

Stenograph

Slide 1. Opening

Dear colleagues!

Welcome on our annual experience exchange. At first, we would like to thank you for your commitment and professionalism which have contributed significantly to our shared progress and success! We hope this session will be useful to you.

We would like to analyze the specifics of filling out the main documentation and dwell on changes touched the ISO standards.

Overall, this stage is generally well managed. Several repeated inaccuracies require our focused attention.

Slide 2. ISO 9001 global survey

We would like to familiarize you with a global trend in ISO 9001 certificate market. After analyzing the statistics for the past 10 years, since 2014 the number of issued certificates has consistently remained above 1 million. The only exceptions were decrease in 2018 due to the transition to a new version of the standard and a gap in 2023 caused by a change in calculation methodology. This demonstrates a consistent positive trend conforming market demand and indicates favorable prospects for further growth in the near term.

Slide 3. ISO 9001 global survey. Geographical demand.

According to the latest analytics in 2024 certificates were issued in 227 countries worldwide with a top-20 displayed on the screen for your review. China and Italy hold leading positions. Next, countries from Europe and South East Asia along with the United Kingdom and the United States are represented which reflects the stable geographical distribution of demand and facilitates the identification of priority arise for further development.

Slide 4. Aspect of improving the completion of reporting documentation.

We will now proceed to the next topic For your convenience please use the transcription attached to this training session. Today we will review certain changes affected ISO standards as well as the aspects of improving the completion of reporting documentation.

Slide 5. Audit report. Part 2. Improvement potential.

The report starts with opportunities for improvement what refers to the identification or outlining of areas for potential enhancement.

Auditors must refrain from providing prescriptive recommendations or consultancy-type guidance or solutions. Often, the wording of improvement potentials sounds like hidden nonconformities and sometimes even critical. Now, let's look at this through examples.

For instance, an incorrect formulation of an improvement potential based on the results of an audit might be:

"Conduct incoming inspection or control of materials during work execution."

This implies that the incoming inspection is not currently being conducted, although it should be. This is a hidden nonconformity.

Now, let's try to phrase it correctly: "Improve the incoming inspection of materials, including chemical analysis."

Suppose that at the enterprise, chemical analysis is not required. However, if they start performing it additionally, it will enhance their environmental performance. And this difference between "conduct" and "improve" MATTERS.

Slide 6. Audit report. Part 6.1.

Sometimes we face duplication of information across report sections, particularly within Section 6. This should be avoided to maintain clarity.

There are no problems with completing part 6.1. it is usually completed using publicly available information. However, it is essential that any such content is critically reviewed and adapted to reflect a neutral, objective, and professional manner. Marketing language or client-authored narratives should not be used.

Description of organization type

When describing the organization, please ensure a structured and comprehensive approach, covering: size of the organization (small business organization, medium size organization, large organization), affiliation (such as: an independent organization, a subsidiary, an organization as a part of the holding) and the presence of branches or separate sites.

In what regions the organization works or is represented

Geographical scope should be defined as local, regional, national, international level.

Products (services)

Specify products (services), produced by the organization in the scope of the management system.

Slide 7. Audit report. Part 6.1–6.2

Customers

Specify the main customers or branches.

there is no need to provide the exact companies of the legal entities. It is enough to outline the market sectors or branches of consumers.

Description of the site conditions

With respect to site conditions, we expect an evidence-based description.

From this part we should see that organization provide and maintain the infrastructure and environment necessary for the operation of its processes and to achieve conformity of products or services. So, describe whether these are rented rooms, industrial or residential area, close to some other companies, if there are regular inspections of premises, ergonomics of workspaces, occupational safety and so on.

Specific infrastructure objects

Description of condition with account of specific infrastructure objects (such as petrol-filling station, boiler station, electrical substation, hydraulic engineering installations, landfill), their impact on quality of products and/or environment and/or risks for the staff and/or significant energy consumption.

Slide 8. Audit report. Part 6.3

Depending on the scope resources can be: financial, human, materials, raw materials and components.

List the main materials, raw materials and components, which are INVOLVED into products or services. If competence of the staff is required for manufacturing of products it should be mentioned that such staff with the required competence is available in required amount (for example, the number of welders is presented in full in accordance with the staffing table).

Basic technological operations

The main technological stages of a production or service, i.e. a brief description of the process.

List of main technological equipment.

For specific standards, additional focus is required:

- ISO 14001: environmentally sensitive equipment,
 - ISO 45001: equipment associated with occupational risks,
 - ISO 50001: major energy-consuming assets.
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Slide 9. Audit report. Part 6.4

Changes are often reflected in the customer details, but in this part of the information report are missed. These must be clearly identified and documented, including:

Any changes from the development of new procedures to changes in the structure of the enterprise. Examples of possible changes are shown on the screen for review.

Slide 10. Audit report. Part 7

Outsourced processes must be consistent with the application (Sometimes, data about outsourcing is missing in the application but appears in the report, and vice versa), info should be supported by appropriate verification evidences in annex to the report where the part of the certified scope is outsourced.

Slide 11. Audit report. Customer details

In this document, it is necessary to note the languages of the certificate, the need to add a logo, and check the correctness of all the given data: company name, field of activity, address. The document must be signed by both the client and the lead auditor. By signing and sealing, the client confirms the accuracy of the entered data. Based on the information included in this document, a certificate is issued.

Slide 12. Audit report. List of participants

Regarding the list of participants – clarity, completeness, and traceability are essential.

The names and positions of the participants should be easily read. All participants must leave their signatures, and for some employees it is necessary to leave confirmations of participation in the opening and closing meetings. Auditors should also be included in this list. Please make sure that the order number, audit type information are correct. And the page is numbered.

The persons mentioned in the list of participants must also be documented in audit plan. In audits, for example, for 45001 and 14001, it is necessary to involve responsible positions in the audit, such as ecologist, medical workers, occupational safety engineers, responsible for occupational safety workers' representative. It often happens that the OHS engineer is also responsible for environmental issues, at some enterprises. In that case, please specify that they are the authorized person for Environmental Management System. They also need to sign off.

Here's the key point: the list of audit participants should include only those who are directly involved in the work. For example, if it's a chemical plant, the participants should be operators, machine operators, or equipment technicians.

The list of persons who participated in the audit should be proportionate to audit plan. With 20 employees, 5 verified employees is a very small number.

Slide 13. Scope

Scope and its processes.

According to the report and the annex to it, the verification of the ENTIRE certification scope should be traced, and in the annex to the report there should be provided evidence of verification of ALL processes in the scope. For these reasons it's better to advise organizations that the content of their scopes of activity is not too large. At the same time, it should reflect the actual services provided to customers.

There are cases, when the scope of application cannot be verified immediately. For example, this is often the case with construction companies—there are many operations performed. However, at the moment, they might be able to show you only one or two. Each operation they are certified for needs to be verified. If part of the scope cannot be verified at this time, that part should be excluded from the scope. Alternatively, an additional audit may be conducted to verify when they will carry out those operations.

Slide 14. Scope

The next aspect requiring attention is the not fully described scope declared for certification.

In the report annex, section 8.1, description of the scope of application, processes, activities, and stages of the technological operation is often missed. It often simply states that the scope has been verified, with no further details. It is necessary to provide information about the operations, personnel, and equipment.

So, please, be sure that all that aspects are covered.

Slide 15. Audit plan. Structure.

Each audit must follow a structured flow – from opening meeting and through site tour to closing meeting. This document must be detailed, and free from abbreviations.

Slide 16. Opening and closing meetings.

The following persons should be invited to the opening and closing meetings:

- Top management
- processes and divisions coordinators
- Personnel responsible for MS (for OHS Personnel responsible for employee health (medical staff).
- the representative body of the organization's employees or justification of their absence.

Slide 17. Audit plan. Details.

The main errors in checking the audit plan. the man-hours labor intensity is most often violated. The mandatory points of the standard are omitted. For example, a common mistake is auditing irrelevant clauses of the standard. An auditor without the required code and without a technical expert is assigned to a production unit. Since the auditor does not have the competence, they cover clauses 7, 6, and 9, while clause 8 is not addressed at all—neither 8.1 nor 8.2, even though they are mandatory. As a result, the audit fails to cover all the necessary clauses and instead focuses on irrelevant ones. If it is not possible to assign a competent auditor to the unit, the audit team should be reconsidered in some way.

Competence-specific requirements shall be checked by appropriately qualified auditors.

Slide 18. Audit plan. Multisite audits.

For multisite audits, all locations must be explicitly identified, including names and addresses. Companies often undergo reorganization and restructuring; accordingly, the names of departments should be updated and accurate. Travel time should be reflected where relevant. The specific name of each verified process must be clearly indicated. All processes within the defined scope shall be subject to verification, and this must be explicitly reflected in the audit plan.

Slide 19. Compliance with the requirements of the standard.

This guides us to the document Compliance with the requirements of the standard Do not forget about the selection of clauses of the standards when conducting surveillance audits. Their time is not enough to check all the items, so it is necessary to make an equivalent sample, for a 3-year cycle, all items must be checked. The standards' point missed for verification this year should be marked as "not planned for verification this year" in the annex to the report. All other points in the annex to the report needs to be described.

Slide 20. Compliance with the requirements of the standard.

You may see what parts of the standard are allowed for selection.

Slide 21. ISO 9001 completed.

This brings this module to a close. Thank you for your attention.

Slide 22. Analysis of findings identified in audit documentation. Climate agenda. ISO 14001.

We now proceed to review ISO 14001, focusing on the Analysis of the findings documented in audit reports.

Slide 23. Climate agenda.

Let's start with the most important update. Clause 4.1, 'Understanding the organization and its context,' now explicitly requires organizations to determine whether climate change is a relevant factor. Previously, this was indirect. Now, it's a direct requirement. As auditors, we must verify if the company has considered climate risks in their management system.

Slide 24. Climate agenda. Two key climate factors.

It is essential to distinguish between two different business factors related to climate. First – the organization's impact on climate change – that is, its carbon footprint and emissions. Second – the impact of climate change on the organization – how weather and climate affect operations. Auditors need to check that both directions have been analyzed.

Slide 25. The organization's impact on climate change.

Now, which organizations have the greatest impact on climate? The level of greenhouse gas emissions is the key indicator. Typical high-impact sectors include chemical plants, thermal power plants – which generate over 80 percent of electricity in many regions – and all modes of transport. During an audit, we must confirm that such organizations have at least assessed their emission volumes.

Slide 26. The impact of climate change on the organization.

Now let's look at the reverse situation. How does climate affect the organization itself? Three common channels: deterioration of physical assets due to extreme weather, deterioration of working conditions because of rising global temperatures – for example, outdoor work becoming harder – and changes in operating patterns due to weather disruptions. All of these must be included in the organization's context analysis.

Slide 27. The impact of climate change on the organization. Direct and Indirect Impact.

As auditors, we need to split these impacts into direct and indirect. Direct impact affects the organization itself – its own assets, people, processes. Indirect impact comes from disruptions in supply chains and markets. For example, if a factory's roads are flooded – that's direct. But if a supplier's factory is flooded and stops delivering parts – that's indirect. Both must be tracked.

Slide 28. The impact of climate change on the organization. Direct Impact – examples by industry.

Let me give you concrete examples of direct impact. For airlines, weather affects flight schedules, increases fuel consumption, and therefore increases emissions. For chemical plants, climate affects process technology, energy use, and how pollutants disperse in air and soil. For agricultural enterprises, climate directly affects crop yields and livestock numbers. If an organization's documentation does not address these risks – we note a non-conformity.

Slide 29. The impact of climate change on the organization. Indirect impact – examples

Indirect impact is more subtle. It includes disruption of raw material supplies from partners who are also affected by climate. It includes new or higher compensation payments and fines for emissions – which change the business economics. It includes changes in legislation and regulations, which are already happening worldwide. And it includes the shift to alternative and renewable energy sources – if a company ignores this, it may lose market position. All of this is part of the context, and the organization must monitor it.

Slide 30. Interested Parties.

Finally, let's talk about interested parties. Who specifically will hold the organization accountable for climate considerations? Environmental organizations – both governmental and international. Neighboring enterprises and facilities – whose risks may overlap. Transport companies – who care about schedules and fuel consumption. And energy supply organizations – because the carbon intensity of purchased energy directly affects the company's own emissions and costs. As auditors, we must check if the organization has identified these parties and considered their expectations regarding climate, if not – that is a gap in the management system.

Slide 31. Annex to the report, section 8.1

The following aspect requiring attention is incomplete disclosure of the system scope declared for the certification, description of key processes, activities, and stages of the technological operation related to EMS are missed.

The same happens to significant environmental aspects, and management methods. Often, they are not described. This occurs due to copying information from other standards. In such cases, risks, quality situations, impacts on quality or energy carriers are listed, but there is no information about environmental aspects provided.

Slide 32. Audit report. Data traceability

The report should have traceability of data. Sometimes, section 4 does not correlate with sections 6 and 8 or contains information related to other standards.

For example, section 4 discusses technology generating a large amount of waste, but there are no waste aspects in section 6.

If waste is being recycled, this should be explained, and section 4 should specify it as recycled waste.

Slide 33. Audit report. Part 6. Planning.

Section 6 relates to environmental risk, legislative requirements, environmental opportunities, and compliance with norms. All risks and aspects are derived from influence factors. Another omission is that the listed risks and opportunities do not impact the environment—for example, dumping by competitors or supply disruptions of raw materials. If a risk or opportunity has an impact, it must be disclosed. For example, expanding the product range: how does it influence the environment? Perhaps, waste is being recycled into new products, reducing waste. The influence and factors should be clearly detailed.

Slide 34. Audit report. Part 6. Planning.

Each of these risks should also include a corresponding activity—an explanation of the measures taken. For example, if the issue relates to emissions, an activity could be the installation of an additional purification system. A few key points from these activities should be outlined. Providing only the date and revision of the measures is insufficient. Examples of goals with numbers should be provided, such as: Reduce atmospheric emissions by 10% by the end of year.

Slide 35. Audit report. Part 7.1 Proofs that required resources are provided.

Information requested in section 7.1 can often be confused with the information requested in section 7.2.

Section 7.1 includes 3 aspects. The 1st one covers proofs that required resources are provided. Should be given Examples of the provision of specific resources and an indication of the measures for which they were needed with details such as reference numbers.

Slide 36. Audit report. Part 7.1 Sufficiency and substitutability.

The 2nd one covers sufficiency and substitutability.

The audit team could make sure that the organization has persons necessary for the implementation of its management system and for control of its processes. Give an example of number of persons sufficient for operation of the management system. It could be sufficient number of specialists for implementation of main and supporting processes, operations control, internal audits.

Slide 37. Audit report. Part 7.1 Maintenance of infrastructure in operational condition.

The 3rd aspect covers Maintenance of infrastructure in operational condition.

Give examples of maintenance of infrastructure objects which are the most important for production process, such as Information on inspections, maintenance works or repair of infrastructure objects which are the most important for production process maintenance.

Sometime in this part irrelevant equipment may be listed—for example, in a forging workshop software for client management instead of equipment impacting the environment directly, such as a forge is checked. This often happens when information is copied from other standards—for example, factors affecting quality (like milling) may be irrelevant to environmental impact. Milling is a finishing operation that fits the drawing, size specifications and greatly affects quality. But it rarely impacts the environment since chips are melted down.

Slide 38 Audit report. Parts 7.3–7.4 Awareness. Communication.

There's confusion between sections 7.3 "Awareness" and 7.4 "Communication."

Section 7.3 should specify knowledge and awareness about policy, goals, and individual roles within the system—particularly technical knowledge if needed.

This includes understanding how operational modes affect emissions, discharges, and waste.

It should not include protocols like technical meeting minutes, which show communication. It does not demonstrate that the knowledge of personnel has been verified; rather, that information has been delivered. The level of understanding of this delivered information should be checked.

Slide 39. Scope.

As we noted earlier, In point 8.1 scope should be fully described. Considering ISO 14001 it also should include environmental aspects related to the operation, along with management measures, such as established operating regimes to minimize waste and energy loss. Content for this section should include: declared scope of application, main technological operations for each activity within the declared scope.

A relevant example for one operation might be:

Scope of application: Production of metal products.

Main technological operations: Steel melting, casting, forging, primary machining, heat treatment, finishing.

- Operation: Steel melting. This is the most environmentally significant. It should specify who performed it, such as a melter or control master, referencing corresponding technological instructions (e.g., instruction number, year, equipment, maintenance status).
 - Significant environmental aspects: Emissions of CO₂ into the atmosphere, energy consumption.
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Slide 40. NONCONFORMITIES.

In section 10.2, causes of nonconformities should be adequate, sufficient

It is necessary to identify adequate causes of nonconformities, in accordance with which effective and sufficient corrective actions will be developed. For example, insufficient competence of the staff was identified as the reason for the nonconformities. Corrective actions: Additional training.

If personnel did not fully understand during the initial instruction, repeating such training could help address this, but at the same time It may not solve the problem effectively. Additional training may be necessary. But sometimes the reason may be something else, the other factors may occur such as Incorrect assignment of responsibilities or undefined responsibility for a particular operation could also be issues. Accordingly, these reasons require other corrective actions. And as a result of not identifying the true cause of the nonconformity, it can happen annually. And now It is important to note that repeated noncritical nonconformities at the same point of the standard should, over time, be considered as critical.

Slide 41. Analysis of findings identified in audit documentation. Climate agenda. ISO 45001.

This brings us to the end. Let's move forward and explore ISO 45001.

Slide 42. Climate agenda.

As of February 23, 2024, ISO and IAF made climate change considerations mandatory. This affects two clauses:

- 4.1 – The organization must determine whether climate change is a relevant issue in its context.

- 4.2 – Relevant interested parties may have climate-related requirements. This is no longer optional. Auditors must verify that this analysis has been done.
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Slide 43. Climate agenda.

How do organizations typically address this? Most present minutes protocols from a working group meeting with top management. The discussion should show that they have reviewed the IAF-ISO communiqué and considered whether climate change affects their OH&S management system – and if so, how.

Slide 44. Climate agenda

Here are examples of decisions:

- Option 1: The organization defines that climate change is not relevant to its strategy or ability to achieve intended results.
 - Option 2: They identify specific impacts, such as increased precipitation causing flooding, power outages, or roof leaks, or temperature fluctuations affecting equipment, raw materials, or employee health. They may also note the need to reduce greenhouse gas emissions.
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Slide 45. Climate agenda. 4.2 How Organizations Respond

For Clause 4.2, organizations may state they found no climate-related requirements from interested parties. Alternatively, they may identify requirements from environmental ministries or international bodies demanding emission reductions or adaptation measures. Both are acceptable if justified.

Slide 46. Common Gaps – Clauses 4.3, 6.1, 6.2

Now let's review common gaps we see in audit reports.

- Clause 4.3 – The document where the scope is defined is often missing. Provide the document name.
 - Clause 6.1 – Risk and actions to address them are not reflected. Opportunities are vague. Provide concrete examples.
 - Clause 6.2 – Objectives listed are often business goals, not OH&S-specific. And actions must include examples, not just document references.
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Slide 47. Common Gaps – Clauses 7.1, 7.3, 7.4

In clause 7.1, it is necessary to provide schedules for current repairs and maintenance of technological equipment, office equipment, and specialized vehicles, as well as planned preventive maintenance activities across the entire infrastructure related to the occupational health and safety management system.

For Clause 7.3, examples shall be provided, including:

- conducting briefings for employees at the workplace, as well as for visitors or contractors.
- records of familiarized employees, including surname, position, date, and the document with which they were familiarized.

For Clause 7.4, describe how the internal communication mechanism is implemented. Examples shall be provided, including correspondence with regulatory authorities, suppliers, and contractors.

Slide 48. Common Gaps – Clause 8.1. Scope and process evidence.

For Clause 8.1, statement “the scope was analyzed” is not enough. You should provide evidence confirming the declared scope. This part doesn’t require references to documents, it requires description of the main technological process steps.

Please specify the operation, performer, equipment, tools, and software.

For ISO 45001, identify risks associated with the operation and control measures like personal protective equipment, guards, fixed falling protection warning signs and procedures.

Slide 49. Hazardous goods and substances- Clause 8.1.2

When auditing transportation of hazardous goods or handling of hazardous substances, the availability of permits for the acquisition, storage, use, and disposal shall be specified. Established limits, requirements and their compliance shall be indicated. Compliance with requirements for the compatible storage of substances shall be ensured. Evidence of proper packaging and transportation of hazardous substances shall be provided.

Slide 50. Hazardous goods and substances- Clause 8.1.2

This clause must include at minimum:

- Whether risk assessment was done and available.
 - Operating instructions are accessible to employees.
 - Employee training is conducted.
 - Accident prevention instructions are implemented.
 - All equipment, machines, and systems requiring inspection are checked.
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Slide 51. Externally Provided Processes – Clause 8.1.4

Confidential information does not apply here. References to policies or registers or protocols aren’t enough. Include materials, services, and outsourced processes. Describe supplier evaluation in detail: which company, what they supply, evaluation date, and decision made as a result of the supplier evaluation.

Slide 52. Emergency Preparedness and Response – Clause 8.2

Audit evidence should include:

Development of adequate emergency response procedures, including examples of procedures, emergency response plans, evacuation instructions, fire safety instructions, etc.

Implementation of preparedness activities for emergency situations, including conducting emergency drills.

Provision of information on preparedness for potential emergency situations in accordance with emergency response plans.

Slide 53. OH&S Performance Indicators – Clause 9.1.1

Occupational health and safety performance indicators.

Organizations must establish and monitor safety performance indicators. When checking, focus on the following points:

- Tendency in injuries and incidents. If negative, explain reasons and measures taken.
- Statistics on regulatory orders, their status: completed, in progress, or needing resources.
- Compliance with legal requirements for monitoring or self-monitoring obligations.

For example: workplace assessment; condition of the working environment (in regards to cleanliness, space, ventilation, lighting, appropriate marking and so on); availability of mandatory employer's liability insurance; conduction of occupational medical examinations; existence of complaints related to occupational health and safety or occupational diseases of employees.

Non-compliance is always a nonconformity, not a recommendation.

Slide 54. Compliance Evaluation & Internal Audit – Clause 9.1.2 and 9.2

For Clause 9.1.2, provide a compliance evaluation report. For example, "Conformity assessment of the occupational health and safety management system of *Company JSC* dated 27.01.2026, concluding compliance with the national Occupational Safety and Health Law, including document number and date."

Slide 55. Incident Statistics – Clause 10.2

Providing statistics only on accidents is NOT SUFFICIENT.
The total number of all incidents shall be indicated.

An incident is an occurrence arising out of or in the course of work that could or

does result in injury or ill health.

In this context, the number of sick leave cases, and the total duration of temporary incapacity for work may be considered, excluding maternity-related cases.

Slide 56. Continual Improvement- Clause 10.3

Continual improvement can be shown through a reduction in employee illness rates or a decrease in accidents and injuries. Look for clear, measurable evidence over time.

Slide 57. Closing

That concludes our experience exchange. Thank you for your attention and your time.

If you have any questions, we will be happy to address them during upcoming online discussion.

We kindly ask you to submit your questions in advance to ensure an efficient and focused dialogue.

Have a wonderful day!