

SGP RECERTIFICATION ROADMAP

JUNE 2017 | VERSION I



SGP
**SUSTAINABLE
GREEN PRINTING
PARTNERSHIP**
sgppartnership.org

**For assistance,
please contact the SGP
Program Office**

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Congratulations! Achieving certification from the SGP Program is monumental and should be celebrated!

This is also not the time to stop thinking about your sustainability program. You put such effort into creating it, let's not waste the effort!

By following these steps outlined in this roadmap, you can continue to integrate your program into your business operations and maintain the necessary documentation.

For each element of your SMS, we provide tips on moving forward as well as the required documentation that should be maintained. Starting now, helps you continue your system and ensure that your certification audit is a breeze! So, let's get started!

YEAR ONE

Your certification year starts the month you officially achieved SGP Certification

EXAMPLE:

If you were formally certified in March 2017, your certification year runs through March 2018.

The second year, March 2019, is when your facility will once again be audited by the SGP Program.

SGP audits facilities every 2 years.

Your Sustainability Committee is key to the continuing work on your sustainability program.

One of the major responsibilities of the committee is to monitor Sustainability Management System activities including audits and assessments ([Criteria 3.1.2.7](#)).

The following schedule is provided as a recommendation for working and maintaining your certification between audits.

Set at least four committee meeting dates for the first year of your certification.

For each meeting:

- Make sure that your schedule is written down and available to all employees
- Develop and retain the agenda for each meeting
- Ensure that the meeting minutes are documented and filed
- Using your communication strategy developed under [Criteria Element 3.1.3.3, Communications](#) and the Stakeholder Communication Procedure of your SMS, ensure that the information is sent to appropriate stakeholders.

The following is a possible schedule of agenda items for the committee to consider.

The inclusion of these items meets the intent of Criteria Element 3.1.2.

SUGGESTED ITEMS FOR FIRST COMMITTEE MEETING – YEAR ONE

1. Review the results of the SGP certification audit.
2. Discuss the programs that the committee will be addressing in the coming year
3. Monitoring and reviewing the Sustainability Management System Audit, including documentation of Best Practices.
(timing: would need to be completed by Month 11 of your certification year)
4. Identification and development of action plan for year 2 Continuous Improvement Project
(timing: would need to be able to provide information during the Management Review process)
5. Updating and maintaining the required SGP Metrics
(timing: would need to be completed prior to the Management Review process)
6. Ensuring that the list of applicable environmental, safety and health, and employment laws that apply to the facility is updated, accurate and comprehensive
7. Tracking Management review of the SMS
(would follow the SMS Audit)
8. Completion and submission of your Annual Report
(due to the SGP program office 13 months following your certification.)

DOCUMENTATION

Sustainability coordinator to file and maintain

- ✓ Meeting agenda
- ✓ List of attendees
- ✓ Minutes from the meeting

Your first meeting should be used to establish dates for each of these activities. Consider creating a calendar to track your all your tasks including meetings. You can see how they all flow together. Having a set schedule at the beginning of your certification year provides organization and direction for the committee.

SUGGESTED ITEMS FOR SECOND COMMITTEE MEETING – YEAR ONE

1. Review the meeting minutes and agenda items from previous meeting. Ensure that the timetable you established for conducting your SMS audit and other items is feasible.
2. Review employee communication plan for the year and that documentation of activities is maintained.
3. Review your Stakeholder Communication Strategy documentation regarding outreach to suppliers and customers to ensure that it is being maintained. Possible action item: review to see if any trends are developing in either what customers are seeking or vendors are offering.
4. Ensure that the communication plan developed for onsite contractors is working and that documentation is maintained
5. Have you changed chemicals or added equipment? Ensure that all elements of Best Practice 4.7.2 were considered during the decision making process.
6. Ensure that the list of applicable environmental, safety and health, and employment laws that apply to the facility is updated, accurate and comprehensive
7. Review your regulatory status for environment, safety and health, as well as employment. Has your status changed? Are the responsible parties providing information on the documentation forms for both contacts and resources used to discover information? ([Criteria Element 3.1.3.1](#))

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting agenda
- ✓ List of attendees
- ✓ Minutes from the meeting

Your second meeting can be used for touchpoints. During your SMS audit you will also be looking at these touchpoints, as well as others to ensure that you are maintaining your system.

SUGGESTED ITEMS FOR THIRD COMMITTEE MEETING – YEAR ONE

1. Review the meeting minutes and agenda items from previous meeting. Ensure that the timetable you established for conducting your SMS audit and other items is feasible.
2. Review any issues/resolutions from the last two meetings
3. Review the process to collect and complete the SGP Metrics for discussion at the next meeting.
4. Review progress towards achieving your SMART goal for the selected Continuous Improvement Project. Document progress and begin brainstorming projects for Year 2.
5. Establish time frame for conducting the audit of your Sustainability Management System ([Criteria Element 3.1.4.3](#))
6. Establish date with your Management Team for the Management Review Process. This date should occur AFTER your fourth meeting and once the SMS audit, annual project and metrics are completed.

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting Agenda
- ✓ List of attendees
- ✓ Minutes from the meeting

Your third meeting can be used to start the process of looking forward to Year 2. At the conclusion of the third meeting, you should be ready to start the audit of your Sustainability Management System using SGP's Audit Tool. By the next meeting, all SGP Metrics should be complete, and you can be ready to recommend Year 2 continuous improvement project to your Management Team.

SUGGESTED ITEMS FOR FOURTH COMMITTEE MEETING – YEAR ONE

1. Review the meeting minutes and agenda items from previous meeting.
2. Review any issues/resolutions from the last three meetings
3. Review collected SGP Metrics.
4. Review progress towards achieving your SMART goal for the selected Continuous Improvement Project. Document progress and develop SMART goal for year 2 Continuous Improvement Project. Develop your action plan ([Criteria Element 3.1.3.2](#))
5. Review findings from the audit of your Sustainability Management System ([Criteria Element 3.1.4.3](#)) Ensure that you have documented any findings or corrective actions.
6. Prepare for the Management Review Process. Assemble all requested/required documents ([Criteria Element 3.1.5](#))
7. Establish meeting schedule for the next year. As this will be a recertification year, it is recommended that the Committee establish five meeting dates. The last meeting date can be used to review and ensure that all documents are ready to be sent to the SGP Auditor as requested by the SGP Pre-Audit Checklist.
8. Assign responsibility for completing and submitting SGP Annual Report.

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting Agenda
- ✓ List of attendees
- ✓ Minutes from the meeting

Documentation is also required for the SMS Audit as well as the Management Review Process. Refer to your Sustainability Management System Procedures to ensure that proper documentation is maintained.

If after the SMS Audit and Management Review Cycle there are SMS procedures that are either updated or changed, the Sustainability Coordinator needs to ensure that the revisions are noted on your documentation form. The old procedures should be filed and kept for three years, while the new, revised procedure is included in the management system. Don't forget to revise the date on the bottom of the revised procedure!

YEAR TWO

At the end of year one, the committee needs to establish its meeting schedule for the coming year. As you go through the suggested agenda items, you will notice that there are additional responsibilities assigned to the committee as required for the recertification audit. Following this schedule will help you prepare for the audit process. And remember that creating a calendar of tasks will help keep you on track for the year.

As with the first year:

- Make sure that your schedule is written down and available to all employees
- Develop and retain the agenda for each meeting
- Ensure that the meeting minutes are documented and filed
- Using your communication strategy developed under [Criteria Element 3.1.3.3, Communications](#) and the Stakeholder Communication Procedure of your SMS, ensure that the information is sent to appropriate stakeholders.

The following is a possible schedule of agenda items for the committee to consider.

The inclusion of these items meets the intent of Criteria Element 3.1.2.

SUGGESTED ITEMS FOR FIRST COMMITTEE MEETING – YEAR TWO

1. Review changes made resulting from the Management Review Process held the year before
2. Discuss the programs that the committee will need to address in the coming year. It is not recommended that each of these programs be fully discussed at the first meeting, but that a plan be developed to ensure that all these activities will be completed before the next audit cycle. The first committee meeting can be used for planning purposes as you may need to pull in others from the company on as needed basis.
3. Review of the Environmental Regulatory Compliance Audit ([Criteria Element 3.1.4.1](#))
4. Review of the Safety and Health Regulatory Compliance Audit ([Criteria Element 3.1.4.2](#))
5. Review of the Air Emissions Assessment ([Best Practice 4.5.1](#))
6. Review your Energy Audit to determine if a new audit is required, any new options to reduce usage have been identified or any identified options can be implemented in the upcoming year([Best Practice 4.15.2](#))
7. Sustainability Management System Audit, including documented evidence of compliance with all Best Practices. (timing: would need to be completed by Month 11 of your second certification year)
8. Identification and development of action plan for year 3 Continuous Improvement Project (timing: would need to be able to provide information during the Management Review process)
9. Updating and maintain the required SGP Metrics (timing: would need to be completed prior to the Management Review process)
10. Management review of the SMS (would follow the SMS Audit)
11. Completion and submission of your Annual Report (due to the SGP program office 25 months following your certification.)

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting Agenda

- ✓ List of attendees
- ✓ Minutes from the meeting

SUGGESTED ITEMS FOR SECOND COMMITTEE MEETING – YEAR TWO

1. Review the meeting minutes and agenda items from previous meeting. Ensure that the timetable you established for conducting your SMS audit and other items is feasible.
2. Review employee communication plan for the year and that documentation of activities is maintained.
3. Review your Stakeholder Communication Strategy documentation regarding outreach to suppliers and customers to ensure that it is being maintained. Possible action item: review to see if any trends are developing in either what customers are seeking or vendors are offering.
4. Ensure that the communication plan developed for onsite contractors is working and that documentation is maintained
5. Have you changed chemicals or added equipment? Ensure that all elements of Best Practice 4.7.2 were considered during the decision-making process.
6. Ensure that the list of applicable environmental, safety and health, and employment laws that apply to the facility is updated, accurate and comprehensive
7. Review your regulatory status under environmental, safety and health, as well as employment. Has your status changed? Are the responsible parties providing information on the documentation forms for both contacts and resources? ([Criteria Element 3.1.3.1](#))
8. Review your Environmental Regulatory Compliance Audit. If your regulatory status has changed through addition of equipment or changing of chemicals, then a new audit is required. If no changes, acknowledge this in an appendix to document that you have reviewed all required information.
9. Review your Air Emissions Assessment. If you have significantly increased/decreased and/or changed chemicals used in your facility, conduct another Assessment. This Assessment would also need to be redone if your production substantially increased as this would represent an increase in chemical usage. If no changes, then document that you have reviewed the assessment.

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting Agenda
- ✓ List of attendees

- ✓ Minutes from the meeting

SUGGESTED ITEMS FOR THIRD COMMITTEE MEETING – YEAR TWO

1. Review the meeting minutes and agenda items from previous meeting. Ensure that the timetable you established for conducting your SMS audit and other items is feasible.
2. Review any issues/resolutions from the last two meetings
3. Review the process to collect and complete the SGP Metrics for discussion at the next meeting.
4. Review progress towards achieving your SMART goal for the selected Continuous Improvement Project. Document progress and can begin brainstorming projects for Year 3.
5. Review your Safety and Health Regulatory Compliance Audit. If you have not significantly increased production, changed chemicals or added new equipment, then a new audit is not needed. You will need to document that you reviewed your audit and your rationale for not reauditing. If you have added equipment, etc., then a new audit is required and you can use your current audit as the guideline.
6. Review your employment regulatory status. Ensure that all changes and documentation of resources/events have been recorded.
7. Establish time frame for conducting the audit of your Sustainability Management System ([Criteria Element 3.1.4.3](#))
8. Establish date with your Management Team for the Management Review Process. This date should occur AFTER your fourth meeting.
9. Consider dates for your recertification audit.

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting Agenda
- ✓ List of attendees
- ✓ Minutes from the meeting

Your third meeting can be used to start the process of looking forward to your recertification. After the third meeting, you should be ready to start the process of your Sustainability Management System

audit using SGP's Audit Tool. By the next meeting, all SGP Metrics should be complete, and you can be ready to recommend Year 3 continuous improvement project to your Management Team.

SUGGESTED ITEMS FOR FOURTH COMMITTEE MEETING – YEAR TWO

1. Review the meeting minutes and agenda items from previous meeting.
2. Review any issues/resolutions from the last three meetings
3. Review collected SGP Metrics.
4. Review progress towards achieving your SMART goal for the selected Continuous Improvement Project. Document progress and develop SMART goal for year 2 Continuous Improvement Project. Develop your action plan ([Criteria Element 3.1.3.2](#))
5. Review findings from the audit of your Sustainability Management System ([Criteria Element 3.1.4.3](#)) Ensure that you have documented any findings or corrective actions.
6. Prepare for the Management Review Process. Assemble all requested/required documents ([Criteria Element 3.1.5](#))
7. Establish meeting schedule for the next year.
8. Assign responsibility for completing and submitting SGP Annual Report.
9. Contact the SGP Lead Auditor to request a recertification audit date.

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting Agenda
- ✓ List of attendees
- ✓ Minutes from the meeting

Documentation is also required for the SMS Audit as well as the Management Review Process. Refer to your Sustainability Management System Procedures to ensure that proper documentation is maintained.

If after the SMS Audit and Management Review Cycle there are SMS procedures that are either updated or changed, the Sustainability Coordinator needs to ensure that the revisions are noted on your documentation form. The old procedures should be filed and kept for three years, while the new, revised procedure is included in the management system. Don't forget to revise the date on the bottom of the revised procedure!

SUGGESTED ITEMS FOR FIFTH COMMITTEE MEETING – YEAR TWO

1. Review and implementation of SMS Audit and Management Review recommendations
2. Review of SGP Pre-Audit Checklist and assemble requested materials

DOCUMENTATION

Sustainability Coordinator to file and maintain

- ✓ Meeting Agenda
- ✓ List of attendees
- ✓ Minutes from the meeting

This is the meeting that should be used to review all required elements of the SMS and related Best Practices to ensure that all documentation has been updated and maintained. This meeting should also be used to review the suggestions made through the Management Review Cycle and that all have been implemented and documented. Further that the revised documents are correctly dated.

CONGRATULATIONS!
You have achieved recertification!
Now, go back to Year I and repeat!!

How to conduct an audit of your Sustainability Management System

Maintaining a strong, vibrant management system requires you to check it out every year. This is the role of your Sustainability Management System Audit. The SGP certification criteria asks you to conduct an annual audit to ensure that your SMS is working properly and all the certification criteria are being met. Let's look at the process. First, look at SGP's SMS audit form. This should help walk you through the process. Your Sustainability Committee can act as your audit team for this internal audit process or you can utilize your existing audit protocols if you conduct audits for other certifications or requirements. You should conduct this audit before the Management Review Process.

The Audit Schedule

The first important thing is to have an overall schedule of when you are planning to conduct your audit. The cycle for this is not less frequently than once per year. The audit schedule should be available to employees and managers, because you don't want to have a surprise audit.

Process Audit Planning

After confirming the audit schedule, you can start to prepare for the audit itself. Take a moment to review the SGP's audit form. Your SMS audit will look at whether the certification criteria are being met and how effective your procedures and programs are. A good audit plan will make sure you look for evidence (documents, observations, interviews) to support your findings.

Performing the Audit

Probably the first thing to remember about performing the audit is that the auditor is not using the internal audit to find fault or criticize individuals. The goal of the audit is to support the sustainability program and identify opportunities to improve it. A thorough audit should be able to identify a number of ways to obtain results more efficiently or more thoroughly or to plug a few gaps in the program.

Audit Reporting

Like all audits, your audit is almost valueless if it is not properly reported. If the employees engaged in the process are doing well, they need to know this. Conversely, if there are gaps, employees need to understand what these are so that they can be addressed and corrected.

Follow Up on the Audit Issues and Improvements

Just as with corrective and preventive action, follow up is one of the least well done parts of the internal audit process. If there is no closed loop to follow up on the actions and opportunities presented by the audit, then the value of identifying them in the first place is lost. Making sure that a problem that was previously identified is fixed can prevent the futile reporting of the same problem again and again. Use follow up to make your internal audits better.

Closing the Loop Your Checking and Corrective Action Procedure

A corrective action plan is a document describing exactly how a specific situation will be changed to obtain a better outcome. Your management system's Checking and Corrective Action Procedure helps you keep track of changes that you are making to your system. Your management system is built on the Plan Do Check Act model. This is not only the "check" element, but also the "act" portion as you are asked to identify changes that you would like to make and track the implementation of those changes.

To understand the corrective action plan process, let's walk through an example. In your audit, you have rated the Communication Strategy with your vendors to be Acceptable with Recommendations. This rating indicates that you are contacting the vendors, however, you do not feel as if you are collecting the information you need or possibly that you are not contacting all vendors on a regular basis. Remember, your vendors have also been identified in your Stakeholder Communications Procedure as "stakeholder." To set up your communications, the Sustainability Committee recommends that all vendors receive a letter every year outlining your organization's goal set under the Continuous Improvement Project. This communication helps set the stage for future communications as you work with your vendors to meet your goal. The documentation for this would be the annual letter. This communication should be conducted in addition to the ongoing communications that you have with your vendors regarding new products available.

The following report form, SMS-12 can be used to record and report any corrective actions taken because of your SMS Audit.

<p>Reporting employee: <i>Insert name of responsible employee</i></p>
<p>Statement of the Non-Conformance:</p> <p><i>The Committee during the SMS audit discovered that the communication strategy for the vendor community needed to be strengthened to allow “Name of Facility” to provide additional information on “name of facility’s” sustainability strategy as well as obtain information from the vendor regarding alternative products.</i></p>
<p>Date of non-conformance discovered/reported: <i>Insert Date of Audit</i></p>
<p>Description of potential solution:</p> <p><i>Work with “insert appropriate department(s)” to develop and send an annual letter to all vendors outlining “name of facility’s” sustainability objectives as well as requesting information on alternative products.</i></p>
<p>Person responsible for corrective action: <i>Insert name of Sustainability Coordinator and other department contacts</i></p>
<p>Deadline for completion of corrective action: <i>(Insert an appropriate time frame)</i></p>
<p>Completion of Corrective Action:</p>
<p>Corrective Actions taken: <i>Insert the actions taken to resolve the problem and letter send to all vendors (sample copy attached)</i></p>
<p>Results: <i>Indicate the results and an explanation of why the action was necessary.</i></p>
<p>Date of completed corrective action: <i>Insert date of resolution</i></p>