



## ISO 14001:2004 to ISO 14001:2015 EMS Upgrade Instructions / Checklist

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This instruction / checklist is intended for use in upgrading your Environmental Management System for the transition from the ISO 14001:2004 version to the ISO 14001:2015 version for Environmental management systems used in all types of industries.

The above Environmental Management Systems are compatible with each other and have common requirements.

In ISO 14001:2015, the requirements are described in:

- Clause 4 Context of the organization
- Clause 5 Leadership
- Clause 6 Planning
- Clause 7 Support
- Clause 8 Operation
- Clause 9 Performance evaluation
- Clause 10 Improvement

Previously in ISO 14001:2004, the Environmental management system requirements were described in:

- Clause 4.1 General requirements
- Clause 4.2 Environmental policy
- Clause 4.3 Planning
- Clause 4.4 Implementation and operation
- Clause 4.5 Checking
- Clause 4.6 Management review

You have the 2004 version in place and now have the objective of upgrading the system to the 2015 version. The good news is that since you are familiar with formal management systems, this initiative will be relatively straightforward.



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Essentially, the documentation package for the management system will contain:

- One condensed Manual to introduce the documented information required for ISO 14001:2015.
- A group of procedure/system documents in your EMS with updates to reflect a document numbering system related to the new clause numbers and to incorporate the upgrades for ISO 14001:2015 requirements,
- A group of forms and attachments needed for the documented information and systems.

The documentation will need to be reviewed, upgraded and implemented. The first step is to assign a person responsible for the EMS, such as with a Management Representative to become familiar with the changes for 2015 version of the ISO 14001:2015 standard. Visit <http://the14000store.com/> for training materials, resources and information on Environmental management systems requirements.

The following table with detailed instructions focuses on the areas of the documentation required for the ISO 14001:2015 environmental management system.

As you undertake the task of upgrading your environmental management system from the 2004 version to the 2015 version, note that in the left hand column of the instructions, the ISO 14001:2015 clauses shown in **bold numbers** have key changes from 2004 to 2015.

The intent of the main clauses is shown in **blue font** and the text in *italics* indicates where requirements were included in previous ISO 14001:2004.

Use a copy of the ISO 14001:2015 standard along with this instruction to pinpoint for your organization the areas that need attention. You may want to make notes and add comments in the space available to the right and the left of the column for reference documentation. Use the upgrade checklist section on the right side of the table to assign the responsibility for the upgrade and to follow up on its completion.

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ISO 14001:2015 Clause	Changes to the existing ISO 14001:2004 Environmental System	Reference document	Changes in existing documentation	Upgrade Checklist	
				Assigned to:	Date Completed
<b>All</b>	The international standard ISO 14001:2015 is restructured and contains 10 sections or clauses 1 through 10.	ISO 14001:2015	The requirement clauses of the new standard are Clause 4 through Clause 10. Your company needs to become familiar with the new structure and the changes and subsequently upgrade the Environmental Management System (EMS).		
<b>All</b>	While the specific requirement for an environmental manual is not in ISO 14001:2015, the standard requires that Documented Information be maintained for the EMS.	Manual	Replace / rework your existing Environmental Manual with a condensed version that will introduce the Environmental system.		
---	<i>The requirement for an Environmental Manual was not included in ISO 14001:2004.</i>	Manual	In the manual include sections for: <ul style="list-style-type: none"> <li>• Scope of the Environmental Management System</li> <li>• Distribution Control List,</li> <li>• Revision Status,</li> <li>• Environmental Policy and Objective, Strategic Direction,</li> <li>• Organization Chart,</li> <li>• Company Background - Products and Services,</li> <li>• Process Flow Diagram,</li> <li>• List of Documented Information,</li> <li>• Records Documentation Matrix.</li> </ul>		

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<b>All</b>	<i>In ISO 14001:2004, the requirement for documentation was included in 4.4.4, control of documents was included in 4.4.5, and the requirement for control of records was in 4.5.4.</i>		An early consideration is the development of a process for the control of documented information. Introduce a work instruction (such as WI-750-001) to outline the document numbering system for the documented information. Replace / rework the documented procedures for Control of Documents and Control of Records with a procedure, P-750 for Documented Information and include it in section 7.5.		
<b>4</b>	This clause introduces two sub-clauses relating to the context of the organization, (1) understanding the organization and its context and (2) understanding the needs and expectations of interested parties. Together they require that you determine the issues and requirements that can impact on the planning of the EMS. In addition the scope of the EMS needs to be determined and the Environmental Management System established, implemented, maintained and continually improved.				
<b>4</b>	Clause 4, Context of the Organization is a new requirement in ISO 14001:2015.	Documented information	Your company will have to determine the issues and requirements that can impact on the planning of the EMS and that can affect the ability to achieve the intended results of the EMS.		
<b>4.1</b>	Documented information for the EMS sets the stage for an understanding of the requirements and of the international standard as a whole.	Procedure	Document the information (in a document P-400, Organizational Context) to outline the process to understand and determine the internal and external issues that are relevant to the EMS.		
<b>4.2</b>	A stakeholder approach provides for an understanding of the requirements of interested parties.		Include (in a document P-400) the process to understand and determine the needs and expectations of interested parties.		