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Conférence internationale sur l'évaluation et la gestion du risque
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Palais des Nations

Risk in Conformity Assessment

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Working Party on Regulatory Cooperation and Standardization Policies

ECONOMIC COMMISSION FOR EUROPE

Groupe de travail des politiques de coopération en matière de réglementation et de normalisation

COMMISSION ÉCONOMIQUE POUR L'EUROPE

Рабочая группа по политике в области стандартизации и сотрудничества по вопросам нормативного регулирования

ЕВРОПЕЙСКАЯ ЭКОНОМИЧЕСКАЯ КОМИССИЯ

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AFNOR Rus

Risk in conformity assessment

Leonid DVORKIN

25 November 2009

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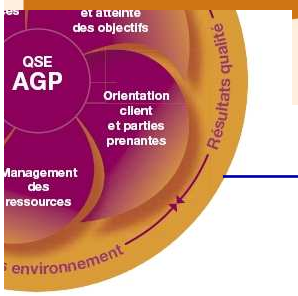
Des réponses adaptées aux besoins de nos clients



AFAQ Global Performance

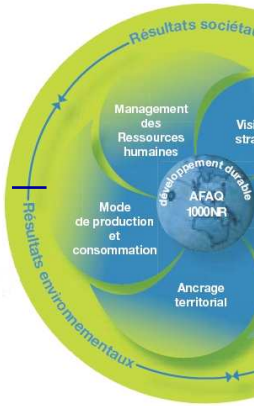
Passer à la vitesse supérieure

Le modèle d'aide au pilotage

AFAQ 1000NR

Mesurer aujourd'hui pour préparer demain

La solution Développement Durable



ISO 9001, ISO 14001, OHSAS 18001, ISO 27001, Risk management, Project management,

Simplifier la certification environnementale

L' ISO 14001 à votre rythme

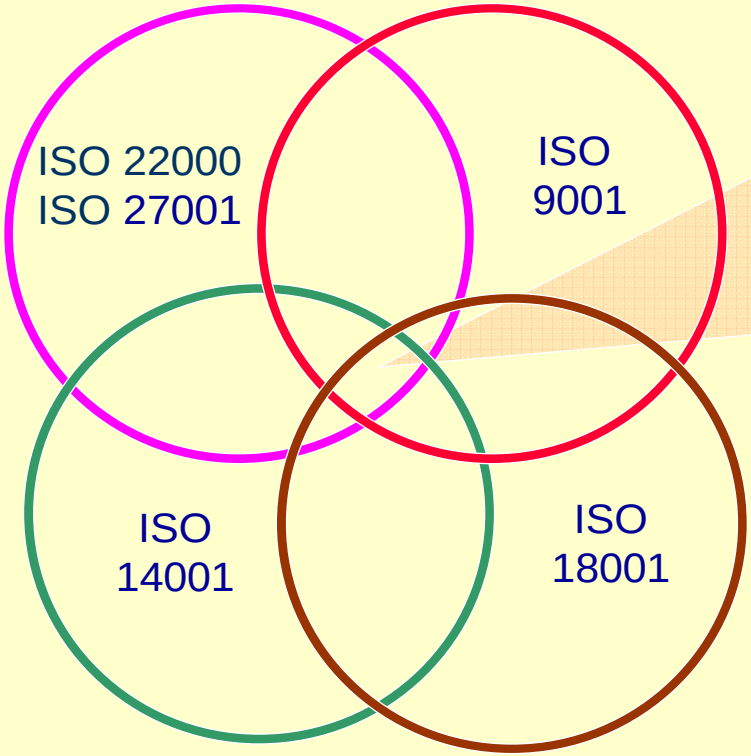
ISO/TS 16949, AS 9100, ISO 22000, ISO 13485, IRIS …,:

Évaluer et valoriser ses engagements

Label Égalité, Label Horizon, Audit interne

…

Risk - key element of integrated system



PDCA model
Documentation
Planning
<u>Risks</u>
Management responsibility
Recourses
Training
Operations
Audits
Monitoring
Improvement

60

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ISO 31000 – basis for management system integration

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Risk definition
(ISO 31000)

- **Risk - effect of uncertainty on objectives**
- NOTE 1 An effect is a deviation from the expected — positive and/or negative.
- NOTE 2 Objectives can have different aspects (such as financial, health and safety, and environmental goals) and can apply at different levels (such as strategic, organization-wide, project, product and process).
- NOTE 3 Risk is often characterized by reference to potential **events** (2.19) and **consequences** (2.20), or a combination of these.
- NOTE 4 Risk is often expressed in terms of a combination of the consequences of an event (including changes in circumstances) and the associated **likelihood** (2.21) of occurrence
- NOTE 5 Uncertainty is the state, even partial, of deficiency of information related to, understanding or knowledge of anevent, its consequence, or likelihoo d.

ISO Guide 73:2009, definition 1.1

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Industry sector risks – coal industry

4 main risk centers on results of operational and financial activities

- Strategic risks:
  - CO_2 emissions reduce coal extraction
  - high oil prices increase coal consumption
- Financial risks:
  - investment liabilities linked with LIBOR affixment;
  - accounts receivable
- Operational efficiency:
  - replacement of manual labor by equipment for more had extraction conditions
  - assets diversification
- Ecology and security risks
  - Incident investigations
  - days lost

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ISO 14001/OHSAS 18001
Analyses

Review

•Activities

•Production

•Services

•Processes

•Ecology significance

•Previous and current actions

Aspects
Impacts
Laws

Risks

Actual data
Drainage systems

•Dumping content

•Specification

•Norms

•Public expenses

•Carrying-away

•Penalty charges

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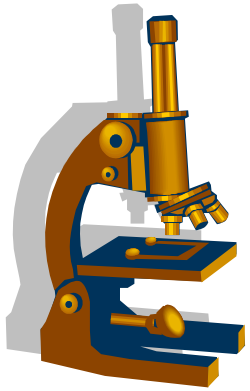
HACCP risks

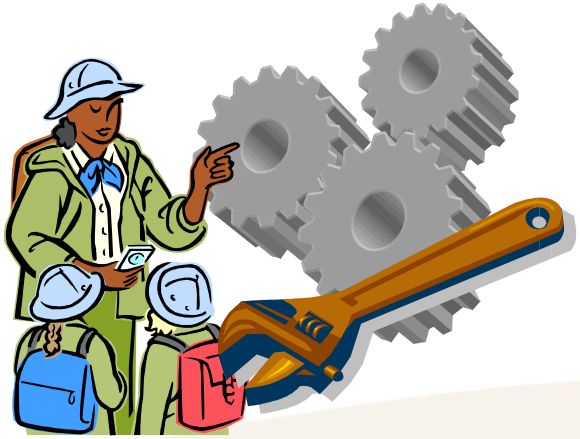
Dangerous factors

Biological



Chemical

Physical



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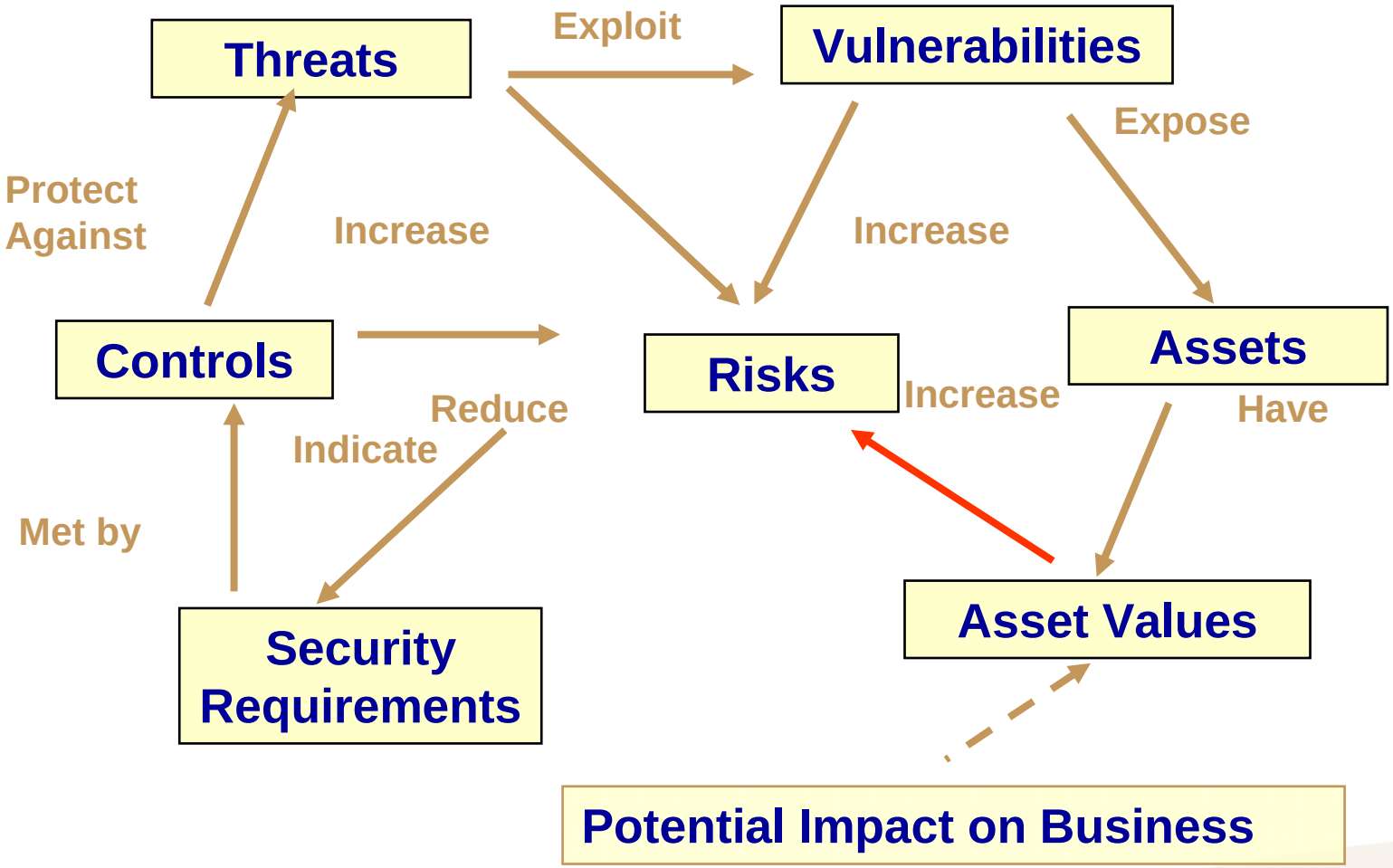
Information Security risks



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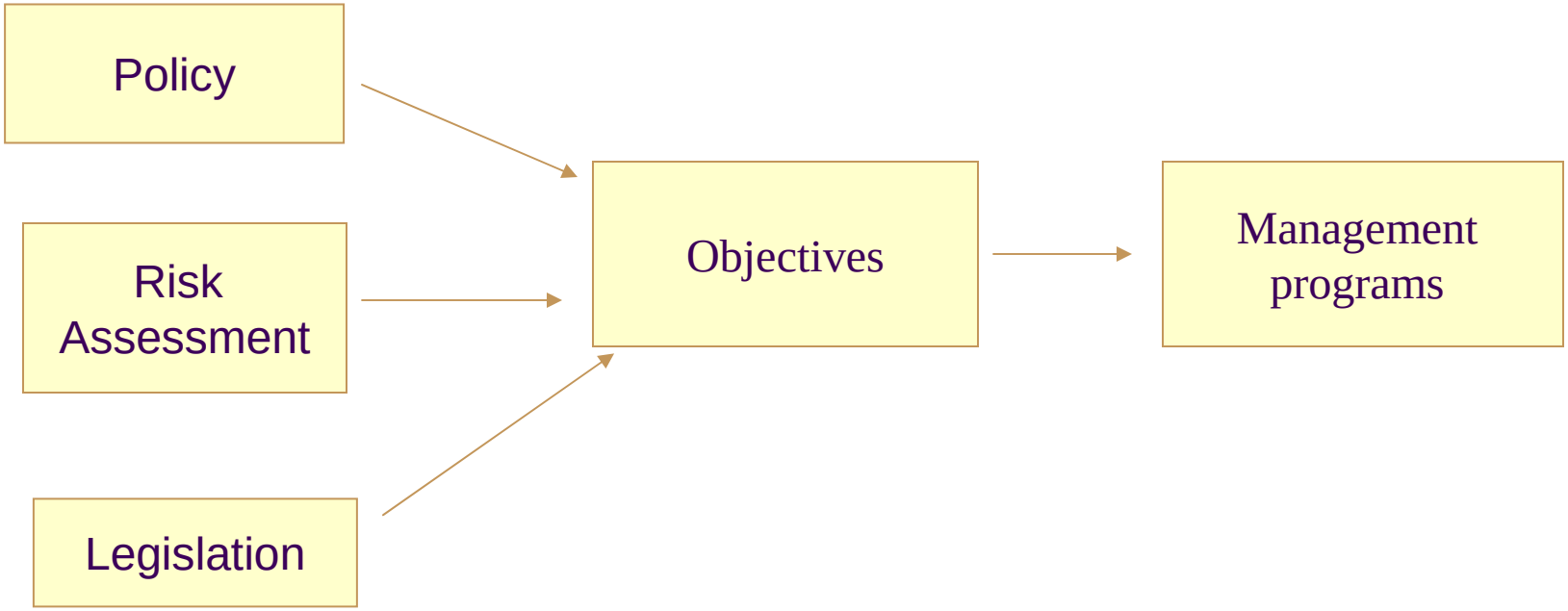
ISO/14001/OHSAS 18001 PLANNING



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Risk matrix

Rare event → Continuous appearance

Nonessential consequences ↓ Disaster

1	2	3
2	4	6
3	6	9

Intolerable threat

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Sustainable development and risk

"Development that responds to current needs without compromising the capacity of future generations to respond to theirs.

Two concepts are inherent to this notion:

- the concept of "needs", in particular the essential needs of the world's poor to which overriding priority should be given;
- the idea of the limitations imposed by the state of technology and social organization on the environment's ability to meet present and future needs."

Brundtland Report: "Our Common Future" 1987

What is sustainable development?

- Forward-thinking **sustainable development** solutions, spanning both the investment input and potential opportunities output, have now been scaled and quantified. The solutions are tailored to word from the business world. From an **ethical**, **environmental** and **social responsibility stance**, sustainability is set to be a mid-term factor driving increased turnover, lower expenditure, and better growth in profitability.

- The **AFNOR** is one of the leading protagonists in the area. The AFNOR is part of the team responsible for the upcoming market release of standard **ISO 26000**, which is set to mark the same kind of revolutionary step forward as I**SO 9001** was for quality and **ISO 14001** for the environment

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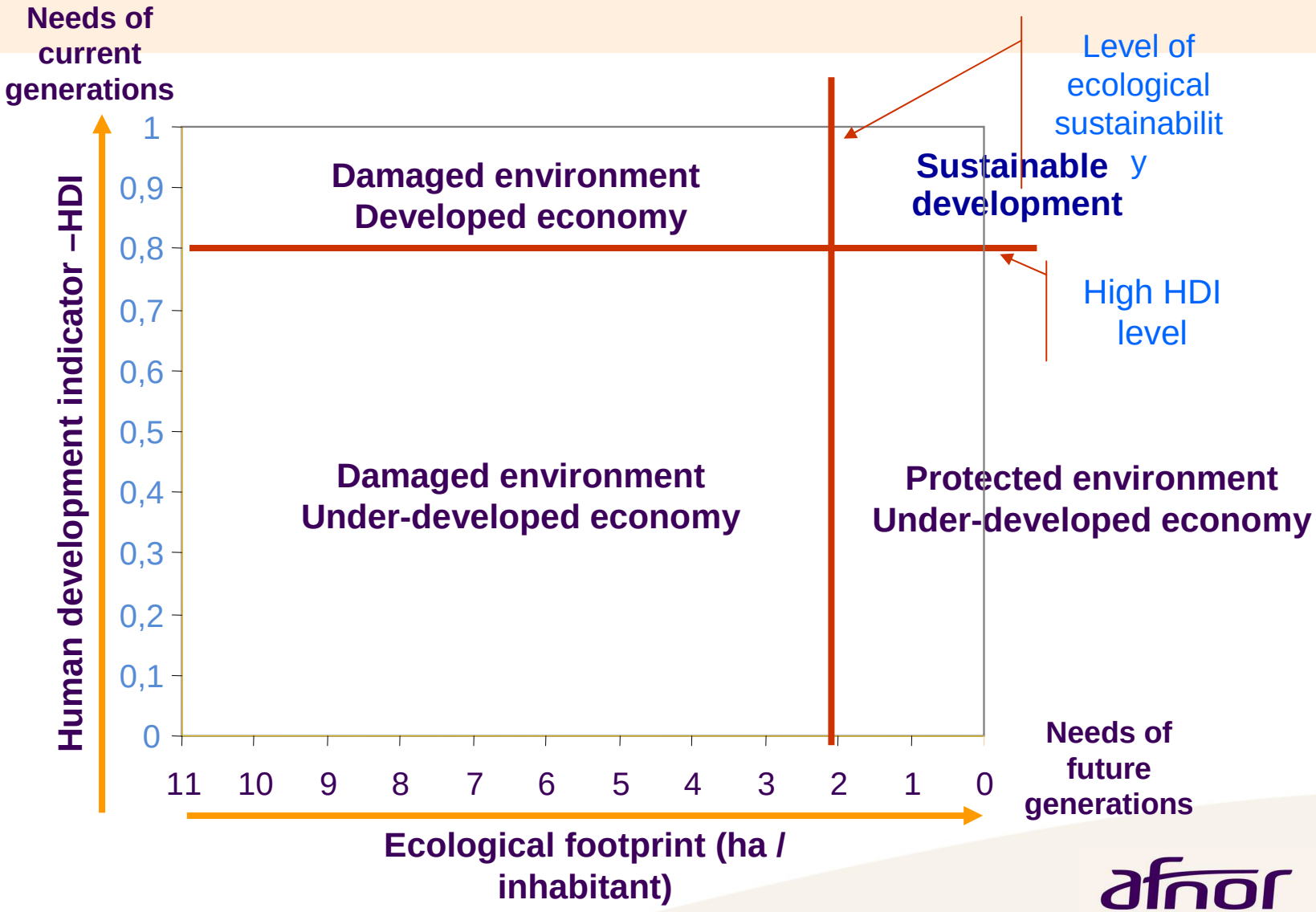
What does sustainable development represent for companies in concrete terms?

ECONOMIC ISSUES	SOCIAL / SOCIETAL ISSUES	ENVIRONMENTAL ISSUES
- Access to new markets - share the added value - earn money - increase stakeholders confdence -Minimize risks -attract investors -Innovate, find new values (industrial ecology) -Social corporate investments -…	- Well-being of people - Taking Health into account - Respect people (diversity) -Considering employee as a stakeholder - manage relations with Unions, government representatives, neighbourhood, … -…	-Respect the environment -Use clean technology -take biodiversity into account -Eco design -Wastes, recycling -Re use -…

Ecological footprint and human development indicator



Source: Aurélien Boutaud, ENSMSE, RAEE - 2003

Risk management process

- 1st step. Identifying the hazards and determining the types of effects expected if exposure occurs. E.g. effects leading to cancer, damage to the reproductive system, developmental and genetic damage, and damage to organs
- 2nd step. Analyzes, specifically the use of toxicology to determine the dose-response ratio for exposure to a particular hazard. To compare dose-response to the effects of increasing alcohol consumption on humans: The more alcohol consumed, the greater impairment, and more damage to liver and other organs.
- 3rd step process Exposure assessment since it is necessary to know by what mechanisms and pathways exposure occurs. (e.g.chlorine used to treat municipal drinking water supplies, include oral consumption, dermal absorption, and atomization by shower heads and other sources).
- 4th step Characterizing the exposed population. Demographic characteristics such as gender ratio, age distribution, racial composition, habits, and practices -- such as consuming garden-grown produce -- influences exposure, contribution by pathway, and biological effects

Preparing the audit
Risk allocation

EAC 28 NACE 45 Construction	Risk level	Safety for humans	Job complexity	Legalization level	Dangers for product users
F 45.10 Site preparation	M		Y		Y
F 45.11 Demolition and wrecking of building	H	Y	Y	Y	Y
F 45.20 Building of complete constructions or parts thereof; civil engineering	H	Y	Y	Y	Y
F.45.41 - Plastering	L				
F.45.31 - Installation of electrical wiring and fittings	M		Y	Y	Y

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Conducting the audit
Based on risk

Executive Summary of Strengths

- Customers / Business
- Procedures - organisation – business line – operational expertise
- Learning Curve – resources – continuous improvements
- Observed best practices Strong points

Executive Summary of Weaknesses

- Identified risk –
- Impacts of the management system
- Weak points
- Identified opportunities for improvement

Technical aspects of the audit

- Exclusions - Outsourcing – Justifications
- Requirements linked to regulations and legislation:
- Handling of client complaints

•**Nonconformity Report**

•*Organisation: XXXXX - Audit: [02/2009]*

•Minor N°01

•**Nonconformity noted**

•Requirement reference – Standard clause number or procedure reference ISO 9001:2008 7.5.3

•Evidence: Findings results.

•**Description of nonconformity** / System NC:

•*Lack of identification system for pre-cast concrete units at production stages (marking and cutting of reinforcing*

•*steel, assembling and welding of carcasses, concreting in forms, warehousing and delivering).*

•**Risk (client/product/process/system**): I*nequality, for productionb processes.*

•Sites concerned: *Reinforcing workshop, assembling workshop*

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