



# ISO 14001:2004

## Key changes and transition process

### (November 2004)

#### 1. Overview

The Environmental Management System standard ISO 14001:1996 has been revised and ISO 14001:2004 was published on November 15<sup>th</sup> 2004. A parallel revision process has also been followed for ISO 14004, a document providing general guidelines on environmental management systems (EMS), with the new version, ISO 14004:2004 also being published on November 15<sup>th</sup> 2004.

The ISO rules require that standards are reviewed every 5 years, and this work has been undertaken by the ISO Technical Committee 207, Sub-Committee 1, with work initiated in 2000. At a relatively early stage the Committee decided that given the relatively new nature of the standard, environmental management system implementation and certification, the revisions to the standard would be limited to:

- Enhancing compatibility between ISO 14001 and ISO 9001:2000 and
- Improving the clarity of ISO 14001 based on experience to date without resulting in additional or diminished requirements in comparison to ISO 14001:1996.

As a consequence the new ISO 14001 does not contain major changes in requirements compared to the 1996-edition and should not require significant additional work for organisations. The new standard has succeeded in improving clarity of content. The changes required should be able to be assessed as part of the ongoing certification audits undertaken by DNV Certification. The key changes are summarized below in chapter 5.

#### 2. Transition timetable and arrangements

ISO and IAF (International Accreditation Forum) have agreed an 18 month transition period between ISO 14001:1996 and ISO 14001:2004. As a result no certificates according to ISO 14001:1996 will be valid after May 15 2006.

The transition period is split in two phases:

##### **Phase 1 (6 months) (Nov. 15 2004 – May 15 2005):**

This period is intended for preparation. During this period audits and certification can be performed to either old or new version of the standard. **However**, any certificates issued to ISO 14001:1996 must then subsequently be transitioned to the new version by May 15<sup>th</sup> 2006



to ensure ongoing validity.

**Phase 2 (12 months) (May 15 2005 – May 15 2006):**

All audits must be carried out referring to the new standard and all existing certificates must be transitioned to new standard.

Since the changes to the standard are not major, DNV Certification will undertake assessments against the new version of ISO 14001 as part of the ongoing certification contract. The transition can be performed either during a re-certification audit or surveillance audit as agreed with the client.

Of course, any issues that may arise can be discussed with DNV Certification, and if there is any need to review changes and assess compliance to the new version this can be arranged, either through preliminary assessment work or by adding time to existing planned audits.

For more information, please contact your local DNV office. To find your local DNV office, please visit our [global DNV Certification website](#). To find your local office, please use the select country feature on the left hand side.

### **3. If I already have a certified management system, then what?**

For most organisations, the revisions will require you to carry out some reviews of system documentation and processes, verify ongoing compliance in those areas subject to change and clarification, and make changes as necessary to align your EMS to the new standard.

Follow these steps to upgrade your EMS:

1. Identify gaps and needed changes. To assist in this process, a simple checklist can be downloaded on DNV Certification's [Environmental Management System pages](#) on the web, which should be useful to assess the main changes and review the need to take any action.
2. Implement changes and operate EMS for sufficient time to demonstrate that changes are in place and operational.
3. Demonstrate compliance via internal audits, records from management review etc

### **4 If I am working toward my first certificate, what do I need to do?**

For clients seeking certification of an environmental management system for the first time, the EMS should be developed on the basis ISO 14001:2004. If the EMS has already been largely developed according to the 1996-edition, the new requirements should be implemented in the EMS by following the steps as described above. A well implemented



EMS should meet the key requirements of both versions, since the fundamental requirements are the same.

## 5. Key Changes

The key changes to ISO 14001 in the new version are summarised in the table below.

Section	Changes
3. Definitions	Seven new terms (audit, document, procedure, record, nonconformity corrective action and preventive action) are defined primarily for harmonisation and compatibility with ISO 9001:2000.
4.1 General requirements	More explicit on: <ol style="list-style-type: none"> <li>1. The need to demonstrate continual improvement of the EMS.</li> <li>2. The need for the organizations to clearly define the scope of the EMS.</li> </ol>
4.2 Environmental policy	More explicit regarding communication of policy to persons working on its behalf, not only to employees as in 1996-edition. As stated in Annex A2 in the standard, communication to e.g. contractors can be in alternative forms to the policy statement itself, such as rules, directives and procedures covering pertinent sections of the policy (Communication to “external” persons should also be seen in conjunction with requirements in 4.4.2 and 4.4.6 c))
4.3.1 Environmental aspects	More explicit on: <ol style="list-style-type: none"> <li>1. Inclusion of planned or new developments and new or modified activities, products and services within the aspects process (this was formerly under Clause 4.3.4).</li> <li>2. Clear requirement for the information from the aspect process to be documented.</li> <li>3. Significant aspects shall be considered when establishing and maintaining/developing the EMS in general and as a basis to set the Environmental objectives.</li> </ol>
4.3.2 Legal and other requirements	More explicit on: <ol style="list-style-type: none"> <li>1. Determining the applicability of legal/other requirements to an organizations environmental aspects.</li> <li>2. Ensuring that environmental legal and other environmental requirements to which the organization subscribes are considered in developing, implementing and maintaining the EMS.</li> </ol>
4.3.3 Objectives, targets and	Changes are: <ol style="list-style-type: none"> <li>1. More explicit to address that objectives and targets shall be</li> </ol>



programme(s)	<p>consistent with commitment to continual improvement.</p> <p>2. Text under former Clause 4.3.4 on programmes has been merged into this clause.</p>
4.4.1 Resources, roles, responsibility and authority	New version requires that management provides resources for establishing, implementing, maintaining and improving the EMS and not only for implementation and control of the EMS.
4.4.2 Competence, training and awareness	The new version is more explicit in using the term 'persons working for, or on behalf, the organisation', which could include contractors, temporary staff etc. and not only own employees or members as specified in the 1996-version (see also 4.2 above).
4.4.3 Communication	The new version states that the organization shall establish (a) method(s) for external communication about its significant aspects if it is decided to communicate (proactive communication, not only responding to communication from interested parties).
4.4.4 Documentation	The new version is more explicit on documentation needed to be included in an EMS (more aligned to ISO 9001:2000). Requires inclusion of description of the scope of the EMS in the system documentation.
4.4.5 Control of documents	<p>Changes are:</p> <ol style="list-style-type: none"> <li>1. Closer alignment to ISO 9001:2000 in terms of content and clausal structure.</li> <li>2. More explicit requirement to control documents of external origin within the system.</li> <li>3. The term document is now clearly defined and is same as for ISO 9001:2000.</li> </ol>
4.5.1 Monitoring and measurements	The new version no longer requires a "documented procedure", but note that this clause does require the procedure to document information required to monitor performance, applicable operational controls and conformity with objectives and targets.
4.5.2 Evaluation of compliance	Evaluation of compliance includes both legal environmental requirements and other requirements to which an organisation subscribes. This is a new Clause created from the last paragraph of 4.5.1 in order to make requirement more visible. There is no requirement for documented procedure, but it is required to keep records of the evaluation. The changes made imply that this issue have been given more emphasis.



4.5.3 Nonconformity, corrective action and preventive action	<p>This clause has been reworded for clarity, and more clearly requires:</p> <ul style="list-style-type: none"> <li>- Investigation and determination of causes related to actual non-conformities to avoid their recurrence.</li> <li>- Procedure for evaluating need for action(s) to prevent occurrence of potential nonconformities</li> <li>- Records of the results of taken corrective and/or preventive actions, and</li> <li>- Review of the effectiveness of the actions taken.</li> </ul>
4.5.4 Control of records	<p>In this clause the new version no longer lists the specific records required as records from training, audit results and reviews. Where records are explicitly required this is now included under the respective clause. The new version is wider in the interpretation of records required as it addresses need for records to demonstrate conformity with requirements of its EMS and of the Standard.</p>
4.5.5 Internal Audit	<p>This clause has been reworded for clarity, but also note that Annex A refers to the standard ISO 19011:2002 for guidance.</p>
4.6 Management review	<p>The new version has been harmonised with ISO 9001:2000, with a more detailed list of agenda/content for Management Review. The input to management review shall include:</p> <ul style="list-style-type: none"> <li>a) results of internal audits and evaluations of compliance with legal requirements and with other requirements to which the organization subscribes;</li> <li>b) communication(s) from external interested parties, including complaints;</li> <li>c) the environmental performance of the organization;</li> <li>d) the extent to which objectives and targets have been met;</li> <li>e) status of corrective and preventive actions;</li> <li>f) follow-up actions from previous management reviews;</li> <li>g) changing circumstances including developments in legal and other requirements related to its environmental aspects; and</li> <li>h) recommendations for improvement.</li> </ul>
ANNEX A	<p>The guidance in Annex A has been improved for some of the clauses and provides useful and detailed guidance, including reference to ISO 14004 and ISO 19011.</p>