CARE 14001:2015 TECHNICAL SPECIFICATION
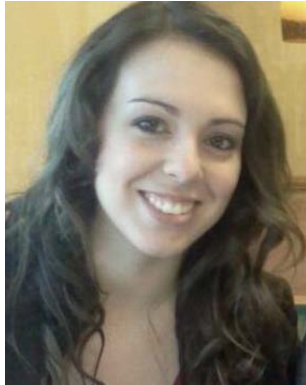
Overview of Changes

Austin Matthews
EHS Assistant Program Manager

- Welcome From PJR Headquarters:

    755 W. Big Beaver Rd, Suite 1340

    Troy, MI 48084

    Phone: 1-800-800-7910

    Email: PJR@PJR.com

- Audience for today's meeting

- Introduction of speaker

Agenda:

- About PJR

- Benefits and Drivers

- Transition timeline and requirements

- Certification Requirements

- Key changes

- Questions

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PJR is a leading Registrar

- PJR is one of the leading registrars in the world for various standards

- Some examples of countries where PJR has certified companies:
  - Australia
  - Brazil
  - Canada
  - European Union
  - India
  - Ireland
  - Japan
  - Malaysia
  - Mexico
  - Singapore
  - Thailand
  - United States

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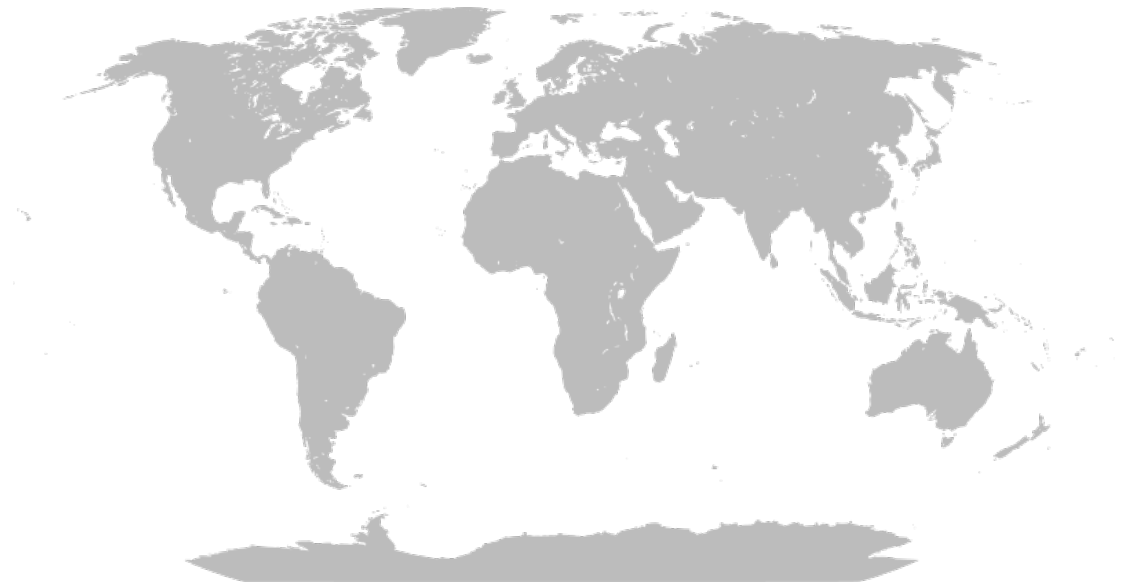
PJR is accredited to grant certification for the following standards :

- ISO 9001
- ISO 14001
- AS 9100, 9110 & 9120
- ISO/TS 16949
- Responsible Recycling-R2
- RIOS
- ISO 13485
- SQF

- TL 9000
- OHSAS 18001
- ISO 27001
- RCMS® AND RC14001
- ISO 22000
- HAACP Compliance
- FSSC 22000
- e-Stewards

Benefits of getting certified include:

- meeting legal requirements and improving the organization's environmental, health, safety and security performance.

- management commitment and employee engagement.

- business management, notably for meeting stakeholder requirements, improving public image, achieving strategic objectives, and integrating with business management systems.

- supplier environmental performance.

- providing a competitive advantage.

- providing financial benefit(s).

RC14001 drivers include:

- a commitment to environmental protection/conservation, as well as to the expanded Responsible Care scope (health, safety and security).

- the reduction of risk of adverse impact within the global chemical industry.

- business management drivers, including customer requirements and public image ("good citizenship").

Transition Timeline

- The RC14001:2015 Technical Specification was published late September of 2015

- The three-year transition period has been aligned with ISO 14001:2015. The deadline is ***September 14, 2018.***

Transition Process

- A client can transition at any time during this three-year period. RC14001:2013 will remain valid until their obsolescence dates/end of transition period.
    - Certification to RC14001:2013 is equivalent to certification to the 2015 Technical Specification during the transition period.
    - Companies can continue to get certified to ISO 14001:2004 for 18 months following publication of ISO 14001:2015. After 18 months from the publication date, companies can only conduct initial certifications to ISO 14001:2015.

- In order to ensure that all clients transition on time, clients will be required to have their transition audits by May 1, 2018.
    - This ensures sufficient time for corrective action response by the client, and certification review and decision activities by the CB.
    - As an example, a client with an anniversary date in July would need to transition in July 2017, or take their 2018 audit early.

Certification Steps

- Establish documented information to meet the standard requirements
- Conduct training to standard/management system requirements
- Implement standard/management system requirements
    - Conduct internal audits of system
    - Conduct compliance evaluation
    - Conduct review of system based on input from internal audit
- Contract with a certification body
- Complete Stage 1 and Stage 2 audits
    - Address any nonconformities → ☺ Certification!

Certification Process

PJR conducts a cursory review of documents in house prior to Stage 1.

The registration audit consists of two stages:

- Stage 1:
  - On-site document review of your EMS
  - Evaluates the readiness of your organization to move to stage 2.

- Stage 2:
  - Scheduled 30 to 45 days after the stage 1 audit.
  - On-site audit of your entire EMS.
  - Nonconformities will need to be resolved prior to issuing of the certificate.

- Surveillance audits
  - Scheduled at either six or twelve month intervals depending on the contract.
  - Partial system audit.

- Re-certification audit
  - On-site audit conducted prior to the third anniversary of the initial certification
  - Surveillance visits will then continue, as before, on a 3-year cycle.

Why was the standard revised?

- While no new requirements have been added to the Responsible Care "box" portions, several changes have been made to correlate with revisions made to ISO 14001:2015.
    - Examples include moving requirements to different clauses to align with the ISO text and/or Annex structure, and the adoption of ISO terminology

Caution: Technical Specification omission

- Please be aware that there was an omission of the employee involvement requirement when the RC14001:2015 Technical Specification was first released. A letter dated 1/4/16 was sent to the purchasers to make them aware of this omission. Be sure to verify that **section 4.4** (see boxed language) of your organization's copy of the Technical Specification contains the appropriate employee involvement requirement.
    - Another way to verify you have the current copy is Item b) of the RC14001 Interpretive Notes, which was inadvertently left blank in the previous version.
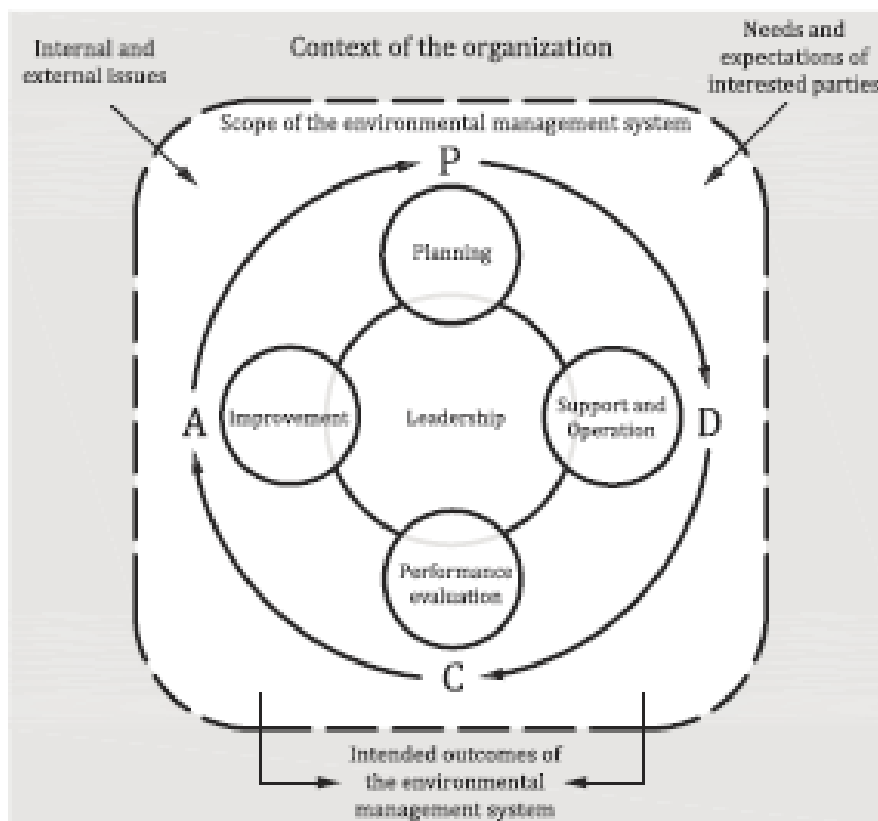
Annex SL - Structure

- Scope
- Normative References
- Terms and Definitions
- Context of the Organization
- Leadership
- Planning
- Support
- Operation
- Performance Evaluation
- Improvement

PDCA model

Key changes in ISO 14001:2015

- The emphasis on leadership

- The focus on risk management

- Emphasis on objectives measurement and change

- Communication and awareness

- Fewer prescriptive requirements

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- **Strategic Environmental Management** - There is an increased prominence of environmental management within the organization's <u>strategic planning processes</u>.

- **Leadership** - To ensure the success of the system, a new clause has been added that assigns specific responsibilities for those in leadership roles to promote environmental management within the organization.

- **Protecting the environment** - The expectation on organizations has been expanded to commit to proactive initiatives to protect the environment from harm and degradation, consistent with the context of the organization. The revised text does not define 'protect the environment' but it notes that it can include:

    - prevention of pollution,   - climate change mitigation and adaptation,
    - sustainable resource use,   - protection of biodiversity and ecosystems.

- **Environmental performance –** There is a shift in emphasis with regard to continual improvement, from improving the management system to improving environmental performance.

- **Lifecycle thinking –** In addition to the current requirement to manage environmental aspects associated with procured goods and service, organizations will need to extend its control and influence to the environmental impacts associated with product use and end-of-life treatment or disposal.

- **Communication** – The development of a communications strategy with equal emphasis on external and internal communications has been added.

- **Documentation** – Reflecting the evolution of computer and cloud based systems for running management systems, the revision incorporates the term 'documented information', instead of 'documents' and 'records'. To align with ISO 9001, the organization will retain the flexibility to determine when 'procedures' are needed to ensure effective process control.

Key changes in the RC14001:2015 Technical Specification

- Adoption of entire ISO 14001 text and Annex structure

- Responsible Care®-specific terms and definitions integrated into the ISO 14001 "Terms and Definitions" (section 3), and adoption of ISO terminology within the Responsible Care "boxes"
  - "Stakeholders" replaced with "Interested parties" (Sections 5.2 f), 7.4.1, 9.1.1, and 10.2)
  - "consider" replaced with "take into account" (Sections 6.1.2 and 8.2)
  - "Processes" replaced with "chemical-related processes" due to the ISO definition of "process" (Sections 6.1.2 and 7.4.1)

- No new requirements have been added to the Responsible Care "boxes." However, four requirements have been removed due to changes in the ISO 14001:2015 text, while others have been moved to align with the ISO text revisions.

- As always, organizations need to include Responsible Care elements (including health, safety and security) throughout the management system in addition to the environmental requirements of ISO 14001. This is especially important as they relate to the organization's context and the needs/expectations of interested parties.

ISO 14001:2015 terms

Related to support and operation:

Risk

- Effect of uncertainty.
  - Note 1 to entry: An effect is a deviation from the expected — positive or negative.

Risks and opportunities

- Potential adverse effects (threats) and potential beneficial effects (opportunities)

Life cycle

- consecutive and interlinked stages of a product (or service) system, from raw material acquisition or
- generation from natural resources to final disposal.
  - Note 1 to entry: The life cycle stages include acquisition of raw materials, design, production, transportation / delivery, use, end-of-life treatment and final disposal.
  - [SOURCE: ISO 14044:2006, 3.1, modified — The words "(or service)" have been added to the definition and Note 1 to entry has been added.]

Related to performance evaluation and improvement:

Environmental performance

- Performance (3.4.10) related to the management of environmental aspects (3.2.2)
    - Note 1 to entry: For an environmental management system (3.1.2), results can be measured against the organization's (3.1.4) environmental policy (3.1.3), environmental objectives (3.2.6) or other criteria, using indicators (3.4.7).

Terms and/or definitions new to RC14001:2015

Operational Energy Efficiency

- Engineering accepted use of the term by the organization. Examples are conversion efficiency, energy required/energy used, output/input, theoretical energy used to operate/energy used to operate.

Logistics Management Providers

- A category of companies which may include, but is not limited to, providers of transportation services other services related to the movement of products and/or supplies.

Product Incident

- Occurrence arising out of or in the course of handling a product that results in injury or ill-health or has an impact on the environment or security.

ISO 14001:2015 changes by chapter

Chapter 4 *"Context of the Organization"*

- Organizations are required to give more consideration to external issues and impacts within their environmental management system, and the needs and expectations of "interested parties" are to be better understood and evaluated as to whether they give rise to specific requirements.

Chapter 5 *"Leadership"*

- Top management should, among other things, take on more responsibility for the effectiveness of the management system and the integration of environmental management into business processes.

- The environmental policy should include a commitment to protect the environment beyond the corporate boundaries.

- A management representative is no longer being explicitly requested, but adequate responsibilities and authorities must be ensured within the organization.

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Chapter 6 *"Planning"*

- The entire planning process in environmental management has been restructured and should take into consideration:
  - the positive and negative environmental impacts of activities, and
  - products and services into account more strongly "from a life cycle perspective" in the future.

- Although the environmental assessment does not need to explicitly include a life cycle assessment of products and processes for example, it should nevertheless examine the significant environmental aspects and all required commitments (legal, customer-specific, etc.), as well as any risks associated with possible hazards and opportunities.

6.1 Actions to address risks and opportunities

6.1.1 General

- The organization's risks and opportunities are to be determined related to its environmental aspects, compliance obligations ,and other requirements, in order to give assurance that the system can achieve its intended outcomes, prevent/reduce undesired impacts (including the potential for external environmental conditions to affect the organization), and attain continual improvement.

6.2 Environmental objectives and planning to achieve them

6.2.1 Environmental objectives

- Environmental objectives are required to take into account the organization's significant aspects and associated compliance obligations, and consider its risks and opportunities.

Chapter 7 *"Support"*

- The commitments to environmental protection are to be given more consideration in terms of communications as well. External representation and reporting must be regulated.

- With respect to documents and records, only the term "<u>documented information</u>" shall be used in the future, thus taking into account the use of modern recording media.

Chapter 8 *"Operation"*

- Operational scheduling and control should pay closer attention to upstream and downstream and, in particular, outsourced processes. This also includes the environmental impacts of products and services right through to the end of their utilization.

8.1 Operational planning and control

- Keeping in mind the life cycle perspective expectations, the organization must:

    – establish controls in the <u>design and development process</u> for the products/service s(considering each stage of its life cycle), and determine requirements for <u>procurement</u>, as applicable, based on the applicable environmental requirements.

    – communicate such relevant requirements to <u>external providers</u>, including contractors, and consider the need to provide potential <u>significant environmental impacts</u> information associated with the transport/delivery, use, and end-of-life treatment or final disposal of its products/services.

Chapter 9 "*Performance evaluation*"

- Based on the extended environmental assessment, expectations for environmental performance evaluations are now also being raised.
    - Includes performance of environmental objectives.
    - Monitoring and measuring will also include all other corporate commitments and risks in relation to environmental performance.

Chapter 10 *"Improvement"*

- The correction of nonconformities as well as the continual improvement process will now focus more on the organization's surroundings and the improvement of environmental performance.

RC14001:2015 changes matrix

RC14001:2013	Responsible Care box requirements (beyond that of ISO 14001)	RC14001:2015
4.2 **Policy**	Is supported by a demonstration of visible leadership, commitment and involvement from <u>senior management</u> and other levels of the organization with respect to Responsible Care	Eliminated—Covered by expanded 5.1 **Leadership**
	Shall promote openness with stakeholders	5.2 **Policy**
	Reflects a commitment to the Responsible Care Guiding Principles	

RC14001:2013	Responsible Care box requirements (beyond that of ISO 14001)	RC14001:2015
4.3.1 **Environmental Aspects**	Assess and prioritize transportation risk	6.1.2 **Aspects**
	Assess and prioritize risk for new, existing and changes to existing products	6.1.2 **Aspects** *Note: Text is modified*
	Assess and prioritize risk for new, existing and changes to existing processes	
	Monitor emerging environmental, health, safety and security concerns relevant to the organization's business and maintain current information related to hazards and risks for: ▪ Products ▪ Processes ▪ <u>Activities associated with its operations</u>	
	The organization shall also consider operational energy efficiency and waste minimization, reuse and recycling when identifying its aspects and impacts.	

RC14001:2013	Responsible Care box requirements (beyond that of ISO 14001)	RC14001:2015
4.4.1 **Resources, Roles, Responsibility and Authority**	A system to identify and assess program and organizational needs and to allocate resources to meet Responsible Care objectives, targets and programme(s).	Eliminated—Covered under 7.1 **Resources**
	A system to recognize the Responsible Care performance of employees	5.1 **Leadership and Commitment**
4.4.3 **Communication**	Have a system in place to assess stakeholder perspectives	Eliminated—Covered under 4.2 **Understanding the needs and expectations of interested parties**
	Involve employees in the development, communication and implementation of Responsible Care programs	4.4 **Environmental Management System**

RC14001:2013	Responsible Care box requirements (beyond that of ISO 14001)	RC14001:2015
4.4.3 **Communication (ctd.)**	Establish and maintain dialogue with employees and stakeholders about its impact on human health, safety, security and the environment, its Responsible Care Management System performance, plans for improving the organization's performance and management of relevant risks for: ▪ Products ▪ Processes; and ▪ Activities associated with its operations	7.4.1 **General (Communication)** *Note: Text is modified*
	Have a system to make product safety and product stewardship information publicly available	7.4.3 **External Communication**
	Periodically evaluate the effectiveness of its communications programs with its stakeholders	9.1.1 **General (Monitoring, measurement, analysis and evaluation)**
	Participate in mutual assistance programs and sharing activities as embodied in Responsible Care.	8.1 **Operational Planning and Control**

RC14001:2013	Responsible Care box requirements (beyond that of ISO 14001)	RC14001:2015
4.4.6 **Operational Control**	Safe operations and maintenance systems sufficient to achieve its policy, objectives, targets and programs	8.1 **Operational Planning and Control**
	Systems to manage change for products, processes and activities associated with its operations, commensurate with risk	
	Systems to protect the environment, conserve resources, protect worker health and create a safe and secure work environment	
	Systems to facilitate the flow of hazard and safe handling information, appropriate guidance and training along the value chain to support risk evaluation and risk management of its products and for receiving such information from suppliers on goods and services used by the organization	
	Commensurate with risk, the organization shall have a process to work with as appropriate, review and assess customers, suppliers, contract manufacturers, carriers, distributors, contractors and third-party logistics providers based on Responsible Care or other health, safety, security and environmental performance criteria that have been established by the organization.	8.1 **Operational Planning and Control** *Note: Text is modified*

RC14001:2013	Responsible Care box requirements (beyond that of ISO 14001)	RC14001:2015
4.4.7 **Emergency Preparedness and Response**	Appropriate consideration of communications and community recovery needs	8.2 **Emergency Preparedness and Response**
	Appropriate participation in the development, implementation and maintenance of community emergency preparedness plans	
	An appropriate process for responding to raw material, product, process, waste material and transportation incidents	8.2 **Emergency Preparedness and Response** *Note: Text is modified*
4.5.1 **Monitoring and Measurement**	The organization shall use relevant measures and records to analyze environmental, health, safety, security and other Responsible Care performance and trends.	Eliminated—Covered under 9.1.1 **General (Monitoring, measurement, analysis and evaluation)**

RC14001:2013	Responsible Care box requirements (beyond that of ISO 14001)	RC14001:2015
4.5.3 **Nonconformity, Corrective Action and Preventive Action**	To identify, investigate cause(s) and assign significance to accidents and incidents. Appropriate corrective and/or preventive action(s) shall be taken to avoid reoccurrence	10.2 **Nonconformity and Corrective Action** *Note: Text is modified*
	To share key findings and associated corrective and preventive actions with relevant internal and external stakeholders	

Additional

- Annex A – Guidance on the use of this International Standard

- Annex B – Correspondence between ISO 14001:2015 and ISO 14001:2004

- Annex C– Responsible Care organizations listing and contact information

- Annex D—ACC legal information

- Bibliography

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Please type any questions you may have.

For additional technical information, please contact Scott Jones or myself using the below contact information:

Scott Jones

EHS Program Manager

Phone: (248) 358-3388

Email: stjones@pjr.com

For a quote, please contact

the sales department at:

1-800-800-7910

Austin Matthews

EHS Assistant Program Manager

Phone: (248) 358-3388

Email: amatthews@pjr.com

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