EMS Working Group Webinar

- To Certify or Not to Certify: This is Today's Question

December 4, 2019

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"Pursuing ISO Certification, Or Not?"

December 4, 2019

Meeting Agenda

- **Welcome** by Kerin Lester, MARTA

- **APTA Business**: Elizabeth Lovinggood, APTA

- **Topic of the Month**: Options regarding pursuing ISO certification or not?

- **Today's Speaker : Dan Locke, Environmental Compliance Administrator**

- **Utah Transit Authority (dlocke@rideuta.com)**

- **Additional comments from Amy Shatzkin, Sound Transit**

- **Final Questions for the Speakers?**

- **Adjournment**

Comments From APTA with
Elizabeth Lovinggood, Program Manager – Sustainability and Planning

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To Certify or Not to Certify,
Our Question of the Day.

Let's welcome Dan Locke,
Environmental Compliance Administrator
Utah Transit Authority

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The Purpose Of The Audit

➢ To inform management of the status of the organization's EMS

➢ To identify non-conformances, areas of concern, and opportunities for improvement

➢ To record findings and act as a starting point for future audits

Approach of an Auditor

➢ Aim to find objective evidence (e.g. facts, not hearsay)
➢ Lead the discussion, guided by the checklist and the audit schedule
➢ Probe potential problems, but don't solve them
➢ Take notes/pictures – a lot of information will be covered
➢ Discuss what you observe with the Process Owner to ensure your understanding of the process.
➢ Confer with your audit team to compare progress and findings before proceeding
➢ Be polite – the aim is not to criticize individuals

ISO - EMS Internal Audit Program

1. Purpose: To determine whether the implemented EMS conforms to ISO 14001:2015 standard, the companies policies and procedures, and the applicable legal and other requirements.

2. Scope: This is your fence line, associated activities that impact the environment, and the established goals by the company.

3. Responsibilities: Identify who coordinates and facilitates the audit. How auditors are to conduct themselves and prevent conflicts of interest.

4. Procedure: 1) Planning – frequency; 2) Auditor requirements; 3) Preparation; 4) Conducting the Audit; 5) Audit records; and 6) Management Review.

ISO Certification Options

➢ ISO Management Systems can be implemented by organizations who simply want to use just some or all of the provisions of an ISO standard.

➢ ISO Certification options:

✓ Accredited Certification;

✓ Un-Accredited Certification;

✓ Peer Review ISO Certification;

✓ Self Certification; or

✓ No Certification

Accredited ISO Certification

➢ Processes and personnel are periodically assessed by an accredited body.

➢ Reduced flexibility of implementation. The organization is subject to the requirements and interpretation of the accreditation body.

➢ Costs:

  ✓ Certification - $12,500 – $15,000 per standard

  ✓ Surveillance - $8,500 - $9,000 per standard

  ✓ Auditor Expenses - $2,500 - $3,000 per auditor per week

  ✓ Total for certification and 2 surveillance audits (ISO certification cycle) = $42,000 over 3 years

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Un-Accredited ISO Certification

➢ Sub-contract an ISO certified auditor

✓ An external party adds transparency and credibility to conformance to a standard. Helps to create increased organizational discipline.

✓ Costs would be that of the auditor's expenses, but may include an added cost for a statement of compliance. (~$3,000 - $4,000 per standard)

Peer Review ISO Certification

➤ Peer Review Certification:

✓ The use of other transit agencies or organizations that subscribe to ISO standards.

✓ Costs would be limited to expenses for each organization to send representatives to conduct an audit or participate in an organization's internal audit process.

✓ Peer review would add more credibility than a "Self" declaration of conformance for external parties.

"Self" ISO Certification

➢ Avoids the costs of obtaining certification from an external party. There are still costs for developing and implementing a "self" certification program.

➢ Claiming conformance to an ISO standard:

✓ All requirements must be met and the interpretation of the standard is reasonable.

✓ Risk of reduced organizational discipline for conformance to a standard.

✓ High risk of liability if the claims of conformance are demonstrated to be false.

➢ External parties place less value on "Self" certification.

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"No" ISO Certification

➤ Avoids the costs of obtaining certification from an external party.

➤ Provides the most flexibility in implementing the provisions of a standard that make the most sense for the organization and provide business value.

➤ Risk of reduced organizational discipline for conformance to a standard.

➤ External parties place the least value on "No" certification than a "Self" certification.

Moving Forward

➢ Accredited Certification: (Recommend at least one cycle)

- ✓ Top Management Engagement
- ✓ Recognizes the Strength of Employee Involvement
- ✓ Well Maintained, Clean and Well Organized Facilities
- ✓ Assures interested parties that UTA is:
  - in compliance with requirements;
  - monitors and measures performance; and
  - continually improves our services.

➢ Unaccredited Certification: Certified 3rd party auditor ~$4,000/year

➢ Peer Review: Less public value; costs – travel expenses of auditor(s)

➢ "Self" Certification: High risk if claims of conformance are false

➢ "No" Certification: Least public value

To Certify or Not to Certify, Our Question of the Day.

Let's welcome Amy Shatzkin, Deputy Director for Sustainability, Sound Transit

Why Certify ?
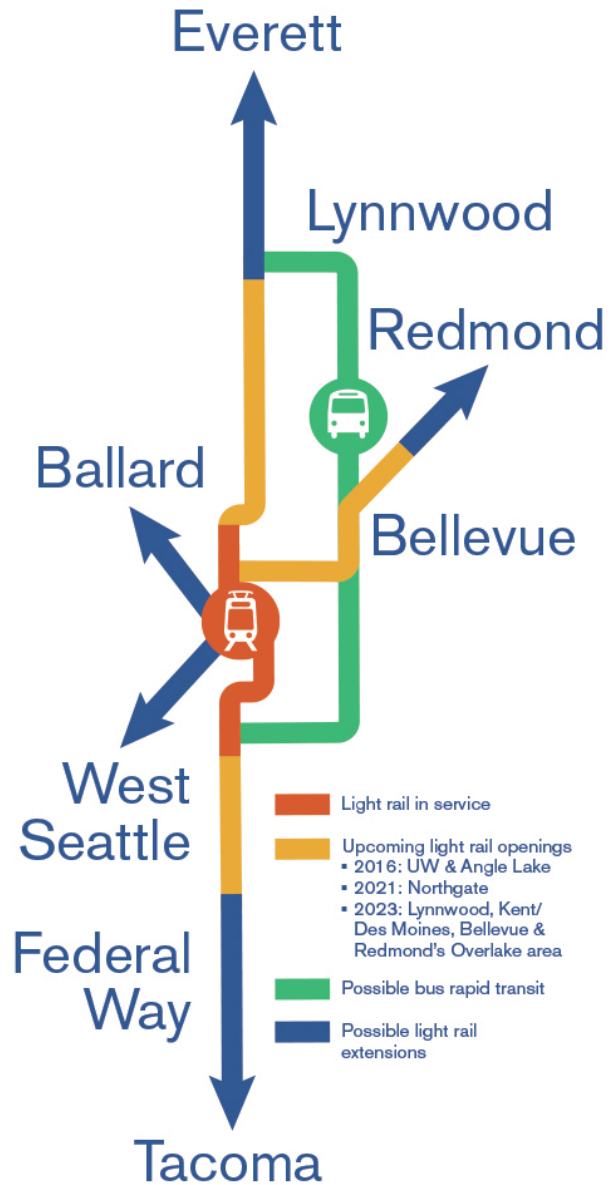
- Costs = $15,000 annually

- Drives accountability - ensures system upkeep by driving internal discipline

- Formalizes roles and responsibilities

- Cements leadership involvement and requires regular reporting to leadership

- Certification process provides internal authority to make improvements

- Auditors recommendations are 'heard' by leadership

- Protects the system through leadership changes

- Once certified, leadership wants to maintain it

- Aligns it with a standard useful to other groups e.g. safety, quality

Leadership – Bottom Down/Top up

Role	Responsibility
Deputy CEO	Initiating program sponsor
Executive Director, Planning Environment and Project Development Department	Executive sponsor
- **Executive Leadership Team** - **Director,** Environmental Affairs and Sustainability Office	Sustaining sponsors
Deputy Director for Sustainability	Single point of accountability
- **Sustainability Steering Committee** (Directors and Senior Managers) - **Sustainability Division Staff** - **Technical staff**	Implementers

ISO Certification supports ESMS & APTA Commitment

- **ESMS activities**

  Record keeping, internal auditing, corrective action, agency management reviews progress

- **APTA Commitment**

  Sustainability Plan, targets, annual metrics

- **ISO Certification**

  External surveillance auditing to prompt continual improvement

Additional Comments ?

Suggestions for our next Webinar ?

Volunteers for Participation?

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